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INTERMEDIATE PERFORMANCE EVALUATION OF PERU'S NATURAL INFRASTRUCTURE FOR WATER SECURITY (NIWS) ACTIVITY

FINAL REPORT

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ABSTRACT

The Natural Infrastructure for Water Security (NIWS) activity aims to increase investments in natural infrastructure (NI) to improve water security and resilience to climate change. The project began in December 2017 and will conclude in June 2023. The mid-term evaluation seeks to identify lessons learned, provide recommendations for the remaining implementation period, promote sustainability of results, and provide input for the design of new initiatives.

Evaluation findings indicate that NIWS has made considerable progress in several areas including, raising awareness among public officials, generating valuable information, building capacity, and developing a robust portfolio of natural infrastructure projects. However, the successful completion of this effort depends on the mobilization of investments for that portfolio and their programming into the budget of the executing entities. Unfortunately, there have been difficulties in the relationship with participant communities due to distrust, lack of organization and lack of evidence of short-term benefits, resulting in delays in the execution of projects. To address this issue, the recommendation is that local communities be involved in the strategic stages of the design and implementation of the NI projects. Regarding the gender mainstreaming objective, NIWS has provided technical assistance to the governing and executing entities and has prepared a diagnosis and guide with recommendations for gender inclusion in the design and implementation of NI projects. The recommendation in this area is to continue working with the entities and communities to eliminate gender stereotypes related to water resource management, which exist in public sector entities and in the community.

RESUMEN

La actividad Infraestructura Natural para la Seguridad Hídrica (INSH) tiene como propósito incrementar las inversiones en infraestructura natural (IN) para mejorar la seguridad hídrica y la resiliencia al cambio climático. Empezó en diciembre de 2017 y termina en junio de 2023. La evaluación intermedia busca identificar lecciones aprendidas y recomendaciones para el período de implementación restante, la sostenibilidad de los resultados, y el diseño de nuevas iniciativas.

Los hallazgos muestran que INSH ha realizado importantes avances en la concientización de los funcionarios públicos, la generación de información, el desarrollo de capacidades y la generación de una importante cartera de proyectos de infraestructura natural. La consolidación de este esfuerzo se logrará con la movilización de dichas inversiones, cuando hayan sido programadas en el presupuesto de las entidades ejecutoras. Los acuerdos con las comunidades enfrentaron dificultades por la desconfianza y falta de organización de la población y la demora en la ejecución de los proyectos que no les ha permitido ver beneficios en el corto plazo. De allí la recomendación de incluir a las comunidades en etapas estratégicas del diseño e implementación de los proyectos de IN. Con respecto a la incorporación del enfoque de género, INSH ha brindado asistencia técnica a las entidades rectoras y ejecutoras, y elaborado un diagnóstico y guía con recomendaciones para la inclusión del enfoque de género en el diseño e implementación de proyectos de IN. La recomendación sobre este tema es continuar trabajando con las entidades y las comunidades para eliminar los estereotipos de género vinculados a la gestión de los recursos hídricos, presentes en entidades del sector y en la comunidad.

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ACRONYMS

ANA	National Water Authority (Autoridad Nacional del Agua)
ARCC	Authority for Reconstruction with Changes
CEPLAN	National Center for Strategic Planning
CEPLAR	Regional Center for Strategic Planning
ChiRiLuMa	Chillón-Rímac-Lurín-Alto Mantaro Hydrographic Basin
CONAMUCC	Cooperation to Form the Interest Group “Women and Climate Change”
CONDESAN	Consortium for Sustainable Development of the Andean Ecoregion
CUBHIC	Quantification of Water Benefits from Basin Interventions
ENAP	National School of Public Administration
EPS	Sanitation Service Provider
GIRH	Integrated Water Resources Management
GOLO	Local Government
GORE	Regional Government
GRD	Disaster Risk Management
HIRO	Rapid Opportunity Identification Tool
INAIGEM	National Institute for Research in Glaciers and Mountain Ecosystems
Invierte.pe	National System for Multiannual Programming and Investment Management
IOARR	Optimization, Marginal Expansion, Rehabilitation, and Replacement Investments
IRMA	Identification of Rapid Measures for Action
M&E	Monitoring and Evaluation
MEF	Ministry of Economy and Finance
MEL	Monitoring, Evaluation, and Learning
MERESE	Ecosystem Service Compensation Mechanism
MIDAGRI	Ministry of Agricultural Development and Irrigation
MIDIS	Ministry of Development and Social Inclusion
MIMP	Ministry of Women and Vulnerable Populations
MINAM	Ministry of the Environment
MINCU	Ministry of Culture
MINEDU	Ministry of Education
MVCS	Ministry of Housing, Construction, and Sanitation
NbS	Nature-based solutions
NDC	Nationally Determined Contributions
NI	Natural Infrastructure
NIWS	Natural Infrastructure for Water Security
NGO	Nongovernmental Organization

ODS	SUNASS Decentralized Offices
OECD	Organization for Economic Co-operation and Development
OSCE	Government Procurement Supervising Entity
OxI	Public Works for Taxes
PCM	Presidency of the Cabinet of Ministers
PESEM	Multiannual Sectoral Strategic Plan
PIP	Public Investment Project
PROFONANPE	National Trust Fund for Natural Protected Areas
SEDAPAL	Water and Sewage Authority of Lima
SEH	Water Ecosystem Services
SENAMHI	National Agency for Meteorology and Hydrology
SERFOR	National Forestry Agency
SERNANP	National Agency for Natural Protected Areas
SERVIR	National Civil Service Authority
SNIP	National Public Investment System
SPDA	Peruvian Association for Environmental Law
SUNASS	National Superintendency of Sanitation Services
ToC	Theory of Change
UNFCCC	United Nations Framework Convention on Climate Change
USAID	U.S. Agency for International Development
WS	Water Security

EXECUTIVE SUMMARY

The Natural Infrastructure for Water Security (NIWS) Activity aims to scale up natural infrastructure (NI) investments as a strategy for improving water security and resilience to climate change. Towards this end, NIWS has three objectives: 1) create a suitable environment for NI adoption; 2) improve information management for NI-related decision-making; and 3) generate NI projects designed, financed, and implemented in vulnerable basins. NIWS also includes a crosscutting objective to improve gender mainstreaming across NI investments.

NIWS began in December 2017 and will conclude in June 2023; its financing totals US\$27.5 million in combined U.S. Agency for International Development (USAID) and Canadian Government funding. The activity's scope is national¹, with priority in six hydrographic basins as intervention zones spanning six Peruvian regions².

PURPOSE

The purpose of this intermediate evaluation is to identify the lessons learned and provide recommendations for: (i) planning implementation over the remainder of the Activity; (ii) promoting sustainable outcomes; and (iii) laying the foundation for future nature-based solutions (NbS) that can enhance water and climate resilience in Peru and other countries. The evaluation covers the Activity's implementation from its inception in June 2017 to March 2022 and is based on three criteria:

Exhibit 1. Objectives per Evaluation Criteria

RELEVANCE	EFFECTIVENESS	SUSTAINABILITY
Establish whether the NIWS Activity design (strategies and theory of change) and later modifications were relevant.	Identify the main results, establish their contribution to the objectives, and recognize the factors that facilitated/hindered their achievement.	Assess the sustainability of the benefits from the Activity beyond its completion.

METHODOLOGY

The evaluation used a mixed methodology of qualitative and quantitative techniques. The qualitative component included twenty-nine in-depth virtual interviews with key informants and two field visits to the Carampoma and San Bartolomé communities, (both of which participated in NI projects funded by NIWS), and a recommendations co-creation workshop with NIWS' implementation team. During the field visits, sixty-six community members provided information. The quantitative component of the evaluation involved a review of NIWS Activity documents to assess progress against the performance indicators.

¹ At the national level, NIWS aims to affect policies, programs, and governmental bodies.

² The Chira-Piura (Piura), Chillón-Rímac-Lurín-Alto Mantaro (Lima), Quilca-Chili (Arequipa), Tambo-Moquegua (Moquegua), Mayo (San Martín), and Vilcanota- Urubamba (Cusco) basins.

FINDINGS

The following are the main findings, organized by evaluation question and by Activity objective:

To what extent are the initial ToC assumptions (including the cause-effect relations) relevant?

To achieve NIWS' goal—scale up NI investments as a strategy for improving water security and resilience to climate change— the Activity's design establishes three objectives and a crosscutting gender focus. The evaluation finds that:

- **Objective 1:** As the concept of NI was not widely known in the field of investment, it was relevant to create a suitable environment for NI adoption.
- **Objective 2:** As information on NI was scarce, it was relevant to include information management as an element of NI-related decision-making.
- **Objective 3:** The strategies within NIWS were primarily aimed at creating a portfolio of NI projects and ensuring their financing, supported by government authorities responsible for their execution. The staff responsible for Activity implementation underestimated the time required to mobilize NI investments and overestimated the quality of implementation progress. Moreover, the Activity's "learning by doing" capacity building model had limited importance in the implementation phase.
- **Crosscutting Objective:** In cooperation with the Government of Canada, the Activity designed and incorporated specific crosscutting gender strategies (Gender Action Plan). However, these strategies were not fully reflected in the Activity's ToC.

How has the Activity's ToC been adapted over time? What were the reasons for the adaptations and to what extent did they make the ToC more relevant?

The objectives and results of the Activity's ToC did not change over time; instead, the strategies were modified to improve interventions:

- According to the needs of key partners: The Activity adopted a client-based approach resulting in diversified activities and outcomes.
- According to the context: The Activity promoted a consensus among authorities on NI in areas where a greater potential for NI investment promotion was identified.

What are the Activity's main results to date (foreseen and unforeseen)?

- Objective 1: Creation of a suitable environment for NI adoption
 - The Activity succeeded in raising awareness among national government authorities and governing entities that manage water resources, resulting in NI inclusion in multiple official documents³.
 - The Activity faced challenges when enhancing NI awareness and positioning among regional and local government entities due to a high turnover of authorities.

³ The communications strategies implemented were instrumental in disseminating NI information within civil society organizations, adapting the language and presentation style of messages.

- NIWS issued guidelines for developing NI projects at the community level, which emphasized the importance of involving and creating direct benefits for local communities.⁴
- Objective 2: Tool development and dissemination
 - NIWS succeeded in putting in place NI guidelines that previously did not exist, creating tools for improving the quality of projects from identification to culmination stages, and building a cadre of NI specialists.
 - NIWS introduced “communication orchestras”, a new strategy for sharing information and disseminating new tools. This, in turn, contributed to several tools “finding” an institutional home.
- Objective 3: NI Activity design and implementation
 - NIWS contributed to covering the lack of staff, capacities, technical tools, information, and scientific evidence for creating a solid NI project portfolio.
 - The Activity contributed to the creation of a market where sanitation service providers, the Authority for Reconstruction with Changes (ARCC), and regional governments now demand services related to NI project design, which in turn are supplied by advisors and nongovernmental organizations (NGOs).
- Crosscutting Objective: Gender mainstreaming
 - NIWS provided technical assistance to the Ministry of Women and Vulnerable Populations (MIMP) on incorporating gender into the operations of water entities.⁵
 - Efforts in this field were geared toward dealing with entrenched stereotypes, the lack of leadership for implementing gender mainstreaming within institutions, and the absence of gender mainstreaming-related procedures.
 - The Activity promoted multiple gender mainstreaming strategies, including developing tools, forums, and a tailored mentoring of institutions like the Ministry of the Environment (MINAM), Ministry of Women and Vulnerable Populations (MIMP), and NGOs.
 - NIWS made considerable progress in designing guidelines for gender mainstreaming, starting during the NI project design phase.

What are the main internal and external factors that facilitated/hindered the Activity’s results and objectives?

- Factors that facilitated the results include:
 - Adaptive management responded to the needs of key partners and the conditions for promoting the involvement of multiple entities.
- The factors that hindered the results include:
 - An unfavorable context of political, social, and economic crises caused by frequent presidential changes and the Covid-19 pandemic. This context affected turnover

⁴ SUNASS has made more progress than ANA regarding gender integration and is more open to incorporating proposals in this field.

among authorities, the continuity of policies NIWS promoted, and resulted in restrictions on field activities.

- The Activity’s limited on-site presence hampered adequate follow-up regarding guideline implementation and learning processes.

Which results do key actors prioritize for the remainder of the Activity?

- Reinforce the strategies for reaching out to, and involving, local communities.
 - Identify the lessons learned from the most advanced NI projects within the Activity’s portfolio.
- Prioritize capacity building activities for NI information and tools that NIWS developed and promoted.
 - The dissemination and appropriation of the information and tools NIWS generated by public water entities is expected to contribute to preserving the use of these materials.
- Prioritize investment for projects in advanced stages.
 - Lessons identified and compiled from completed projects are expected to provide useful information for future projects.

Which are the most relevant results for ensuring the continuity of benefits from the Activity beyond completion, including those related to gender equality? What steps is NIWS taking to develop the necessary conditions for ensuring the continuity of such benefits?

- Objective 1: On the normative front, the Activity has contributed to reinforcing a suitable environment for NI adoption, which will depend on the political will to implement those norms in the coming years.
- Objective 2: NI-related guidelines and technical tools have been put in place. The latter are expected to “find” an institutional home among partner authorities to ensure future implementation, updating, and use. This will contribute to information management sustainability in the implementation of future NI projects.
- Objective 3: NIWS has succeeded in building an important NI project portfolio to be implemented in the future by the relevant public entities. At the same time, the Activity’s “learning by doing” capacity building model is expected to have limited scope in future stages (implementation, operation, and maintenance of projects).
- Crosscutting Objective: Gender mainstreaming has been incorporated into water entities’ norms, thereby contributing to the continuity of benefits:
 - The National Superintendency of Sanitation Services (SUNASS) reinforced institutional work plans and introduced a task force on gender equality.
 - The National Water Authority (ANA) identified a high presence of gender stereotypes hampering gender mainstreaming. In this light, NIWS is developing a strategy based on closer technical assistance to ensure greater progress.

Is it likely that the benefits from the Activity will continue beyond completion? What are the necessary conditions for Activity results to ensure continuity of such benefits? What is the state of the conditions identified?

- Objective 1: the creation of a favorable environment will be maintained via:
 - Consolidation of the information generated by NIWS: the communication strategies were adapted to enhance outreach.
 - Outreach to communities: projects are required to include a compensation component to promote identification and appropriation by inhabitants of intervened basins.
- Objective 2: the tools developed and disseminated will be maintained via:
 - Preservation of knowledge generated by NIWS with technical assistance from specialized consultants and entities responsible for project implementation.
 - Establishment of an institutional home within the Government of Peru for the information NIWS has generated.
- Objective 3: the implemented NI investment portfolio will be maintained via:
 - Consolidation of an NI investment scale-up.
 - Identification of bottlenecks and preparation of guidelines to expedite implementation.
 - Visibility of NI benefits and contribution to promoting further NI projects.

Additionally, it is worth underscoring the involvement of local communities, as they will be in charge of project operation and maintenance in the long run.

- Crosscutting Objective: gender mainstreaming will be maintained via:
 - Considerable openness to gender mainstreaming in the National Superintendency of Sanitation Services (SUNASS).
 - Consolidation of a strategy to promote gender awareness beyond entrenched stereotypes within the National Water Authority (ANA).
 - Involvement of local communities beginning during the launching of NI projects to promote gender mainstreaming in project implementation.

RECOMMENDATIONS

For the NIWS Activity

- Compile information concisely to respond to basic NI issues and continue promoting NI benefits, prioritizing permanent staff and technicians.
- Continue to systematically organize the lessons learned during interaction with local communities.
- Promote the linking of projects to local communities' socioeconomic production activities.
- Consider conducting a needs assessment prior to designing strategies in each municipality. In certain cases, gray water infrastructure can be a priority if the population does not receive basic services (water and sanitation).
- Continue to systematically organize the lessons learned during the development of tools and identify the elements that expedited the design and formulation of NI projects.
- Continue tool validation and review based on the compiled technical specifications for the products generated and develop monitoring and evaluation protocols to identify evidence of social and ecohydrological benefits of NI projects.
- Follow-up continuously on tool uptake by the relevant public entities.
- Prepare a registry of consultants with experience in NI projects to promote the utilization of the capacities of the consultants trained under NIWS.
- Continue to build capacities of regional and local governments and implement a strategy to disseminate useful Activity-generated knowledge for designing NI projects at the regional and local levels.
- Increase emphasis on engagement with private sector and new actors (large companies like Coca Cola Company or Backus).
- Continue to develop gender mainstreaming strategies suited to each actor, with an aim to effectively eliminate stereotypes as a barrier to NI projects.
- Expand the Activity's territorial coverage to implement closer monitoring and evaluation.
- Promote higher involvement of the Ministry for Women and Vulnerable Populations in the work dealing with structural gender issues.

For USAID

- When gender mainstreaming or other aspects are incorporated after Activity launch, ensure the new approach is added to the activity's ToC.
- Consider specific objectives and interventions that address stereotyping and ensure their implementation.
- Develop differentiated strategies and assess perceptions and paradigms at all stages during interventions that target a government institution.

For the NIWS Activity in cooperation with the Government of Peru

- Continue to take the necessary steps for NI inclusion in official documents via technical support and increased awareness among relevant authorities.

- Promote new NI professionals' capacities by incorporating the NI specialist's profile into the scope of the National Civil Service Authority (SERVIR).
- Promote sensitization towards NI inclusion and prioritization within the project portfolio of the Ministry of Economy and Finance (MEF); continue to compile evidence on NI benefits to underpin the strategy for enhancing the Ministry's awareness. Appoint the relevant authority (e.g., Ministry of the Environment) to develop the Ministry of Economy and Finance's awareness strategy.
- Consider implementing an incentive scheme (i.e., a Municipal Incentives Program) targeting regional and local governments to encourage implementation of NI projects.
- Prepare a catalogue of social policies focused on interaction with local communities.
- Identify capacities within the entities responsible for NI projects to design a capacity strengthening roadmap. Design a monitoring and evaluation system for portfolio implementation. Set up a follow-up and mentoring strategy for sanitation service providers' project implementation. Create an implementation, operation, and maintenance plan for NI projects.
- Continue to institutionalize the information NIWS generated with relevant entities (e.g., Ministry of the Environment).

For NI project designers and implementers

- Identify key partners within local communities prior to investing in project implementation in order to better facilitate partners' involvement at all stages.
- Promote a diagnosis of local communities (target population and beneficiaries) during phase 0 that links public investments to communities' main economic activity and the design of NI projects.
- Promote investment in the most advanced projects.
- Promote studies that expedite approval of projects that already comply with the necessary preconditions for mobilization.
- Prepare a work plan in cooperation with Water and Sewage Authority of Lima (SEDAPAL) to 1) incorporate the lessons learned from completed projects; and 2) enhance visibility of NI benefits.
- Strengthen gender equality promotion strategies during interaction with local communities to ensure recognition of women's active participation in NI projects.
- Design a monitoring and evaluation system to follow up on implementation of the tools developed under the Activity.

EVALUATION PURPOSE AND QUESTIONS

PURPOSE

The intermediate evaluation seeks to identify the lessons learned and provide recommendations for: (i) planning the remainder of the NIWS Activity; (ii) promote sustainability of the Activity's results; and (iii) design future nature-based solutions (NbS) for water and climate resilience in Peru and other countries. The latter is particularly relevant given international cooperation agencies' growing interest in NbS.

Evaluation objectives

- Establish whether the NIWS Project design (strategies and theory of change) and subsequent modifications have been relevant.
- Identify the main (foreseen and unforeseen) results; establish the contribution to attaining the objectives; and identify factors that facilitated/hindered the results.
- Assess the sustainability of benefits from the Activity beyond its completion.

EVALUATION QUESTIONS

The Activity's intermediate evaluation includes three main criteria: (i) relevance, (ii) effectiveness, and (iii) sustainability, aligned with the evaluation objectives mentioned above. The following section describes the objectives to be evaluated and lists the evaluation questions in line with the proposed criteria.

RELEVANCE ASSESSMENT

The relevance criterion assesses to what extent the objectives and intervention design respond to beneficiaries' needs, policies, and priorities (OECD, 2019). The relevance assessment attempts to elucidate if the Activity did what was expected it would do. In this light, the assessment analyzed the ToC conceptual model and associated strategies using institutional documents, secondary information, and interviews with key actors to verify the causal relationships on which Project interventions are based.

The relevance assessment considers two aspects. The first one addresses the conceptual justification for Activity interventions and their links to NI policies and plans in Peru; and involves analyzing the Activity's ToC using the sources described above. The second aspect addresses whether the design of Activity interventions is consistent with the objectives they seek to fulfill, i.e., whether the intervention design is in line with the Activity's ToC, expected benefits, and ability to meet the target population's needs.

The following evaluation questions assess relevance:

- 1.1 To what extent are the initial ToC's assumptions relevant (including the causal relationships)?
- 1.2 How has the Project's ToC been adapted over time? What were the reasons for such adaptations and to what extent did they enhance ToC relevance?

EFFECTIVENESS ASSESSMENT

The effectiveness criterion addresses the Activity's compliance with intervention objectives (OECD, 2019). The effectiveness assessment identified the Activity's results (foreseen and unforeseen); established their contribution to the proposed objectives; and detailed the factors that facilitated/hindered their achievement. It is worth underscoring that the quality of the Activity's products, processes, and services is also assessed under this criterion. Effectiveness is measured via final/intermediate beneficiary satisfaction indicators.

The effectiveness assessment identified progress by activity/component using the indicators and targets proposed in the Monitoring, Evaluation, and Learning (MEL) Plan. This information was supplemented with interviews with key actors. The latter provided information on the quality of goods/services produced under interventions, which is not always reflected in the related documentation, i.e., interviews are instrumental for gathering data to construct indicators for key actors' perception of, and satisfaction with, NIWS implementation and results.

The following evaluation questions assess effectiveness:

- 2.1 What are the main Activity results (foreseen and unforeseen) so far?
 - Gender equality promotion and its contribution to Project objectives.
 - Information development and management and contribution to Project objectives.
 - Sensitization among NI stakeholders and creation of a political will to enhance NI investment.
 - Mobilization of public and private funding towards NI investment.
- 2.2 What are the main internal/external factors that facilitated/hindered the Activity's results and objectives?
- 2.3 Which results do key actors prioritize for the remainder of the Activity?

SUSTAINABILITY ASSESSMENT

The sustainability assessment seeks to: (i) measure continuity of benefits from the Project over its lifespan and beyond completion; (ii) identify bottlenecks or problems in the implementation of Activity interventions, as well as maintenance/operational risks.

The assessment also seeks to pinpoint elements that can facilitate the generation/dissemination of new information drawn from research undertaken under the Activity. Additionally, the assessment includes an institutional analysis to evaluate continuity in the application of tools developed under the Activity. Like the relevance and effectiveness assessments, the sustainability assessment involves reviewing institutional documentation, tapping secondary information sources, and conducting interviews with key informants to gather primary information.

The following questions assess sustainability:

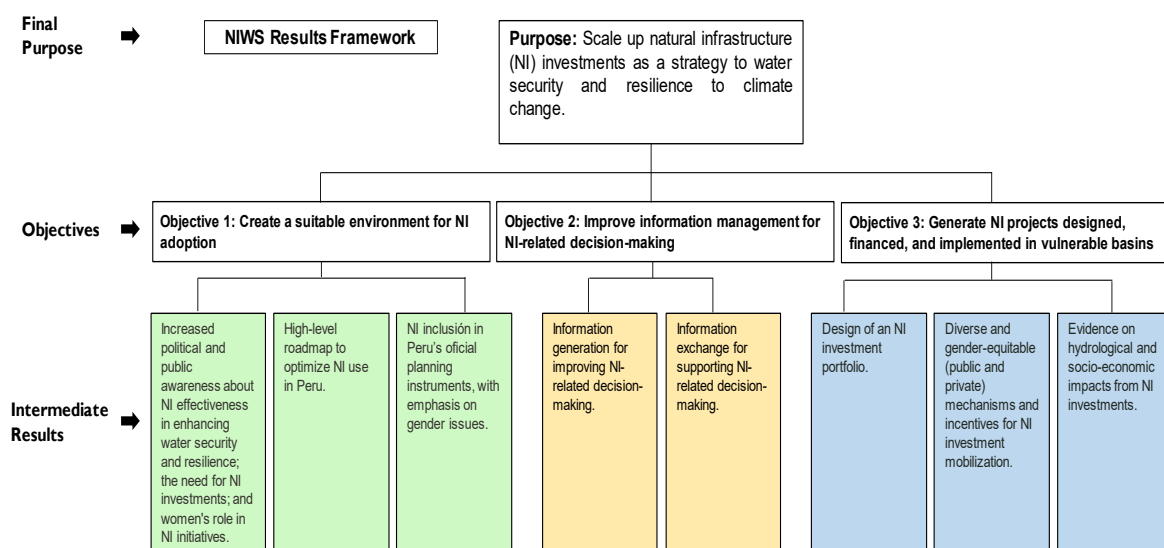
- 3.1 Which are the most relevant results for ensuring the continuity of benefits from the Activity beyond completion, including those related to gender equality? What steps is the Activity taking to develop the necessary conditions for ensuring the continuity of such benefits?
- 3.2 Is it likely that the benefits from the Activity will continue beyond completion? What are the necessary conditions for Activity results to ensure continuity of such benefits? What is the state of the conditions identified?

ACTIVITY BACKGROUND

The NIWS Activity aims to scale up natural infrastructure (NI) investments as a strategy for improving water security and resilience to climate change. Towards this end, the Activity sets three objectives: (1) create a suitable environment for NI adoption; (2) improve information management in NI-related decision-making; and (3) generate NI projects designed, financed, and implemented in vulnerable basins.

In turn, each objective involves intermediate results. Objective 1 includes: (i) enhancing political and public awareness on NI effectiveness, the need of NI investments, and women’s key role in NI activities; (ii) creating a high-level roadmap for optimizing NI use; and (iii) incorporating NI and gender dynamics into government planning instruments. Objective 2 includes: (i) information generation and (ii) information exchange in NI decision making. Objective 3 includes: (i) designing a portfolio of NI projects; (ii) mobilizing diverse and gender-balanced public/private mechanisms and incentives to promote NI investment; and (iii) identifying evidence of hydrological and socioeconomic impacts from NI interventions.

Exhibit 2. NIWS Project - Results Framework

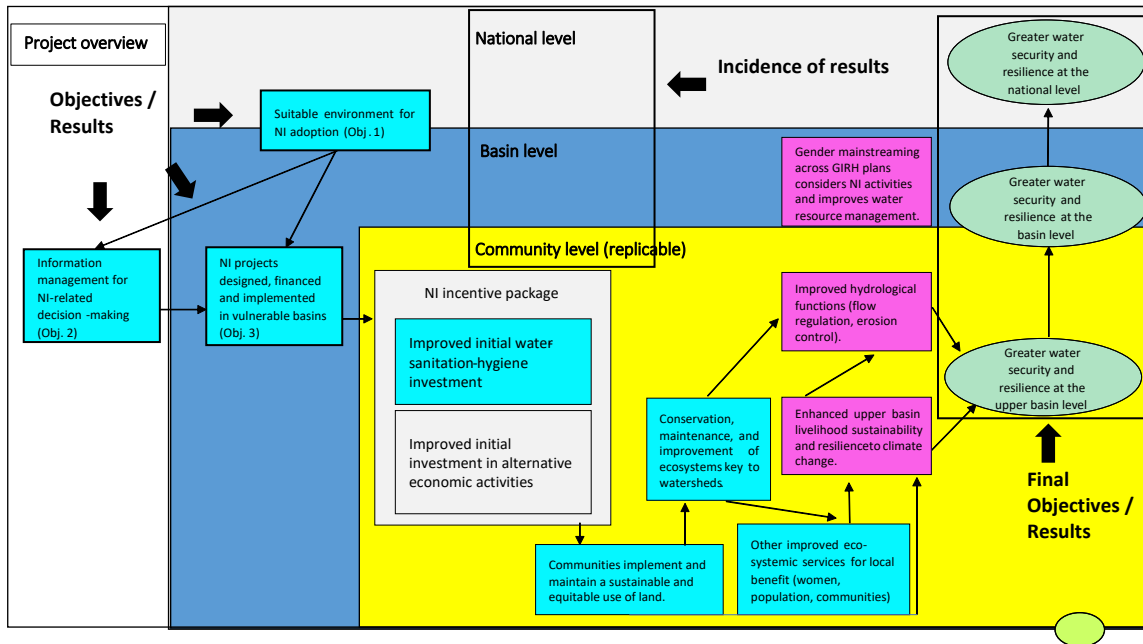


Source: NIWS Project’s Monitoring, Evaluation and Learning Plan (2020) – Page 6.

The results chain for the NIWS Activity begins with Objective 1, which aims to create a suitable environment for the adoption of NI at the national and basin levels. Objective 1, in turn, simultaneously leads to the creation of Objective 2 (information management for NI decision making) and Objective 3 (NI projects designed, financed, and implemented at the basin level). It’s important to note that the development of Objective 2 facilitates Objective 3.

Objective 3 generates intermediate results that lead to the Activity’s ultimate water security and resilience objectives at the national, basin, upper basin, and community levels. By following this results chain, NIWS aims to create a cohesive and effective strategy that prioritizes NI adoption and enables the Project to achieve its overarching objectives.

Exhibit 3. NIWS Project – Results Chain







Source: NIWS Activity’s Monitoring, Evaluation and Learning Plan (2020) – Pages 7-8.

The implementation of the Activity started in December 2017 and is expected to conclude in June 2023. Its total funding amounts to US\$27.5 million⁶ and has a country-wide scope, as its activities affect policies, programs, and institutions at the national level. At the same time, with the goal of targeting efforts and ensuring local impact, the Activity prioritizes the following hydrographic basins in six different regions: Chira-Piura (Piura), Chillón-Rímac-Lurín-Alto Mantaro (Lima), Quilca-Chili (Arequipa), Tambo-Moquegua (Moquegua), Mayo (San Martín), and Vilcanota-Urubamba (Cuzco).

Additionally, the Activity adopts a gender strategy/action plan under which public policies, knowledge, and investments promoted by the NIWS Activity must contribute to enhancing women’s participation and gender equality in water resource management, NI initiatives, and climate change policies. The specific objectives of the gender strategy/action plan are in line with NIWS Activity objectives.

⁶ Financed by USAID and the Canadian Government.

Exhibit 4. Specific objectives of the gender strategy and action plan

Specific Objectives		Associated results (components)
1. Water authorities implement gender mainstreaming across their policies and management.		1. Suitable environment for NI investment.
2. NI research considers studies conducted by women, addressing gender gaps, and women’s ancestral knowledge.		2. Information management for NI-related decision-making.
3. Women access benefits from NI investments.		3. Natural infrastructure projects designed, financed and implemented in vulnerable basins.

Source: NIWS Project’s M&E Plan (2020) – Page 20.

EVALUATION METHODS AND LIMITATIONS

The evaluation used a mixed methodology of qualitative and quantitative techniques. The following section describes the methodological approaches used to conduct the evaluation and gather information.⁷

DATA GATHERING TECHNIQUES

The evaluation included a thorough analysis of diverse kinds of information. From a quantitative perspective, the evaluation team used secondary information generated under the Activity to measure the effectiveness of interventions and associated processes. The team analyzed Activity documentation to assess progress via performance indicators at the process, activity, and product levels.

On the other hand, a qualitative perspective provided a more comprehensive view of the Activity by incorporating the points of view of multiple key actors. This qualitative perspective was instrumental in identifying unforeseen results. The evaluation used three qualitative data gathering techniques: (i) in-depth virtual interviews with Activity staff, government officials, and staff of the Activity's strategic partners; (ii) on-site visits to the Carampoma and San Bartolomé communities; and (iii) a recommendation co-creation participatory workshop with key actors. The following section describes the main features of each technique.

IN-DEPTH VIRTUAL INTERVIEWS

An in-depth interview is a data gathering technique based on face-to-face interviewer/interviewee interaction. This technique allows for greater flexibility in data gathering, as the possibility of reiterating questions favors a better understanding of interviewees' perspectives, perceptions, and experiences. With this technique, the evaluation team conducted semi-structured individual or group interviews, using a mixed strategy that alternated structured (closed) and spontaneous (open) questions.

FIELD VISITS

The evaluation team selected the Carampoma and San Bartolomé rural communities in the Chillón-Rímac-Lurín-Alto Mantaro (ChiRiLuMa) hydrographic basin for on-site visits based on the features of Activity-supported NI investments in the area. The assessment of interventions under the NIWS Activity, using information drawn from the field visits, will be presented below in more detail.

PARTICIPATORY WORKSHOP

The recommendation co-creation participatory workshop was based on the Metaplan methodology, a technique for moderating group input and shaping it into a structured brainstorming process by combining group discussions and visual. The Metaplan methodology was instrumental in identifying recommendations and validating the study's main findings.

⁷ [Annex D](#) shows the data gathering instruments used.

SAMPLE

Defining the study sample involved identifying key NIWS Activity actors including Activity implementation staff; officials from strategic partners responsible for NI investment supervision, formulation, and execution; information creators and disseminators; and communities benefiting from Activity-supported NI investments.

IN-DEPTH VIRTUAL INTERVIEWS

The evaluation team used a list of key actors provided by the NIWS Activity to select interviewees from a broad range of activities in order to cover as many issues as possible. It is important to note that the selection and recruitment process was not coordinated with the Activity.

Additionally, given the evaluation’s gender approach, the selection of key actors considered gender quotas to ensure women’s participation. Moreover, the selection process considered key actors from priority basins (Piura, Moquegua, Arequipa, and San Martín) concentrating around interventions for promoting NI projects. Finally, the list of interviewees included government officials currently or formerly connected with the NIWS Activity. Overall, the team conducted 29 virtual interviews with 48 key actors from a range of entities involved in the implementation of the NIWS Project (Exhibit 5)⁸.

Exhibit 5. Actors interviewed (by role and region)

TYPE OF ACTOR	LIMA	PIURA	MOQUEGUA	AREQUIPA	SAN MARTÍN	TOTAL
NIWS Project Implementers	25	0	0	0	0	25
Investment Supervisors	10	1	0	0	0	11
Investment Formulators and Implementers	3	3	1	2	1	10
Information Creators and Disseminators	2	0	0	0	0	2
Total	40	4	1	2	1	48

Preparation: APOYO Consultoria.

FIELD VISITS

Communities were selected for on-site visits based on the features of Activity-supported NI investments. The team examined variables such as financing sources, location, investment amount, and implementation stage. The selected rural communities (Carampoma and San Bartolomé) are located in the Chillón-Rímac-Lurín-Alto Mantaro (ChiRiLuMa) hydrographical basin. The team conducted the field visits between April 30 and May 2; and included 66 members from both communities.⁹

⁸ [Annex E](#) shows the number of actors interviewed.

⁹ [Annex F](#) shows all persons interviewed in the communities visited.

PARTICIPATORY WORKSHOP

The goal of the participatory workshop was to validate the evaluation findings and conclusions, as well as foster recommendation co-creation. Participants were mainly selected from entities responsible for executing the NIWS Activity (the main stakeholders in the evaluation). Additionally, members of the USAID and USAID-MELS teams also participated. The workshop was conducted on June 14 and included 25 individuals linked to the implementation of the NIWS Activity ([Annex E](#) shows the list of participants and [Annex H](#) describes the work carried out).

STRENGTHS AND LIMITATIONS

The evaluation methodology had both strengths and limitations. One major strength was the mixed-approach study, which allowed for a more comprehensive and in-depth analysis of the findings by using both quantitative and qualitative information in a complementary manner. Information triangulation using multiple information sources ensures reliability of conclusions and is instrumental in identifying congruences, similarities, and inconsistencies in the evaluation process.

The team selected interviewees from a contact list provided by the NIWS Activity with the goal of including the informants most suitable for the assessment. Additionally, the team imposed a gender quota which ensured the participation of a substantial number of women. In addition, although the field visits were limited to one basin (Lima), the evaluation team made sure to include participants from other areas beyond Lima, especially from priority basins with a higher concentration of NIWS Activity interventions (such as Moquegua, Piura, San Martín, and Arequipa). This approach was taken to ensure the inclusion of social perspectives from different regions in the evaluation. However, the evaluation suggests exploring experiences in other basins to compare results for local community involvement in NIWS Activity-supported NI initiatives.

In turn, the evaluation also had limitations. The coordination of interviews and meetings faced challenges that required immediate attention to avoid delays or needing to reschedule virtual and on-site work. Regarding the coordination of virtual interviews, some interviewees ignored the requests the team initially sent, and the team resorted to making repeated phone calls and sending numerous e-mails. Three of the persons contacted eventually rejected the requests and were replaced by actors from the same entities or from other entities playing similar roles. Moreover, some interviews took longer than anticipated due to the scope of the questions and the number of actors in group interviews.

Regarding interviews conducted during field visits, the evaluation team arranged them via letters to community administration councils. Additionally, focal points with knowledge of the targeted areas were appointed to arrange meetings and contact key participants. However, some field visits to the communities had to be rescheduled depending on the availability of the communities and the evaluation team.

Unfortunately, the Carampoma community refused to participate in the study. Instead, the team interviewed three (3) local authorities from the municipality of Carampoma and one (1) community member hired to participate in NI implementation. Therefore, while it was not possible to conduct a community survey (as in San Bartolomé), the team obtained qualitative information on NI implementation in the area and on the community's interaction with the EPSs.

FINDINGS

The findings of the intermediate evaluation are presented below according to the three previously mentioned criteria: (i) relevance, (ii) effectiveness, and (iii) sustainability. The findings answer the assessment questions and are founded on the analysis of documentation, indicators, progress reports, and qualitative information gathered on-site.

The findings are further classified as Project Strength (S) or Area of Improvement (I). Out of eighteen findings the evaluation team identified, eleven are Project Strengths and seven are Areas of Improvement.¹⁰

PROJECT DESIGN

WHAT IS THE RELEVANCE OF THE INITIAL TOC ASSUMPTIONS (INCLUDING THE CAUSAL RELATIONSHIPS)?

The Natural Infrastructure for Water Security (NIWS) Activity aims to scale up natural infrastructure (NI) investments as a strategy for improving water security and resilience to climate change. To achieve this goal, the Activity sets three objectives. First, as the concept of NI was not widely known in the field of investment, it was relevant to create a favorable environment for NI knowledge and implementation. This involves promoting political and public awareness at the national and subnational levels and among local communities,¹¹ as well as creating a high-level roadmap and incorporating NI into government planning instruments to secure NI sustainability.

Second, the ToC considers using information management in NI decision-making. Inclusion of this component within the Activity design is relevant for generating further evidence to underpin and promote NI investments in response to the lack of NI knowledge among national/subnational authorities and the public in general. In this regard, the Activity considers a comprehensive dissemination strategy based on communication orchestras to achieve a better positioning of NI concepts, benefits, and tools over a longer period. The strategy also includes follow up on the information generated under the Activity.

The third objective of the Activity design is to establish the design, financing, and implementation of NI projects in vulnerable basins. This objective is considered to be the most important with regards to the ToC, as it directly affects the scaling up of NI investments. It is important to note that the strategies proposed in the Activity design are geared mostly towards creating an NI project portfolio and ensuring its financing. Relevant government entities then implement the projects in the NI portfolio, not NIWS staff. Significantly, the Activity design underestimated the time required to formulate and mobilize NI investments and overestimated the quality of ongoing projects and the chances of unblocking them to achieve completion. For this reason, the responsibility of future project implementation will lie with the entities in charge; and the Activity's capacity building strategy (based on the "learning by doing" model) is expected to have a limited scope in future implementation, operation, and maintenance stages.

¹⁰ It is worth noting that, in general, the findings are nuanced, as they are not all fully "strengths" or "areas of improvement."

¹¹ Communities are recognized as a central element in NI project development. Their involvement contributes to better aligning projects with the context and facilitates management, implementation, and sustainability.

Finally, the Activity adapted its design in response to the Government of Canada's interest in reinforcing gender issues and working with local organizations (US\$12.5 million funding from this donor). Towards this end, the Activity introduced specific gender strategies under a Gender Action Plan, across its three core objectives. Although the Activity's ToC does mention the gender approach, the specific gender strategies proposed are not adequately reflected in the ToC. Consequently, it is difficult to identify the expected results and impacts from gender equality interventions conducted across the Activity's three objectives.

HOW HAS THE ACTIVITY'S TOC BEEN ADAPTED OVER TIME? WHAT WERE THE REASONS FOR THE ADAPTATIONS AND TO WHAT EXTENT WERE THEY RELEVANT TO THE TOC?

The objectives and results of the Activity's ToC did not change over time; instead, the strategies were modified to improve interventions. Along these lines, NIWS strategies have been adapted according to the needs of key partners and to the context where they were developed with an aim to promote the involvement of multiple entities. Regarding the relationship with key partners, the Activity adopted a per-client approach resulting in diversified activities and outcomes according to the clients' expected contributions to the anticipated impact (EPSs, ARCC, private sector and GOREs). Additionally, the Activity promoted a consensus among authorities on NI in areas where a greater potential for investment promotion was identified.

Summary of findings:

- **Finding 1 (Strength):** The Activity's strategies to enhance political and public NI awareness among key actors were appropriate, as they involved national and subnational officials, as well as local communities, as crucial stakeholders for NI development.
- **Finding 2 (Strength):** The Activity adapted its communication strategies to improve the dissemination and use of information in decision-making via communication orchestras. Additionally, the Activity considered a strategy for following up on the use of shared information among the relevant authorities.
- **Finding 3 (Area of Improvement):** The long-term purpose of the Activity's ToC consists in achieving greater water security and resilience to climate change by scaling up NI investments. At the same time, the Activity's strategies are mostly geared toward creating a portfolio of NI projects and ensuring their financing, backed by implementation carried out by the entities in charge.
- **Finding 4 (Area of Improvement):** The Gender Action Plan includes cross-cutting efforts along the Activity's three objectives and specifies interventions and expected results from the gender strategy implemented by the Activity.
- **Finding 5 (Strength):** Although the objectives and results of the Activity's ToC did not change over time, the strategies were adapted according to the needs of key partners to promote the involvement of multiple entities, thereby enhancing the interventions' potential for achieving the Activity's objectives and purposes.

The following section details the findings regarding the Activity's relevance.

FINDING 1: The Activity’s strategies to enhance political and public NI awareness among key actors were appropriate, as they involved national and subnational officials, as well as local communities, as crucial stakeholders for NI development.

According to the Activity design, generating a suitable environment for NI adoption requires developing and disseminating knowledge on NI and its benefits, such that key actors obtain a better understanding and can later play distinct roles in line with their interests. Exhibit 1 Exhibit 6 details key stakeholders, their interests, and their expected contribution to Activity implementation.

Exhibit 6. Key NIWS Activity stakeholders’ interests and roles^{1/}

Stakeholders	Interests	Contribution/Roles
Activity partners	<ul style="list-style-type: none"> – Ensure good management. – Demonstrate achievements. – Positively influence future NI interventions. 	<ul style="list-style-type: none"> – Design and implement the M&E system. – Create opportunities for reflection and learning from experience.
Government entities	<ul style="list-style-type: none"> – Explore synergies between their actions and the NIWS Activity 	<ul style="list-style-type: none"> – Share information on NI and WS related interventions. – Access information produced by the NIWS Activity. – Co-execute common M&E activities.
Regional and Local Governments	<ul style="list-style-type: none"> – Explore synergies between their actions and the NIWS Activity. 	<ul style="list-style-type: none"> – Share information on NI and WS related interventions. – Access information produced by the NIWS Activity. – Co-execute common M&E activities.
Communities	<ul style="list-style-type: none"> – Improve living conditions via NI. – Verify that NI interventions achieve expected results. 	<ul style="list-style-type: none"> – Participate in the design of NI interventions. – Support dissemination of NI-related knowledge and evidence. – Co-execute common M&E activities.
USAID and Canada	<ul style="list-style-type: none"> – Attain the proposed NI and WS results using the funds envisaged in the Activity. – Positively influence future NI interventions. 	<ul style="list-style-type: none"> – Suggest information and reporting needs. – Use information produced by the Activity. – Support dissemination of NI-related knowledge and evidence. – Participate in learning spaces.

^{1/} There may exist additional interests and roles for the stakeholders on this list. ^{2/} SUNASS, MINAM, MINAGRI, ANA, EPSs, etc.

Source: NIWS Activity's Monitoring, Evaluation, and Learning Plan (2020).

Preparation: APOYO Consultoría

The strategies proposed by the NIWS Activity to achieve adoption of the NI concept among authorities and policy designers at the national and basin levels, such as local governments, were relevant. Their relevance results from their being geared toward attaining greater internalization of the NI concept and its contribution to risk management, adaptation to climate change, and sustainability of production and basic activities. Additionally, the strategies emphasize enhancing NI visibility as a priority investment asset and promoting synergies between institutions involved in NI-related activities. Along these lines, the key stakeholders interviewed recognize and value the NIWS Activity's efforts to incorporate the NI concept into the public agenda and promoting NI awareness among authorities.

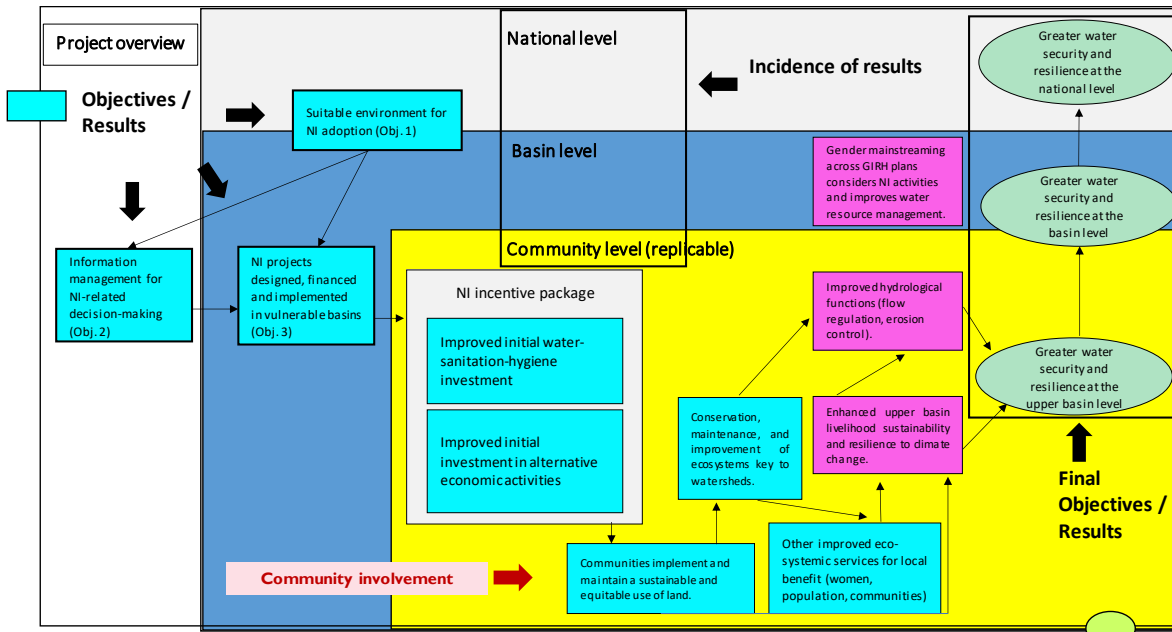
"The Activity has strongly promoted the notion of natural infrastructure"- NGO.

"The Activity's incidence work has been solid. It is important to continue this effort, given the high turnover in ministries" – MVCS.

At the community level, the Activity considered strategies for raising political and public awareness about NI effectiveness from the outset in its ToC and have been further developed during implementation. Community involvement facilitates the implementation of NI projects more in line with the context; and improves management, implementation, and sustainability.

A closer interaction with communities and a greater presence in their environment contribute to achieving the Activity's purposes, as communities (i) have a more concrete understanding of NI short- and long-term benefits for their territories; and (ii) more strongly commit to the investment projects implemented in their environment. Moreover, greater community involvement is important for avoiding delays in the implementation of NI projects and ensuring their sustainability. The definition of water security involves the community's capacity to safeguard sustainable access to water resources in basins' key ecosystems (Exhibit 8).

Exhibit 7. Community involvement within the NIWS Activity's results chain



Note: Emphasis added. Source: NIWS Activity's Monitoring, Evaluation and Learning Plan (2020) – Pages 7-8.

In summary, the NIWS Activity design recognizes the importance of raising awareness among key stakeholders at all levels to define their role within the Activity's objectives and contribute to its purposes. Among national and subnational officials, the Activity highlights NI as a priority investment asset. At the community level, the Activity recognizes that the communities' participation is a priority at most stages, as they contribute to expediting project implementation and ensuring sustainability.

FINDING 2: The Activity adapted its communication strategies to improve the dissemination and use of information in decision-making via communication orchestras. Additionally, the Activity considered a strategy for following up on the use of shared information among the relevant authorities.

The NIWS Activity contributes significantly by generating technical and scientific products and tools for NI-related decision-making. According to the Activity's chain of results, knowledge management has direct implications for the design, financing, and implementation of NI projects in vulnerable basins, as a result of how stakeholders can use the information and tools generated in NI development. In this regard, the dissemination and use of information among the authorities responsible for implementation is a necessary condition for achieving the Activity's ultimate purpose.

According to the Activity's intervention design, the information generated for NI-related decision-making is targeted to decision-makers and project formulators at the local, regional, and national levels, depending on the complexity of the matters in question (i.e., technical and scientific matters). The Activity had proposed introductory webinars with key institutions to disseminate information. However, the communication strategy was adapted to improve dissemination and use of NI information use among key stakeholders.

As part of that adaptation, the Activity introduced the “communication orchestra” strategy, which consists in simplifying the most important technical and scientific evidence that the Activity developed to disseminate it in multiple time windows via a range of instruments.¹² Under this strategy, the communication varies in informative intensity depending on the time allotted or the width of the window of opportunity. In this regard, it is possible to define three moments in time: (i) coverage or introduction [the launching of the communication strategy with lower informative intensity]; (ii) peak [the dissemination of more complete information via events and recognized authorities], and (iii) bridge [keeping a constant communication pace to preserve the relevance of the disseminated messages].

Moreover, the Activity included the adaptation of a follow-up strategy to the use of information shared among the relevant authorities. The indicator established initially to measure the follow-up and use of information generated under the Activity, as defined in the Monitoring, Evaluation, and Learning Plan¹³ is too general to measure the use of information and instruments by the main stakeholders. Along these lines, the Activity conducted a study on the use of information generated and disseminated in 2021, which involved public sector entities,¹⁴ academic institutions,¹⁵ the private sector, NGOs, and EPSs, among others. The study produced more specific indicators that had not been defined initially, such as the following:

- **Information usefulness:**¹⁶ The study gathered information on the usefulness of the materials and subjects for key stakeholders. The questions in this section were:
 - Which of our technical studies and meta-analytical reports have been useful for you?
 - Which information on the formulation and implementation of public NI investment projects have been useful to you?
 - Which of our technical tools have been useful to you?
 - Which other materials have been useful to you?
 - Which information has been most useful to you?
- **Information use:**¹⁷ The study gathered information on the use of information per type of recipient institution. The question in this section was:

¹² The strategy was given this name because it recalls an orchestra, which is made up of multiple elements: (i) musicians, evoking the members of technical and communications teams who provide information, scientific evidence, and communications products; (ii) instruments, representing the communications tools used for dissemination purposes (publications, briefs, infographics, animated videos, webinars, graphic harvesting ads, postings, etc.); (iii) the choir, recalling the members of the technical and communications teams who emphasize and promote messages via scientific evidence and multiple other channels; and (iv) soloists, representing high-ranking officials with the necessary credibility to convey key messages to the public.

¹³ EST-2 Indicator: Number of persons using climate information or implementing risk-reduction actions (facilitated by the U.S. Government) to improve resilience to climate change.

¹⁴ GOREs, GOLOs, SUNASS, ANA, SERFOR, MIDAGRI, MINAM, MVCS, SERNANP, and ARCC, among others.

¹⁵ Includes teachers, students and people from research centers.

¹⁶ Most persons interviewed (99%) indicated at least one piece of Project-generated material that they found useful. The three most reported issues were: project formulation for *bofedales* and wetlands; and gender and women’s role. Source: Study on the use of information generated and disseminated by the NIWS Project (2021).

¹⁷ The main uses reported were inputs for technical studies or research (55%); inputs for capacity building and technical assistance (46%); formulation of NI investment projects/initiatives (39%); and entities’ internal communication (25%). Source: Study on the use of information generated and disseminated by the NIWS Project (2021).

- How have you used the information received?

In this regard, the Activity succeeded in adopting new strategies to disseminate information for NI-related decision-making. One such strategy was the "communication orchestra," which helped to organize and present information in a concise manner and reach further audiences. Additionally, the Activity developed a follow-up strategy to track the use of the information shared among relevant authorities. To measure the effectiveness of these strategies, a study was conducted with more specific indicators.

FINDING 3: The long-term purpose of the Activity's ToC consists in achieving greater water security and resilience to climate change by scaling up NI investments. At the same time, the Activity's strategies are mostly geared toward creating a portfolio of NI projects and ensuring their financing, backed by implementation carried out by the entities in charge.

The NIWS Activity's ToC sets the long-term goal of enhancing water security and resilience to climate change at the national, basin, and community levels by scaling up NI investments. Along these lines, the NIWS Activity considers the design, financing, and implementation of projects (Objective 3) as part of its objectives. In turn, the Activity's design considers three intermediate results behind the said objective:

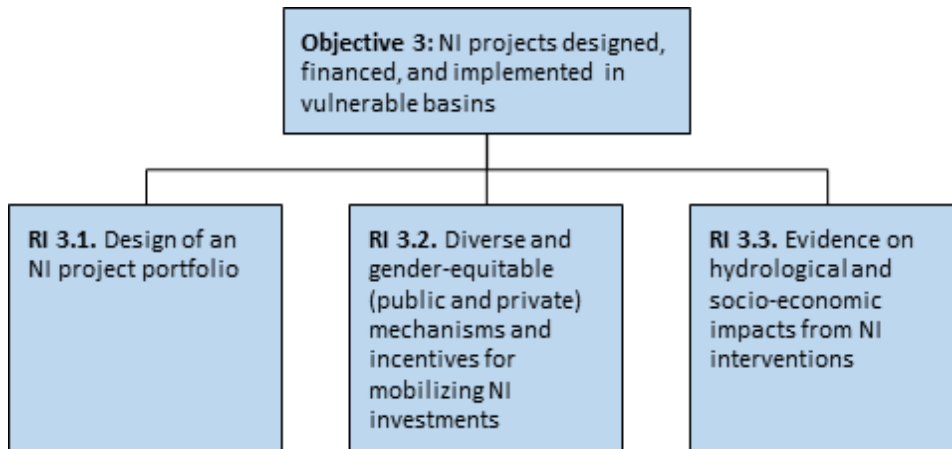
- RI 3.1: Design a portfolio of NI projects.
- RI 3.2: Mobilize diverse and gender-balanced (public and private) mechanisms and incentives to encourage NI investments.
- RI 3.3: Achieve improved hydrological and socioeconomic impacts.

The results framework for Objective 3 (Exhibit 8), shows that it considers only the design of a portfolio of NI projects and the mobilization of investments, which would be insufficient for ensuring implementation of NI projects within vulnerable basins in the long run. The Activity assumes that the responsibility for implementing the projects lies with the entities in charge of the investments,¹⁸ as the Activity's strategy aims to mobilize and scale up investments by third parties. Therefore, the Activity relies on the implementation capacity of the entities in charge, which limits and hinders the Activity's contribution to the long-run purpose stated in its ToC.

At this point it is worthwhile to consider other assumptions in the ToC. For example, a faster mobilization of existing projects at more advanced implementation stages. However, such projects had not been well designed, and sometimes it took longer to correct them than starting new projects from scratch.

¹⁸ Entities responsible for executing projects engage GOREs, GOLOs, EPSs, ARCC, and private companies, among others.

Exhibit 8. NIWS Activity -Results Framework (Objective 3)



Note: Emphasis added. Source: NIWS Activity's Monitoring, Evaluation and Learning Plan (2020) – Page 6.

Additionally, it is important to consider that, within the NIWS Activity's Monitoring, Evaluation, and Learning Plan, Objective 3 proposes the following outcome indicators:¹⁹

- EST-3: Investment amount (in U.S. dollars) mobilized for climate change adaptation by the U.S. Government (EG. I1-4).
- PROP-1: Investment (in U.S. dollars) according to the stage in the project implementation process.
- EST-4: Number of hectares in biologically significant areas under improved natural resource management resulting from U.S. government assistance (EG. I0-2-2).
- EST-5: Number of people receiving improved economic benefits from sustainable natural resource management and/or conservation of biodiversity, resulting from U.S. government assistance (EG. I0.2-3).

The EST-3 indicator²⁰ monitors progress regarding amount of investment mobilized, i.e., the financial resources targeted or budgeted for the design, evaluation, implementation, operation, maintenance, monitoring, and promotion of NI activities by public and private entities. Therefore, the mobilized amounts are those at the implementation stage, with valid technical records and considered within each entity's budget.²¹

The Activity proposes the PROP-1 intermediate indicator, considering that the fund mobilization process (measured by the EST-3 indicator) is long and would therefore make invisible the Activity's efforts and the commitment of the entities responsible for the investments. In this light, the PROP-1 indicator measures the budget for public investment projects (PIPs) or private projects that have moved on to further stages during the reporting period as a result of the Activity's direct action until the stage before being recorded as mobilized investment using the EST-3 indicator.

¹⁹ It should be noted that EST-3, PROP-1, and EST-4 are considered indicators for the Project's purpose according to the NIWS Project's MEL Plan.

²⁰ EST-3 Indicator: Investment amount mobilized (in U.S. dollars) for climate adaptation via assistance provided by the U.S. Government.

²¹ A private sector investment is considered mobilized when the project profile is approved by the board of directors or other relevant entity.

Additionally, it is important to underscore that outcome indicators EST-4 and EST-5 require the implementation of NI projects. EST-4 identifies specific NI interventions implemented directly or indirectly by the Activity, as well as the number of hectares covered. EST-5 captures the number of people accessing economic benefits from Activity-supported interventions. It also provides evidence on the value added created by NI projects.

Therefore, the Activity's contribution within Objective 3 includes the elimination of bottlenecks in the implementation of NI projects over all stages of the investment cycle. Given the sequential nature of investment projects, this implies accompanying the development, financing, and mobilization process as indicated by the NIWS Activity. At the same time, the Activity design does not emphasize a clear strategy for ensuring effective implementation of NI projects in target vulnerable basins, especially considering that project implementation does not depend directly on the NIWS Activity, but on entities facing red-tape hurdles.²²

“It is crucial for the project to identify the NI amount mobilized at this stage, as it shows the direct interventions implemented and, especially, the indirect ones. In these cases, the Activity will focus on removing implementation barriers or obtaining additional leverage, which requires close follow-up of the investments committed at every stage” – NIWS Activity’s Monitoring, Evaluation, and Learning Plan (2020), pages 83-84

Although recognizing that the Activity has promoted NI investments via the creation of foundations, tools, instruments, and technical studies, there are few projects at the stage of mobilized funds and fewer still that are close to completion. NI projects will be implemented as long as they are included in public budgets, but only through their implementation, functioning, operation, and maintenance will their results and benefits be sustainable over time.

“We basically spent the first five years at the drawing board. It was only this year that projects began to be physically implemented. (...) There are very few projects at the implementation stage” – CONDESAN.

It is important to highlight that, in line with the rationale of the NIWS Activity's ToC, it is the NI investment scale-up that will contribute to the long-term goal of enhancing water security and resilience to climate change. In this regard, the Activity has contributed to designing a portfolio of NI investments. This is a necessary but not sufficient condition for contributing to the Activity's ultimate long-term goal.

FINDING 4: **The Gender Action Plan includes cross-cutting efforts along the Activity's three objectives and specifies interventions and expected results from the gender strategy implemented by the Activity.**

The NIWS Activity was launched in December 2017 with USAID as sole donor. In April 2018, the Government of Canada expressed interest in complementing the Activity's work with funding and

²² It is recognized that, in the case of NI projects, the fact that the notion was unknown to public/private entities responsible for implementation, as well as TEG inclusion in NI project design, posed additional challenges.

interventions focused on gender equality and localization.²³ This joint USAID-Canada effort resulted in the expansion of the Activity's design, to include a cross-cutting gender component and the development of a strategy under a Gender Action Plan. The Plan aims to promote public policies, knowledge, and investments geared to promoting women's participation and gender equality in water resource management, NI initiatives, and climate change policies.

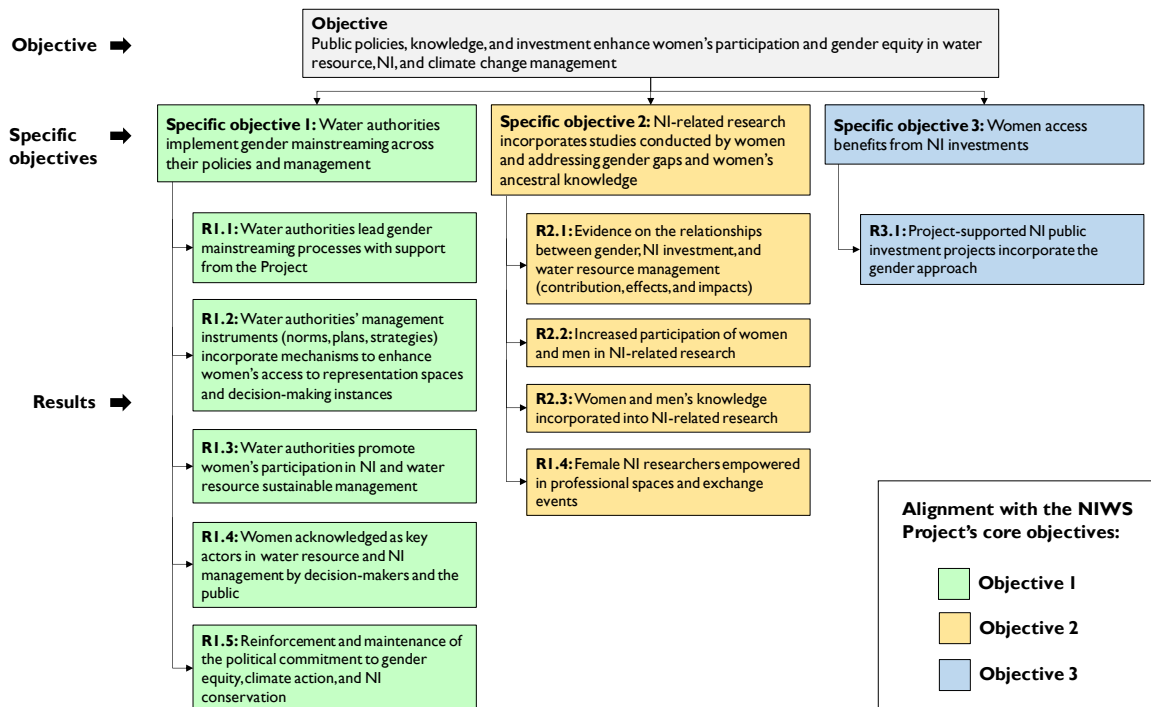
The Activity aims to achieve gender equality results via its three components and the actions proposed for their implementation. The specific objectives of the Gender Action Plan are aligned with each one of the NIWS Activity's core objectives. Therefore, its implementation is cross-cutting to activities within each component of the NIWS Activity. Per objective, the Activity's gender strategy focuses on:

- Objective 1 - ensure that key actors in public water entities improve their understanding of the importance and benefits of incorporating a gender approach into their policies and project management.
- Objective 2 – leverage the contributions of women and other vulnerable groups to support better decision-making and generate information on gender inequalities.
- Objective 3 – promote the implementation of a portfolio of NI projects, which must consider strategies to address gender inequalities and encourage women's participation as beneficiaries and members of decision-making bodies.

Along these lines, the Gender Action Plan for the Activity's gender interventions sets the main objective, the specific objectives, the results, and the activities to carry out as follows (Exhibit 9):

²³ Canada's Feminist International Assistance Policy seeks to protect and promote human rights and enhance participation of vulnerable and marginalized groups in equitable decision-making processes, to secure permanent economic and social equality. Towards this end, it supports specific investments, associations, innovations, and promotion efforts with the highest potential for bridging gender gaps and improving chances of success for all (Government of Canada, 2021).

Exhibit 9. Gender Action Plan ToC



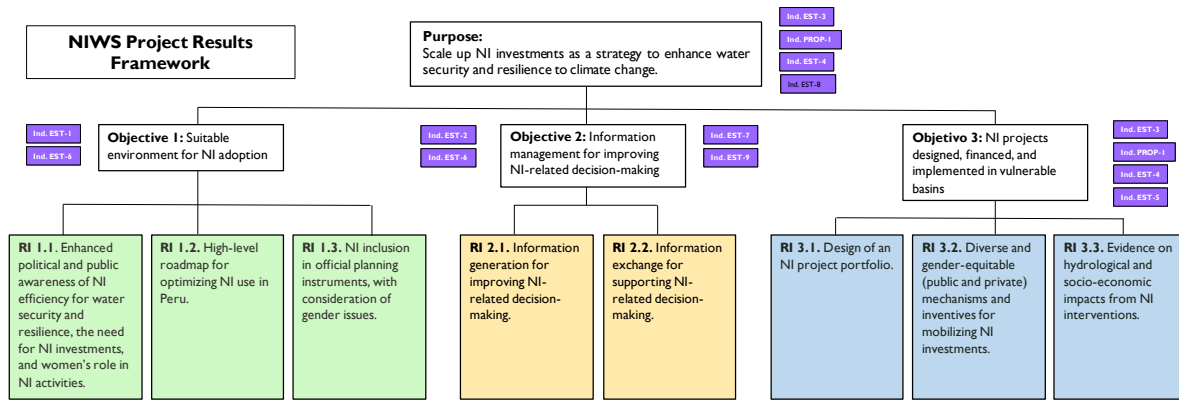
Source: Gender Strategy and Action Plan (Presentation – July 2020). Preparation: APOYO Consultoria

Importantly, although the Activity's ToC mentions a gender approach, it does not fully reflect the Gender Action Plan, as it omits the results set therein. This makes it difficult to identify comprehensively the rationale of the gender approach chain of results that the Activity promoted. The Gender Action Plan, on the other hand, does define the interventions, results, and specific objectives of the Activity's gender strategy; and how they are aligned across the Activity's three objectives (Exhibit 9).

Additionally, the Gender Action Plan establishes the indicators for measuring progress against the specific objectives set within the Activity's gender strategy. The indicators proposed in the Gender Action Plan are mostly the same as those used to measure progress in the Activity's objectives but applied to gender-related demographic variables. Moreover, the Gender Action Plan specifies that gender indicators are linked to the specific gender objectives in the same way as the Activity indicators (Exhibit 10).

“In all, 6 out of 10 indicators provide gender-related information; and 5 are aligned in turn with standard indicators proposed by USAID for the gender dimension.” – Gender Strategy and Action Plan (2020), page 63

Exhibit 10. Relationship between NIWS Activity objectives and indicators



Note: Reconstructed from the MEL Plan – Pages 22-24.

Following the links between the Activity’s original indicators and core objectives in the MEL Plan and the Activity’s annual reports, the exhibit below presents the Activity’s gender indicators in line with the specific Gender Action Plan objectives they serve (Exhibit 11).

Note: gender indicator EST-7 (number of institutions with greater gender-based approach capacities) was originally considered as part of gender strategic objective 2²⁴ according to the Gender Action Plan and the MEL Plan. However, based on an examination of the Activity’s documentation, the evaluation team suggests that EST-7 is more closely aligned with specific objective 1 of the Gender Action Plan²⁵ (Exhibit 11).

Exhibit 11. Gender Plan Indicators^{1/}

Specific objectives	Indicators
1. Water authorities implement a cross-cutting gender approach across their policies and management practices	EST – 1: Number of legal instruments drafted, proposed, or adopted with USG assistance designed to promote gender equality or non-discrimination against women or girls at the national or sub-national level (GNDR-1)
	EST – 6: Number of women trained in climate adaptation
	EST – 7: Number of entities with greater gender-based approach capacities ^{2/}
2. NI-related research incorporates studies that are conducted by women, address gender gaps, and explore women’s ancestral knowledge	EST – 2: Number of women using information or implementing risk-reduction actions to improve resilience to climate change
	EST – 6: Number of women trained in climate adaptation
3. Women access NI investment benefits	EST – 5: Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) (GNDR-2)

24 OE2: NI-related research incorporates studies conducted by women, and studies addressing gender gaps and women’s ancestral knowledge.

25 OE1: Water authorities implement TEG across their policies and management practices.

1/ The table shows the links between the indicators and strategic objectives in line with the analysis conducted by APOYO Consultoría. 2/ According to the MEL Plan, the EST-7 indicator was part of strategic objective 2. However, it is more aligned with specific objective 1 of the Gender Action Plan. Source: Gender Strategy and Action Plan. Source: APOYO Consultoría.

It is also important to note that the Gender Action Plan **does not** establish the necessary human resources or specialist team to address the integration of a gender approach as determined in the strategy.²⁶ Although the policies of the Gender Action Plan are conceptually assigned to each Activity objective, a necessary next step is to determine which staff (and with which skills) is needed to implement the gender strategy. This impacts the relevance of the Gender Action Plan as, in addition to laying out strategies, its successful implementation requires the proposal of specific plans and the appointment of specific people to implement those plans. Such an approach would result in a clearer roadmap for following up on processes and assessing progress.

Overall, the NIWS Activity has made considerable efforts to incorporate gender equality as a crosscutting effort into the results framework. The Gender Action Plan identifies the results and objectives framework expected from interventions under the Activity regarding gender equality. At the same time, that framework is not yet fully reflected in the Activity's ToC. Additionally, the Gender Action Plan establishes that the proposed gender indicators are the same as those defined for each Activity objective, with emphasis on gender socio-demographic differences, which facilitates linking them with the Activity's focus.

FINDING 5: Although the objectives and results of the Activity's ToC did not change over time, the strategies were adapted according to the needs of key partners to promote the involvement of multiple entities, thereby enhancing the interventions' potential for achieving the Activity's objectives and purposes.

Activity objectives have been preserved since their inception. However, the strategies have been adapted throughout the implementation process. Such adaptations have responded to the political/economic context and to interactions with key partners and with Activity teams.

Regarding adaptation dictated by interaction activities, the Activity adjusted its work to each key partner's needs in areas with the highest potential for promoting NI investments. Although the original design addressed NI activities more generally, the Activity established that each implementation partner faced distinct and complex challenges in unblocking investments.

This per-partner approach facilitated the creation of specific synergies with Activity teams. In the context of institution-building work (Objective 1) and generation of scientific evidence (Objective 2), the information generated by Component 2 serves as input for Component 1 to convey it to the relevant public and promote its appropriation.

“We envisage two simultaneous lines of work: one geared towards sensitization and understanding of the implications of NI promotion among authorities. The information that we generated as an Activity proved key in this respect [...]” – SPDA.

“Component 2 support has been important, as it provided us with science-based information that was instrumental in substantiating these interventions.” – Forest Trends

²⁶ The interviews suggest that there are difficulties in searching for gender specialists in the water sector.

The Activity's strategies regarding (i) development of an NI roadmap and (ii) NI inclusion in planning instruments were also adapted. Concerning the former, the Activity's initial political and communication incidence actions were instrumental for establishing that NI approaches require a crosscutting approach and the involvement of multiple actors participating in integrated water management. In this light, the Activity's strategy was the following:

- Promote cooperation spaces among authorities to muster consensus on NI work: help high-level and decision-making authorities get together by organizing meeting events. These authorities include MINAM, MIMP, Ministry of Agriculture (MIDAGRI), and SUNASS. The events included:
 - The Forum on Gender Equality and Water Security (2019)
 - The National Forum on Natural Infrastructure (2019)
 - The First National Water Summit (2018)

These events were instrumental in achieving specific commitments by NI authorities, who later initiated normative processes. They also provided a space for dialogue between authorities, EPSs, communities, and the private sector.

- Reorienting the political debate towards technical spaces and international processes: the Activity supported the reactivation of the National Wetland Committee, a multisectoral and decentralized body made up of 10 authorities, which was instrumental for promoting the legal framework for the management, protection, and defense of wetlands, with emphasis on NI. Additionally, the Activity emphasized the inclusion of NI recommendations in water governance discussions led by the Organization for Economic Co-operation and Development (OECD).

“The Activity has succeeded in positioning NI investments in the political agenda at the level of Peru’s international commitments and incorporating it into the relevant entities’ high-level planning instruments. [We have achieved] solid recognition and NI incorporation into the OECD’s Water Governance Report, which provides recommendations that lay the foundation of a trans-sectoral roadmap.” – SPDA

Regarding NI inclusion into planning instruments, the domestic political context in recent years has interrupted dialogue on instrument design. Moreover, the significant lack of understanding of the implications of addressing NI identified among decision-makers hindered NI inclusion within the authorities' priority agenda. In this light, the Activity adapted the strategy as follows:

- Channel efforts towards identifying and influencing normative and legislative processes: the Activity created the necessary legal, political, and scientific knowledge to influence the political agenda and, in turn, attain the necessary NI-related regulatory improvements, e.g., introducing a roadmap to guide wetland-related institutional and normative changes.
- Accompany the processes for promoting normative/institutional changes: The Activity provided technical/legal assistance to define each normative proposal, backed by the necessary technical-legal-economic support for future adoption by the authorities.

In its search of financing, the NIWS Activity needed to adapt its strategies according to the needs of key partners, i.e., private sector actors and ARCC. Regarding the former, project financing requirements were modified; as for the latter, the Activity incorporated/modified activities for providing ARCC with NI-related technical assistance and accompaniment.

The strategy was adapted to trigger a gradual involvement of private sector actors in NI development and implementation; and the Activity found that those private sector actors have an interest in investing at a larger-scale as a complement to public investment efforts.²⁷ In response, the Activity generated investment strategies via Works for Taxes (Oxl) schemes and co-financing of technical studies on public investment, which succeeded in attracting private sector interest. As expressed during the interviews, such involvement is expected to increase when the benefits from NI ongoing projects materialize.

“Private investors are shy and will not put their money into something that will not fully benefit them [...] It is not easy to engage private companies in something innovative.”

“When we presented a project [to private sector investors], they said: We’re interested, but we could consider doing part of it.’ It was necessary to adjust the PIP to their interests.”

“Another change in strategy is that we thought that a company could invest in an entire project, [...] but we realized that in some cases they were not really interested in investing in the whole project. [The change in strategy was to ask] the private sector to finance the pilots they wanted and the public sector to expedite other aspects.” – Forest Trends

Moreover, there was a change of strategy to incorporate the ARCC within the NIWS Activity’s key partners. The original design did not consider the ARCC, and therefore its inclusion required changing the initial approach. The ARCC had the mandate to conduct NI interventions but had postponed them due to lack of knowledge and initiatives. Therefore, the Activity revisited the strategy and established multiple activities to develop projects with the necessary quality to obtain financing:

- Technical support to develop methodological tools.
- Capacity building.
- Specialized technical assistance for actors involved in reconstruction-with-changes initiatives.

“They are supporting us in preparing methodological guidelines to be implemented as part of the definitive studies. (...) They also helped us to prepare the ToC for this process.” – ARCC.

“ARCC emerges as a response to the 2017 El Niño Phenomenon. Our job was to rebuild the infrastructure affected and implement disaster risk management (GRD) comprehensive solution projects. [...] Hence the importance of Forest Trends’ technical assistance [for preparing these kinds of projects]” – ARCC.

It is important to highlight the Activity’s creation of the Advisory Council’s Technical Platform, which serves as an executive and continuous space for pressing ahead with specialists in relevant

²⁷ For example, the NIWS Project succeeded in promoting a pilot project under an innovative collaboration model between the GORE and Anglo American Quellaveco in Moquegua, in light of private sector resistance to invest directly.

technical areas from each member entity.²⁸ This strategy facilitated progress even in a context of political instability by keeping productive work relations with technical counterparts. Additionally, the Technical Platform enabled the Activity to work directly with local-level and private sector officials with decision-making power despite the difficult political context. Exhibit 12 shows some of the topics discussed during the meetings held in 2020 – 2021.

Exhibit 12. Summary of Technical Platform meetings (2020 – 2021)

Topic	Description	Year
Economic reactivation	Issue for discussion: “What actions/proposals, in terms of NI investments, is your sector prioritizing in a context of economic reactivation?”	2020
Development of capacities and webinars	Presentation of the analysis and results of the use of the Activity’s virtual tools to promote sensitization and develop capacities.	2020
Research agenda	Presentation of the main findings from systematic reviews of key NI interventions. Construction of an NIWS research agenda.	2020
Progress under the NIWS Incubator	Identification of NI investment opportunities in Ica – Huancavelica; and development of technical records for the Chancay - Huaral PIP.	2020
Gender gap study	Presentation of the main results of the Study on Gender Gaps in NI activities and water management.	2021
NI for GRD	ARCC presented the lessons learned in the formulation of NI projects in the framework of comprehensive plans, as well as implementation progress.	2021
First MERESE project implemented by SEDAPAL	SEDAPAL presented the lessons learned from the implementation of the first project with MERESE funds in Milloc - Carampoma.	2021
Gender equality promotion	SUNASS and ANA presented the progress in their Gender equality promotion processes. Identify opportunities for Gender equality inclusion in other entities.	2021
Prioritized NI investment portfolio	The Ayacucho Regional Government presented one of the projects it has been formulating with technical assistance from the NIWS Activity, and MIMP. The Activity presented the prioritized investment portfolio for Regional Governments and SEDAPAL.	2021

*Note: The list in this table is not exhaustive of the meetings held.
Source: Annual Reports 2020 – 2021. Preparation: APOYO Consultoría*

Therefore, although the ToC was not modified during the implementation period, the strategies were modified to achieve the Activity’s objectives in line with the context and the needs of key actors. This promoted the creation of synergies within Activity teams, the development of an NI roadmap, the inclusion of NI in planning instruments, and the involvement of key actors (private sector actors and the ARCC) in the search of financing for NI projects. Finally, it was relevant to

²⁸ The working groups formed for the Technical Platform dealt with (i) gender, (ii) communications, (iii) capacity building, and (iv) implementation.

build relations and institutional platforms in the first years of the Activity. This strategy promoted the necessary institutional commitment, technical continuity, and inter-sectoral cooperation for addressing bottlenecks in the mobilization of NI investments and gender gaps in the water sector.

EFFECTIVENESS

WHAT ARE THE ACTIVITY'S MAIN RESULTS (FORESEEN AND UNFORESEEN) SO FAR?

The Activity made considerable progress in raising awareness on NI and its effectiveness for water security and resilience to climate change among national government authorities and water entities, resulting in NI inclusion in multiple official documents. Additionally, the Activity's communication strategies laid the foundation for wider dissemination of NI-related information to authorities and civil society organizations, adapting the language and message packaging accordingly.²⁹ As a result, as of 2021, the Activity has positioned NI in 22 government planning instruments, i.e., 16% above target.

NI awareness and positioning at the GORE/GOLO levels face additional challenges. Awareness and incidence work with authorities takes between 6 and 12 months. With high staff turnover, much of this work can be lost with the departing individuals. Consequently, some subnational officials have not yet promoted NI projects as a key element within their investment portfolio and budget. This may imply that the Activity still needs to provide close accompaniment and assistance to promote a favorable environment for NI investment within the regional and local layers of government.

At the community level, the Activity's most outstanding results are the development of guidelines for formulating NI projects with emphasis on community involvement, and the inclusion of direct benefits for communities from NI projects. Although multiple agreements have been completed with community authorities from municipalities where Activity interventions have been implemented, challenges remain regarding outreach to, and sensitization of, certain communities. As a result, members of some communities are not aware of NI benefits and do not provide the necessary support for project implementation. The Activity is determined to continue strengthening community involvement in NI projects, especially at the most critical stages of design and implementation.

The Activity also developed guidelines for NI project development that had not been previously considered, generated tools for improving the quality of projects from identification to formulation,³⁰ and built a portfolio of professionals with NI capacities. Progress is reflected in the indicators for this objective in 2021: (i) 717 persons (vs. 185 persons targeted for the year) use information generated under the Activity; (ii) 4,116 persons (vs. 990 persons targeted for the year) attended capacity building activities on climate adaptation; (iii) 5 institutions³¹ enhanced their capacities for assessing/addressing climate change risks (71% above target).

²⁹ For this effort, it was useful to create synergies between the Activity's internal teams under the work on institution-building (objective 1) and scientific evidence (objective 2).

³⁰ The technical-scientific tools/information that the Activity developed followed a trial-and-error process to secure their alignment with users and their location.

³¹ GORE Arequipa, GORE Piura, GORE Moquegua, SUNASS, and SEDAPAL.

The Activity adopted a new strategy to disseminate the tools and information generated: communication orchestras. These consist in streamlining the most relevant figures and data and disseminating them across different time windows through multiple instruments, thereby expanding the outreach of information. As a result, several tools now have an institutional home, as the Activity developed and co-published them with government institutions, e.g., HIRO-GRD (Rapid Opportunity Identification Tool for Disaster Risk Management); HIRO-Environment; Guidelines for Optimization, Marginal Expansion, Rehabilitation, and Replacement Investments (IOARR); ICP Guide; and Ecosystem Assessment Guides. User entities are expected to fully own all the tools that the Activity created or promoted with a view to ensuring their future management, updating, and use.

The NIWS Activity has contributed to covering the lack of staff, capacities, technical tools, information and supporting scientific evidence for creating a solid portfolio of NI projects. Additionally, the Activity contributed to creating a market where EPSs, the ARCC, and GOREs demand services to design and formulate NI projects, and where consultants and NGOs offer services to meet that demand. In this way, the NIWS Activity has built a portfolio for the implementation of NI projects via technical assistance to EPSs for formulating and mobilizing project using funds from the Ecosystem Service Compensation Mechanism (MERESE), and the connection with the ARCC and private sector actors (via mechanisms like Oxl). As of 2021, the portfolio is made up of 60 projects amounting to US\$379 million, i.e., 13.5 times the target for the year (US\$28 million).

Although the Activity has succeeded in creating an important portfolio of NI projects, funds for implementing only 5 projects had been mobilized as of the end of 2021.³² The investment amount mobilized as of 2021 reached US\$3.5 million, i.e., 12.5% of the target for the year (US\$28 million). Challenges include a lack of technical staff and high staff turnover in public entities, red tape-related delays in government processes, political uncertainty, the Covid-19 pandemic, and EPS delays in their interaction with communities. It is important to mention that investment mobilization is in process and significant progress is expected in the short run. Out of 55 projects not yet mobilized, 29 have been declared viable and implementation of most of them (26) depends on studies and final approval.

Finally, the Activity has provided MIMP with technical assistance to incorporate gender into the activities of national water authorities (SUNASS and ANA). The Activity cooperated with MIMP to implement a gender equality integration policy in those entities. Support to MIMP focused on technical assistance for incorporating gender into the policies and management of SUNASS and ANA. As a result, the Activity achieved having 6 legal instruments designed, proposed, or adopted to promote gender equality and eliminate discrimination against women as of 2021 (86% of the target for the year). It is important to underscore that SUNASS has made better progress than ANA regarding gender issues and has been more open to incorporating proposals in this field. The Activity's efforts to promote gender equality must address entrenched stereotypes, insufficient gender integration leadership within entities, and lack of gender integration-related processes and proceedings.

³² According to the MEL Plan, mobilized investment is defined as financial resources **earmarked or budgeted** for climate adaptation actions, especially involving NI investments. Additionally, the amounts mobilized are those at the "execution" stage, i.e., with valid technical records and **programmed within the entity's budget**. In the case of the private sector, this means that the profile has been approved by the board of directors or other relevant body.

Additionally, the Activity surpassed the number of women targeted to receive training on climate adaptation, i.e., 1,751 as of 2021 (4.4 times the target). Moreover, 288 were reported to use information or implement actions promoted by the Activity in 2021 (7.2 times the target). To achieve these results, the Activity promoted multiple strategies, including developing tools/forums, as well as more individual support to entities such as MINAM, MIMP, and NGOs focused on promoting a gender equality approach.

At the project level, the Activity has made progress in the diagnosis and design of guidelines providing recommendations for including the gender approach in NI investment projects from their inception; and has provided gender-related technical assistance to the technical teams in charge of project formulation. At the same time, as both strategies are still under implementation, gender equality across the NI project portfolio is yet to materialize.

WHAT ARE THE MAIN INTERNAL/EXTERNAL FACTORS THAT FACILITATED/HINDERED THE ACTIVITY'S RESULTS AND OBJECTIVES?

The Activity faced a context characterized by political, social, and economic crisis due to frequent presidential changes and by the Covid-19 pandemic. Political instability resulted in authorities departing their positions from partner entities and disrupted processes that the Activity had initiated. The pandemic created barriers to on-site activities, hampering the mobilization of investments and impeding interactions with public and private partners. Furthermore, the Activity's ability to be physically present in the field was limited due to pandemic-related restrictions. A more extensive presence in the field, would have facilitated the implementation of the Activity's guidelines, enabled better follow-up, and allowed for lessons learned to be systematized concerning how to engage with local communities.

The most important internal factor for attaining the ToC's results and objectives is the Activity's adaptive management. The Activity adapted strategies in line with the needs of key partners and any conditions for promoting the involvement of multiple entities. Along these lines, the Activity adopted a per-client approach, whereby activities and results varied according to the needs of clients (EPSs, ARCC, private sector and GOREs). The Activity also promoted spaces for cooperation among authorities to muster consensus on NI work. The strategy aimed at meeting concrete and specific needs in areas where a greater potential for NI investment promotion was identified.

WHICH RESULTS DO KEY ACTORS PRIORITIZE FOR THE REMAINDER OF THE ACTIVITY?

Key actors prioritize three important results. First, they underscore the need to reinforce a strategy for greater outreach to, and involvement with, local communities, with a view to expedite the development of investment projects and ensure their sustainability. Regarding gender inclusion in the implementation of NI projects, there has been progress in the diagnosis and preparation of recommendations and lessons learned about incorporating a gender approach into the design of projects' technical records. As such, the Activity is expected to complete the compilation of lessons learned from projects at more advanced stages of development.

Second, the actors interviewed prioritize capacity building activities—including those targeted to wider groups—on NI-related information and tools generated under the Activity. Additionally,

their dissemination and appropriation by partner authorities is expected to contribute to preserving knowledge generated under the Activity and ensuring their use in coming years.

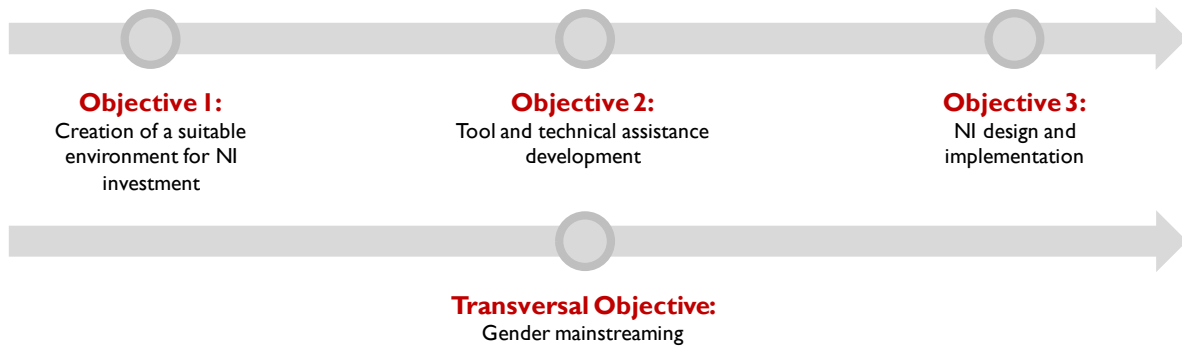
Third, it is important to acknowledge that the responsibility for investment projects rests with the entities in charge of implementing them (EPSs, ARCC, GOREs/GOLOs, and private sector); and, given that the Activity's capacity building activities are based on the "learning by doing" model, they are expected to have a limited scope in future project implementation, operation and maintenance stages. However, the Activity's key partners favor prioritizing investment mobilization for projects at more advanced stages of development. The consulting team expects a considerable number of projects will be completed and will provide useful lessons for future investments.

Summary of findings:

- **Finding 6 (Strength):** The NIWS Activity has contributed to generating political and public awareness on NI effectiveness for water security and resilience to climate change at the national government and water authority levels. At the regional and local government levels, the Activity faces challenges from high staff turnover.
- **Finding 7 (Area of improvement):** The Activity has contributed to enhancing interaction with local communities by (i) developing guidelines for NI Project formulation with emphasis on community involvement; and (ii) including direct benefits for communities. The Activity still faces difficulties regarding outreach to, and sensitization of, local communities. In this light, the Activity is focused on further strengthening local community participation in the strategic design and implementation stages of NI projects.
- **Finding 8 (Strength):** The Activity has generated valuable information and developed technical tools that have contributed significantly to the implementation of NI investment projects and have been widely disseminated and accepted among user entities.
- **Finding 9 (Strength):** The NIWS Activity enhanced the portfolio of NI projects significantly, regarding both the number of projects and the cumulative investment amount. The Activity developed the portfolio by promoting MERESE financing of EPSs, synergies with ARCC, and private sector involvement.
- **Finding 10 (Area of improvement):** Investment mobilization is still in process. The factors hindering investment mobilization include government red tape, political uncertainty, the Covid-19 pandemic, and EPSs' difficulties in interacting with local communities.
- **Finding 11 (Area of improvement):** The Activity promoted gender mainstreaming across water authorities like SUNASS and ANA. SUNASS made greater progress due to its openness to including gender issues in its policies and management, while ANA resisted adoption of a gender approach.
- **Finding 12 (Strength):** The Activity surpassed the targeted number of women trained in climate change issues. Towards this end, the Activity promoted multiple strategies with other entities like MINAM, MIMP, and NGOs focused on promoting gender mainstreaming.
- **Finding 13 (Area of improvement):** With an aim to promote gender mainstreaming across NI projects, the Activity made progress in the diagnosis and design of guidelines providing recommendations for including the gender approach in NI investment projects since their inception. Additionally, the Activity contributed to providing gender-related technical assistance to the teams in charge of project formulation. However, as both strategies are still under implementation, the results from incorporating the gender approach in all NI projects are yet to materialize.

The following section presents the findings within the framework of the Activity's objectives (Exhibit I3).

Exhibit 13. Presentation framework for the assessment results according to NIWS Activity objectives



Preparation: APOYO Consultoría

OBJECTIVE 1: CREATION OF A SUITABLE ENVIRONMENT FOR NI ADOPTION

FINDING 6: The NIWS Activity has contributed to generating political and public awareness on NI effectiveness for water security and resilience to climate change at the national government and water authority levels. At the regional and local government levels, the Activity faces challenges from high staff turnover.

One of the Activity’s main achievements was promoting the concept of NI among authorities and key actors in the public investment system, including those involved in water security. As the term was unknown in the field of public investment, the NIWS Activity developed multiple strategies with national and subnational authorities and entities to promote: (i) knowledge about NI effectiveness; and (ii) the need for NI investment projects.

“Previously there was no talk of NI. Now there is, thanks to the Activity’s incidence.” – MINAM

“[The NIWS Activity] has facilitated NI inclusion in the public agenda due to its importance for general development.” – ANA

The Activity implemented multiple efforts to enhance political and public awareness, like creating the Communications Strategy and the NIWS Action Plan; mapping actors responsible for formulating national policies; and developing forums, workshops, seminars, capacity building activities, and communication products for key actors and priority audiences.³³ Additionally, the Activity contributed to producing a roadmap for optimizing NI use in Peru and building a common multisectoral NI vision via the Policy and Water Governance Dialogues with the OECD. It is important to highlight that the Activity developed collaborative strategies with multiple national

³³ The Activity’s two priority audiences are: (i) project developers and evaluators with technical training in water issues; and (ii) upstream communities, including those associated with the Activity in training locations, as well as those that participate (or could potentially participate) in wider NI investment portfolios for developing priority hydrographical basins (Working Plan, 2018; Annual Report, 2018).

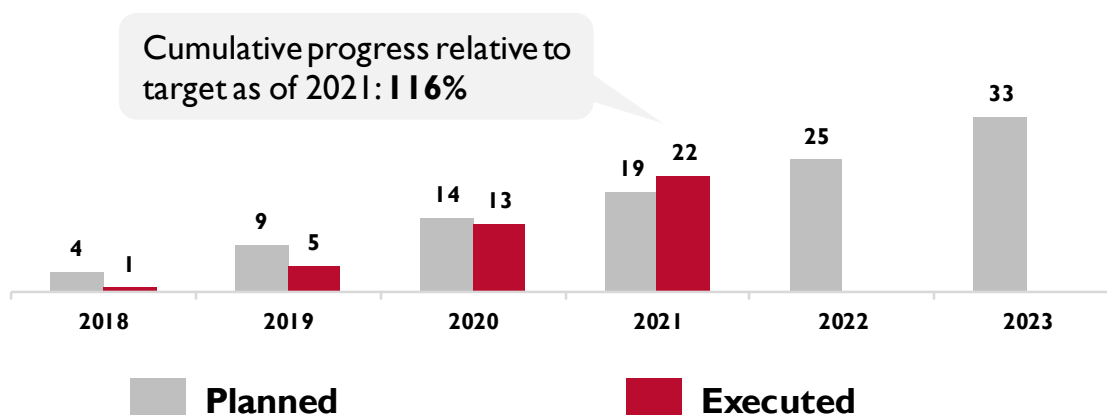
entities to secure commitments among national and international actors on NI relevance for water management and create a network of communicators to underpin NI positioning.

“The Activity has succeeded in positioning NI investments in the political agenda at the level of Peru’s international commitments and incorporating it into the relevant entities’ high-level planning instruments.” – SPDA.

“We have developed a network of communicators in institutions involved in water resource issues and NI-knowledgeable journalists, who contribute to positioning the subject at a decentralized level.”- SPDA.

As a result, the Activity has also contributed to NI positioning in the Peruvian Government’s planning instruments. The EST-I indicator shows that, as of 2021, the Activity proposed, adapted, and implemented 22 documents focused on climate adaptation (vs. 19 targeted for the year); i.e., a 116% cumulative progress as of 2021 (Exhibit 14).

Exhibit 14. EST-I Indicator: Number of laws, policies, regulations, strategies, or standards (proposed, adopted, or implemented) geared to promote climate adaptation.



Source: NIWS Activity Annual Reports 2018-2021. Preparation: APOYO Consultoría.

The instruments that the Activity promoted include:

- Inclusion of projects relevant to the conservation of water sources into the National Sanitation Plan (MVCS), which previously considered only gray infrastructure. Additionally, the Activity’s instruments (HIRO) were used to determine priority areas for preserving sanitation water-based eco-systemic services (MVCS, 2021).

“I had a closer approach to the National Sanitation Plan thanks to the Activity. [...] We wanted to make sure that the discussion would not focus on the gray infrastructure gap and would also address water sources. [...] The Activity provided a specific study for estimating the gap for water treatment.” – MVCS

- Inclusion of NI into the National Climate Adaptation Plan (MINAM), which establishes NI implementation for the conservation, recovery, and sustainable use of water eco-systemic services in environments vulnerable to climate change (MINAM, 2020).
- Systematization and classification of adaptation measures as part of a “water NbS strategy” within the National Climate Adaptation Plan, where 13 out of 31 water resources are considered NbS. Additionally, synergies between NIWS and MINAM facilitated socialization of an initiative to consider water NbSs as a package, resulting in a

prioritization of favorable conditions for addressing this issue across all sectors (Annual Reports 2020 – 2021).

- Approval of a new wetland protection regime, currently under implementation. The wetland norm, approved in 2021, establishes a roadmap introducing measures that will contribute to enhancing and protecting wetlands.
- Inclusion of recommendations for addressing NI and gender equality in the terms of reference of ANA's updated Water Resource Management Plan.

“This year, the consulting services contracted by CONDESAN were instrumental in updating the Water Resource Management Plan. [...] The Activity helped us in 3 points: (i) identifying potential areas of NI implementation in the basin; (ii) identifying indicators and strategic actions for incorporating the gender approach into water regulations; and (iii) helping to document and systematize the products generated in 2020 for updating the plan.” – ANA

Officials' openness in multiple national entities that resulted from NI awareness and positioning, contributed to placing NI within the public agenda. At the same time, NI awareness and positioning efforts at the GORE/GOLO levels face greater challenges. The interviews conducted indicate that some GORE/GOLO officials have yet to promote NI projects as a key element within their investment project portfolios and budgets. This may hinder the creation of a suitable environment for NI adoption within this layer of government and delay project mobilization/implementation.³⁴

To a certain extent, project prioritization depends on political will and the willingness of the authority/official in charge. In this regard, high position turnover in GOREs/GOLOs has hindered and delayed coordination between the Activity and key entities. The interviews conducted indicate that awareness and incidence work with authorities takes around 6 – 12 months, which often needs to be re-implemented due to frequent turnover of officials in charge.

“[Delays in PIPs are due to] prioritization problems; it hasn't been possible yet to convince the relevant authorities about NI investments.” – Piura Regional Government

“Local Governments emphasize gray infrastructure projects. [The Activity] helps us to enhance our incidence in Local Governments so they can also begin to consider NI projects.” – NGO

“[...] there is also the political issue of high position turnover. [...]. We create connections but lose them with each administration change.” – Forest Trends

Overall, the NIWS Activity has made considerable progress in raising awareness of the importance of NI and the need for NI inclusion in investment projects. As a result, the Activity promoted NI inclusion in multiple official documents. At the local level, it has been established that NI awareness and positioning among GORE/GOLO officials is lower due to high positions turnover. As a result, building a suitable environment for NI adoption within these layers of governments still requires accompaniment and assistance from the Activity.

³⁴ Despite the difficulties described above, it is important to recognize that the Project has succeeded in promoting NI projects with GOREs and GOLOs by enhancing technical assistance and investing the necessary time.

FINDING 7: The Activity has contributed to enhancing interaction with local communities by (i) developing guidelines for NI Project formulation with emphasis on community involvement; and (ii) including direct benefits for communities. The Activity still faces difficulties regarding outreach to, and sensitization of, local communities. In this light, the Activity is focused on further strengthening local community participation in the strategic design and implementation stages of NI projects.

Local communities play a fundamental role in the effectiveness of NI investments. It would not be possible to attain greater water security and resilience at the basin level without communities' contribution to implementing and preserving sustainable use of improved ecosystems via NI projects. Along these lines, the Activity's most important achievements regarding community involvement in NI investments include: (i) developing initial guidelines for NI investment formulators, which emphasize and guide community involvement in project preparation and implementation; and (ii) including direct benefits for communities from NI projects.

Regarding the first point, the NIWS Activity has developed the following documents for guiding community involvement:

- Guidelines for Assessing NI Interventions for Water Security: Effectiveness, Equity, and Sustainability Scale (2020)
- Manual for Formulating and Assessing NI Investment Activities, including the first strategy for interaction with local communities for MERESE, developed with SEDAPAL and SUNASS (2022)
- Guidelines for designing technical assistance, capacity building, and sensitization activities targeting NI beneficiary populations under a GRD approach, developed with ARCC (2022).

It is important to acknowledge that diversity among the 240-plus local communities/populations involved in Activity-supported NI investments posed significant challenges to consolidating crosscutting guidelines. The Activity also faced difficulties due to its limited territorial outreach and pandemic-related restrictions during two years within the implementation period. In this light, the tools promoted by the Activity to improve community involvement are the result of an important effort to systematize the lessons learned, which in turn will be instrumental for guiding the design and formulation of future NI projects.³⁵

Moreover, the Activity's contribution regarding interaction with communities also consisted in including NI-related direct benefits for communities. Benefits included in the NIWS Activity's project portfolio include:

- Hiring community members for opening trenches, digging reservoirs (*qochas*), restoring farming terraces (*andenes*), implementing plantation/revegetation works, building roads, and setting up fire barriers, among other manual work activities.

³⁵ For example, as reported by the Activity, the guidelines included in SEDAPAL'S PIP Manual resulted from a process built and improved over several years by the Activity jointly with SEDAPAL, the communities, and entities (consultants and NGOs) trained and hired to formulate projects.

- Providing local organization members with training on productive activities compatible with ecosystem conservation.
- Other benefits from eco-systemic services recovered via NI investments.

Importantly, not identifying direct benefits for communities does not imply that the Activity cannot generate any benefits. The Activity recognizes that NI investments can also generate benefits in the form of alternative production investments via recovered eco-systemic services. Benefits from NI projects may also contribute to communities' livelihood and local economy (agroecology, community tourism, etc.),³⁶ thereby enhancing their commitment and ensuring direct and sustainable economic benefits. Along these lines, the Activity has displayed efforts to implement activities with local communities and strengthen value chains linked to priority NI investments.

“A project that is not sustainable is not a project. [Communities] must have the chance to generate some kind of income in the area, so that nearby communities can benefit from it in a logical manner” – ARCC.

“[It is necessary to promote] collateral activities, like tourism or job creation, in the process of recovering areas or strengthening capacities.” – CONDESAN.

The Activity's outreach to communities has resulted in 75-plus agreements with community authorities, including land concessions and commitments for participating in the implementation, operation, and maintenance of NI projects. Nevertheless, the Activity faces delays and difficulties in reaching out to communities. The Activity established that the following factors hinder outreach to, and sensitization of, local communities:

- Communities' previous experience: Andean communities share a perception of an absent State that does not keep promises and generates environmental liabilities, resulting in an atmosphere of mistrust and in community demands unrelated to MERESEs or NI projects.
- The interests of a community (upstream) are not necessarily aligned with those of beneficiary populations (downstream): in general, NI project financing is based on downstream interests; and NI investments are not necessarily a priority for upstream communities. The case of the Milloc wetlands (*bofedales*) illustrates the issue, as this ecosystem is a source of clean water for Lima but not for the Carampoma community.
- Public investment processes are lengthy: the nature of NI projects (where benefits materialize in the medium and long run), plus the delays inherent to the public investment system, hinder an early outreach to community members, who tend to grow impatient in absence of tangible short-term benefits.
- Entities responsible for NI implementation face expectations that cannot be met via MERESEs: although the current policy framework recognizes payment schemes for eco-systemic services as mechanisms for remunerating communities, they are subject to more complex and protracted processes (such as the government procurement and public investment regimes). In consequence, the current legal framework does not create the necessary conditions for communities to benefit directly and immediately from MERESE

³⁶ In the case of the communities, projects also require a compensation component, understood as the contribution from the benefits generated by the project to their means of living (agroecology, community tourism, etc.), i.e., sustainable benefits not necessarily focused on labor for the project's operative work.

implementation. To address this challenge, the Activity is developing a conditional direct transfer scheme within the MERESE framework for the water sector.

- Limits on investment and government procurement norms: limit the chances of investing dynamically in MERESE or NI projects, contracting directly with communities, and offering tangible rewards as part of agreements with contributing communities. The Activity has suggested a special regime for contracting with rural communities using public funds, currently under preparation with the Government Procurement Supervisor (OSCE) and SUNASS.
- Communities' perception of salaries under NI projects as a benefit: Salaries alone do not fully cover the benefits expected from the rationale of an eco-systemic service. Moreover, they are not a permanent and sustained benefit for communities, as they are a payment under a labor contract.
- Communities' weak internal governance: A lack of solid organization promotes internal conflicts unrelated to NI projects, which hampers project implementation and effective negotiation between communities and external actors responsible for implementation.
- Limited capacities of entities managing MERESE resources and NI investments: entities in charge face staffing and expertise limitations for reaching out to communities, which hinders local populations' involvement in NI projects.

The field visits to two communities located in the Chillón-Rímac-Lurín-Alto Mantaro hydrographic basin evidenced the difficulties in reaching out to, and sensitizing, local communities, stemming from the factors mentioned above. Additionally, although the evidence from both cases cannot be generalized to all projects in the NIWS Activity's portfolio, the information gathered sheds light on the problems reported from the communities' perspective.

During the interviews conducted under the assessment, members of both communities (San Bartolomé and Carampoma) failed to clearly acknowledge NI benefits. Specifically, in San Bartolomé—where a goods-and-services contract, aimed at involving the community directly in the NI project, is being implemented—assembly members were unaware of the state of the project to be implemented in the area. They indicated that the community's lack of field presence and involvement during the preparation of the initial studies resulted in delays and barriers to the implementation of NI projects. Beneficiaries note that, although there were visits and discussions at the managerial level, it is necessary to improve communication and further develop strategies to obtain the necessary commitments to secure project initiation decisions.

“It's necessary to establish a roundtable where the community can participate. There have been outreach efforts, but they were not sufficient. [...] It is key to promote workshops that can contribute to implementing a project that is beneficial, efficient, and in line with local realities.” – San Bartolomé community members

Additionally, although Carampoma and SEDAPAL signed an agreement whereby the community takes responsibility for guarding the wetland (*bofedal*) under the Milloc project, such work has not yet started due to discomfort and disagreements between both parties, i.e., lack of awareness and sensitization among locals resulted in project operation/maintenance delays.

“The initial lack of knowledge of the project generated positions for and against it. [...] Capacity building activities must improve to promote the community's involvement.” – Carampoma community

“It is important to keep promises so as not to lose the community’s interest in the project. Disagreements were caused by: low wages, lower number of persons hired by the contractor company, and shorter work contracts than expected.” – Carampoma community

In order to address the difficulties discussed above, the Activity intends to continue strengthening communities’ engagement during the strategic design/implementation stages of NI projects. This with the goal of eliminating the limitations that hamper communities’ participation in project implementation hand-in-hand with the entities in charge. In this regard, the evaluation suggests that greater on-site presence would enable the Activity to better follow up on guideline application and learning systematization. At the same time, as mentioned above, site presence can be challenging due to Covid-related restrictions, which negatively affects outreach to, and interaction with, local communities.

In conclusion, the Activity acknowledges local communities’ crucial role in NI effectiveness and sustainability. The most considerable progress regarding interaction with communities is the development of guidelines for NI investment formulators that emphasize community involvement, as well as including direct benefits for communities derived from NI projects. Although it was possible to sign multiple agreements with community authorities, challenges remain concerning outreach to, and sensitization of, certain communities. In this regard, the Activity is currently focusing on strengthening local community inclusion especially into NI projects’ design and implementation.

OBJECTIVE 2: TOOL DEVELOPMENT AND DISSEMINATION

FINDING 8: The Activity has generated valuable information and developed technical tools that have contributed significantly to the implementation of NI investment projects and have been widely disseminated and accepted among user entities.

Objective 2 of the NIWS Activity aims to improve information management in NI-related decision-making. To achieve this goal, the Activity proposed two intermediate results: (i) generate technical – scientific information and develop tools for enhancing NI-related decision-making; and (ii) improve the exchange of information via technical assistance to the relevant entities. Along these lines, the NIWS Activity generated knowledge and evidence to sustain NI importance for water security; and identified research priorities for improving decision-making.

“As a research team, we have provided assistance in modelling each project’s monitoring systems so they can constantly receive guidelines and reviews.” – CONDESAN

The strategies the NIWS Activity implemented to generate NI-related information and technical knowledge include:

- Forming an NI technical task force and a shared research program.
- Systematizing relevant hydro-meteorological and socio-economic data for the NIWS Activity’s analytical work.
- Strengthening, expanding, and facilitating the hydrological and socio-economic monitoring network.

- Promoting active learning, knowledge management, and capacity building among NI agenda partners.³⁷

These strategies resulted in the systematization of technical-scientific information not previously available. In this regard, the actors interviewed underscored the value of the data generated by the Activity for bridging NI information gaps. For instance, during the interview with the National Agency for Meteorology and Hydrology (SENAMHI), officials highlighted the NIWS Activity’s contribution to developing reference national data on evapotranspiration; and ARCC officials underscored the Activity’s contribution to the following:

“We have generated grid data as reference for evapotranspiration purposes. [...] We succeeded in building a database on this subject at the national level.” – SENAMHI

“Each time we get better-substantiated information, for example macro-location methodological guides [which are important for formulating PIPs]” – ARCC.

The NIWS Activity, together with national and subnational entities, developed multiple tools with a goal of improving NI project formulation and design. The Activity developed, tested, and validated most of the tools with close cooperation with counterparts (including entities in charge) and users (engineering consultants, EPSs, and NGOs). Tools include:

- HIRO-GRD: This tool, focused on disaster risk management, contributes to prioritizing ARCC portfolios. The Activity developed it in cooperation with entities like the Ministry of Agricultural Development and Irrigation (MINAGRI) and the National Forestry Agency (SERFOR).

“[Previously] the guidelines, tools, and diagnostics [for identifying priority basins] were not clear, so we began to develop methodologies. [...] SERFOR also helped by providing the HIRO guidelines, which contributed to positioning and empowering us with ARCC” – Forest Trends

- HIRO-SEH (Rapid Opportunity Identification Tool for Water Ecosystem Services): This tool prioritizes NI interventions addressing water supply problems and erosion control issues. Together with its methodological guidelines, the Activity developed it in cooperation with the Consortium for Sustainable Development of the Andean Ecoregion (CONDESAN), Imperial College London, and the Ministry of Housing, Construction, and Sanitation (MVCS).
- IOARR Guidelines: This instrument provides guidance to entities within the National System for Multiannual Programming and Investment Management (Invierte.pe) with a view to improving identification of these kinds of interventions. The entities that provided technical and strategic assistance for developing these guidelines and promoted NI incorporation into them include CONDESAN, the Peruvian Association for Environmental Law (SPDA), Forest Trends, and MINAM.

³⁷ Among the strategies’ achievements is a new network of 23 young researchers who received awards and support within the framework of ANA’s National Water Culture Prize. The network generates new NI and water security knowledge.

During interviews with the NIWS Activity, team members underscored that both the development of tools and the generation of technical-scientific information followed a trial-and-error process. Additionally, the tools were adjusted in line with the needs of each actor.

The Activity disseminated information and tools via the communication orchestra strategy, capacity building activities, and institutional partnerships to develop project portfolios. For instance, communication orchestras were instrumental for consolidating information concisely and expanded outreach to the general public. Moreover, these products achieved positioning in educational platforms like *Aprendo en Casa*, an unexpected result given that they were not initially intended for students.

Additionally, a study on the use of information³⁸ completed by the Activity in 2021 indicates that, although multiple tools still lack an institutional home among Peruvian authorities, some of them, like HIRO and CUBHIC, are already in their second or third version after several tests and iterations. The next exhibit shows a summary of user institutions, the tools they employed, and the applications they performed:

Exhibit 15. Summary of development and use of some NIWS tools

Activity tools	User entities	Application (highlighted cases)
CUBHIC 1.0. methodologies	EPS SEDACHIMBOTE, Huánuco Regional Government, SEDAPAL, ANA, PUCP, MINAM	18 projects in the NIWS portfolio applied it.
CUBHIC 2.0 methodologies	-	20-30 projects in the NIWS portfolio will apply it.
HIRO-GRD (Rapid Opportunity Identification Tool for Disaster Risk Management)	ANA, ARCC, CENEPRED; MINA, OEFA, National University of Callao	In 2019-2020, MIDAGRI used HIRO-GRD to initiate the process of formulating NI projects to underpin GRD for “Reconstruction with Changes.”
HIRO-SEH (Rapid Opportunity Identification Tool for Water Ecosystem Services)	MVCS, Anglo American	In 2021, MVCS used HIRO-SEH to include, for the first time, figures on priority NI projects for the sector within the National Sanitation Plan. In 2021, Anglo American used HIRO-SEH to select areas to install demonstrative plots for a reforestation pilot in Moquegua.
HIRO-Environment	MINAM	-

Note: The higher use reported was for preparing studies.

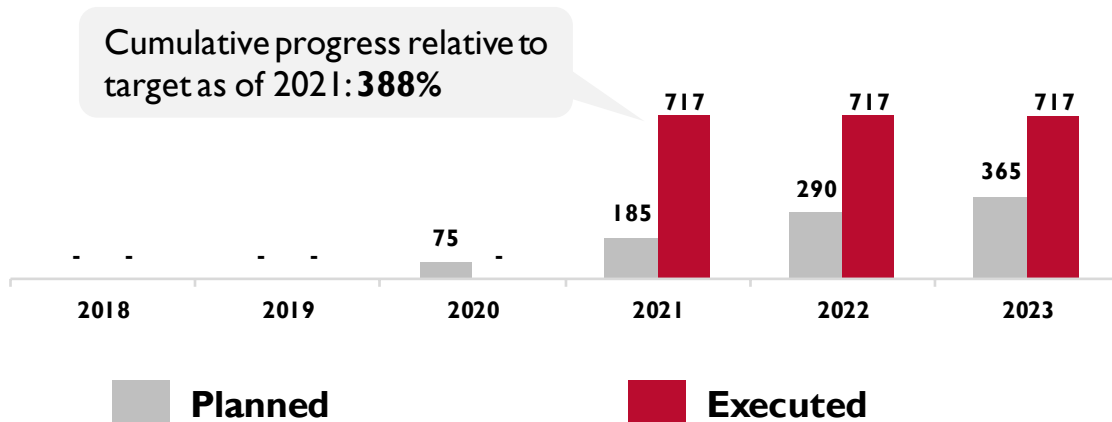
Source: NIWS. Preparation: APOYO Consultoría

In this regard, the EST-2 indicator shows that, as of 2021, 717 persons used information generated under the Activity, this figure surpasses both the targets for the year, which aimed to reach 185 individuals, and the anticipated target for 2023, which was 365 individuals. Actors primarily use the information to develop studies, implement capacity building activities, and formulate projects. Progress on this indicator is due mostly to the Activity’s adoption of virtual means to generate

³⁸ Benitas, Lucas; Smith, Mia. (2021). Study on the use of information generated and disseminated by the NIWS Project. Unpublished document. Lima: Forest Trends Association.

webinars to disseminate the tools and information, thereby attaining greater outreach than expected using an in-person format.

Exhibit 16. EST-2 Indicator: Number of persons using climate information or implementing risk-reduction actions to enhance resilience to climate change.

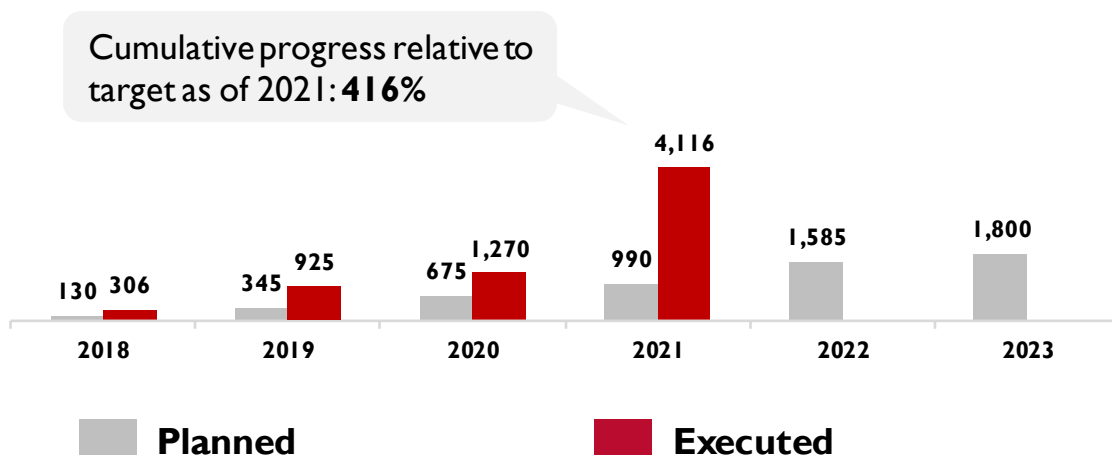


Source: NIWS Activity Annual Reports 2018-2021. Preparation: APOYO Consultoría.

Moreover, progress on the EST- 6 indicator shows that, as of 2021, 4,116 persons attended capacity building activities on climate adaptation, (vs. 990 targeted for the year); i.e., a cumulative progress of 416% relative to the cumulative target for 2021).

Progress on the EST-6 indicator as of 2021 resulted from a joint effort with the National School of Public Administration (ENAP) to design and implement a massive course for public servants at the national level. The subject matter of the course (Sustainable Water Management) caught the attention of a large number of public servants through ENAP, as it was not previously available. Finally, while the use of information shared via capacity building activities has not been analyzed, the follow-up study examined the tools and technical reports.

Exhibit 17. EST-6 Indicator: Number of persons trained in climate adaptation.



Source: Annual Report 2021. Preparation: APOYO Consultoría.

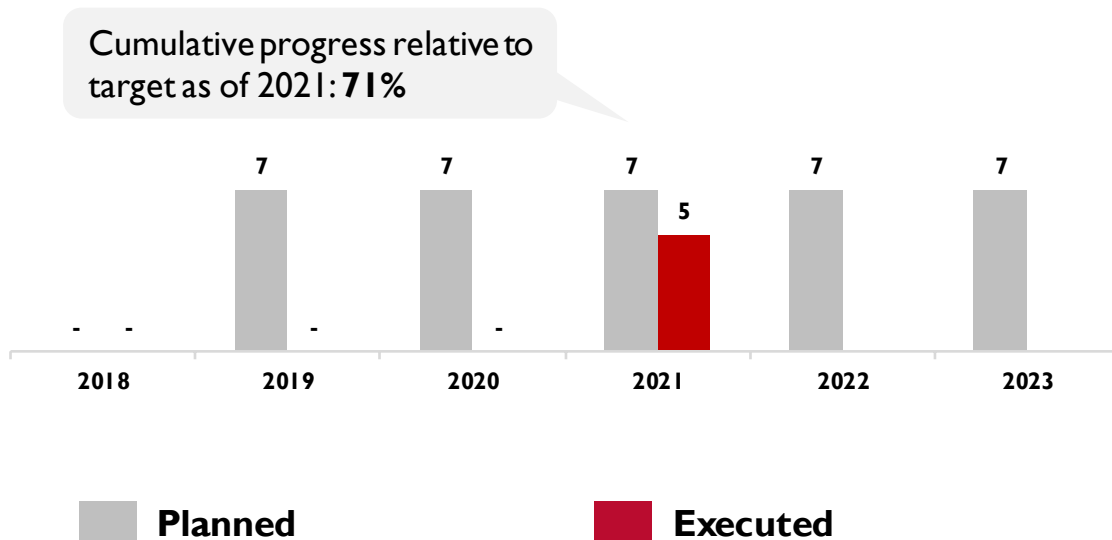
In light of the positive results regarding information generation, the Decentralized Service Office (ODS) SUNASS considers it important to continue building capacities and generating information/tools for bridging the NI knowledge gap.

“[It is necessary to develop] capacity building activities permanently, as we don’t know who will assume the role in the future.” – SUNASS Deconcentrated Office (ODS)

“Technical assistance must seek to widen the initial group, with a view to facilitating people’s involvement.” – ODS

In fact, the EST-7 indicator reveals that progress has been made, with five entities (GORE Arequipa, GORE Piura, GORE Moquegua, SUNASS, and SEDAPAL) having developed stronger capacities to evaluate and address climate change risks. As of 2021, there has been a 71% improvement in this indicator compared to the target for the year.

Exhibit 18. EST – 7 Indicator: Number of institutions with greater capacity for evaluating and addressing climate change risks.



Source: Annual Report 2021. Preparation: APOYO Consultoría.

Concerning the tools currently being developed, the Activity considers it necessary to fully validate them before promoting their dissemination and appropriation by user entities. Additionally, actors indicate that it is necessary to complete the capacity building activities envisaged in RI 2.2 with an aim to expand the beneficiary group.

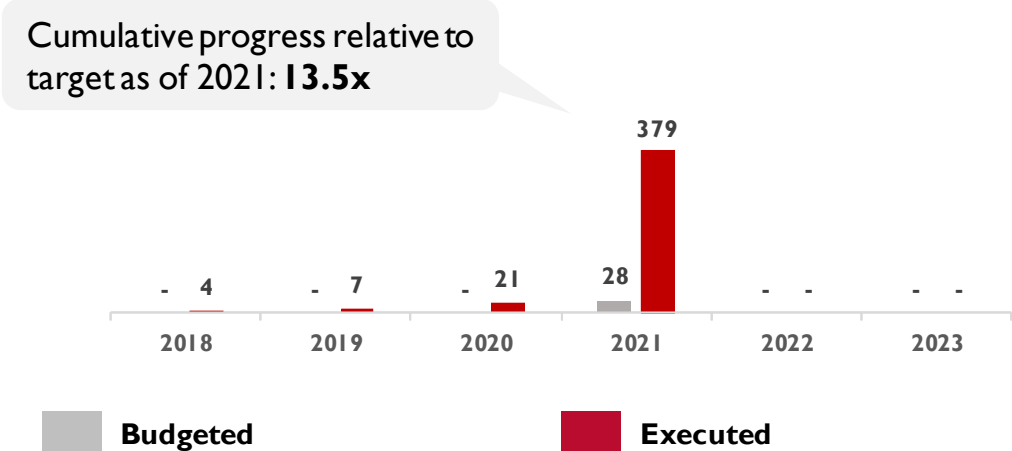
Overall, the Activity’s efforts to generate information, develop tools, and promote technical capacities have facilitated adding guidelines where the process was previously undefined, generating tools for improving the quality of projects from identification to formulation, and building a portfolio of professionals via NI-related capacity building activities. Progress is reflected in the indicators defined for measuring this objective. Additionally, stakeholders consider that, during the remainder of the Activity, they expect further capacity development—including activities intended for a wider group—; dissemination of NI-related information/tools generated under the Project; and later follow-up on appropriation by the relevant entities.

OBJECTIVE 3: DESIGN AND IMPLEMENTATION OF IN PROJECTS

FINDING 9: The NIWS Activity enhanced the portfolio of NI projects significantly, regarding both the number of projects and the cumulative investment amount. The Activity developed the portfolio by promoting MERESE financing of EPSs, synergies with ARCC, and private sector involvement.

With support from the NIWS Activity, the total value of the NI investment portfolio increased exponentially as of fiscal year 2021, to US\$379 million, i.e., 13.5 times the value targeted for 2021 (US\$28 million). Moreover, the value of the portfolio is significantly higher than the baseline NI investment amount the Activity calculated for 2017 (US\$1.5 million). This increase emphasizes the potential for promoting implementation of this type of investment. Currently, the portfolio is made up of 60 NI projects under development, of which 29 have been declared viable and 26 have secured financing.

Exhibit 19. PROP-1 Indicator: Investment in portfolio projects (millions of US\$) in the informed period



Source: Annual Report 2021. Preparation: APOYO Consultoría.

The Activity highlights that developing the infrastructure investment portfolio was a challenging task, as a solid and well-designed portfolio was not initially in place to facilitate implementation. In this context, the NIWS Activity provided technical assistance to public, private, local, and civil society partners via contracting technical specialists to prepare the technical records and the terms of reference.

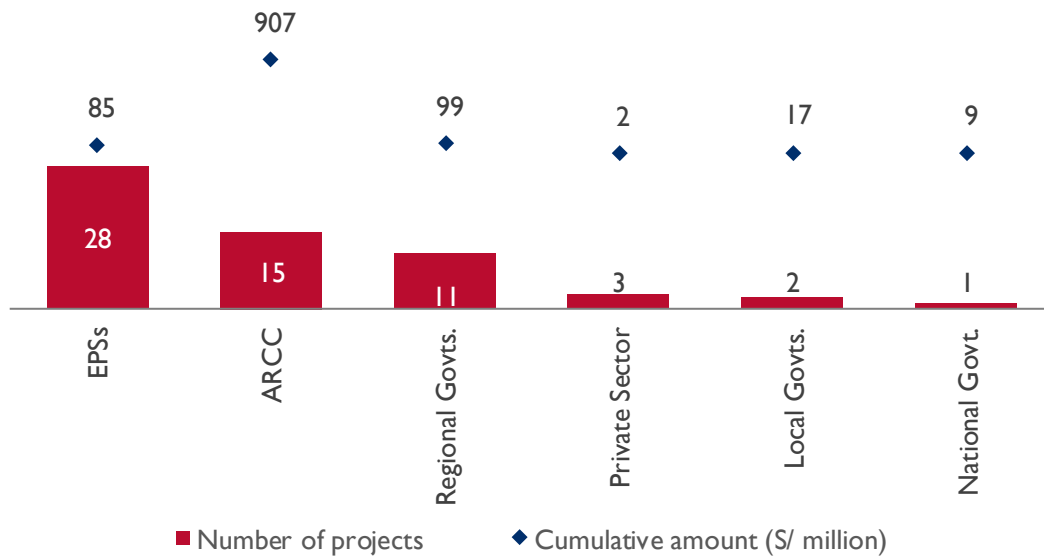
“Addressing Peru’s challenges regarding water scarcity and resilience to climate change requires a multidisciplinary and intersectoral approach including financial incentives, a viable NI investment portfolio under a gender approach, optimal governance, and sound intersectoral policies.” –MEL Plan (p. 5)

“With partners from the public/private sector and civil society, we have developed an NI investment portfolio with a value above US\$ 275 million.” – Haciendo el camino (NIWS, 2021)

“Our portfolio of viable investments amounts to 27 times the country’s viable NI investments for water security in 2017” – *Haciendo el camino (NIWS, 2021)*

Exhibit 20 details the distribution of the number and cumulative value of projects in the NIWS Activity’s investment portfolio by type of entity. Most projects are implemented by EPSs (28), followed by ARCC (15) and GOREs (11). Regarding investment amounts, ARCC projects show the highest cumulative value (\$/907 million), followed by GOREs (\$/99 million), and EPSs (\$/85 million).

Exhibit 20. Distribution of NI investment projects by type of entity



Source: NIWS. Preparation: APOYO Consultoría

The information gathered suggests that pre-NIWS Activity, the entities responsible for project formulation and implementation lacked the required knowledge and budget resources to develop NI projects. For example, in order to implement the Milloc project, it was necessary to update the technical record. However, SEDAPAL lacked the technical expertise, capacity, and experience to review such documents. In this context, the technical assistance provided by the NIWS Activity played a key role in facilitating the development of the project.

“[The technical record] got to SEDAPAL, but as we lacked staff and it was not our responsibility, it sat there. After the update [thanks to the NIWS Activity], the project was tendered, and operations began in March 2021.” – SEDAPAL

In general, stakeholders underscore the Activity’s support in the process of hiring technical specialists. Previously, entities lacked the knowledge and budget resources to hire the services of technical specialists to develop NI projects. The evaluation emphasizes the importance of NI-related capacity building and the need to further expand the number of beneficiaries to ensure that knowledge generated under the program will be preserved.

“At some point, the technical record [for the Milloc project] had to be updated and they [the Activity] covered the data update. [...] Within SEDAPAL there was not much expertise to review these kinds of records, and that’s where NIWS gave us a hand.” – SEDAPAL

“There are 3 projects with technical records pending for approval. They [the NIWS Activity] supported us in hiring a specialist who could prepare the ToR.”— SEDAPAL

“We envisage developing capacity building activities focused on technical records, project execution, and other management concepts like PMO and PIM, so that those involved in managerial issues can further strengthen their capacities.”— ARCC

Along these lines, the NIWS Activity designed three strategies to develop the investment portfolio: (i) provide technical assistance to EPSs for formulating and mobilizing projects via MERESE funds; (ii) create links with the ARCC; and (iii) contact private sector actors. The Activity contributed to managing MERESE financial resources in favor of NI projects by streamlining processes and reducing red tape related to project formulation and design. The new average period for formulation was reduced to 4-5 months (on average, public investment projects take 7 years from inception to implementation). The technical instruments and tools generated by the Activity were used towards this end.

“With the MERESes you always run out of time. We have learned that, through institutional knowledge (EPSs), processes can be streamlined in 4-5 months. This requires knowing the case and the institutional setup.”— Forest Trends

In the case of SEDAPAL, in the years after the MERESE fund and before the NIWS Activity (2015 – 2018), there was just one viable investment project (Milloc) within the National Public Investment System (SNIP). The switch to the Invierte.pe system proved limiting due to lack of knowledge on project formulation among SEDAPAL staff and a reduced supply of formulators in the market. Currently, EPSs like SEDAPAL hold the highest number of projects within NIWS’s investment portfolio.

Moreover, the Activity reinforced ARCC’s capacities to prepare technical records and implementing NI investment projects. Initially, the ARCC’s mandate was to implement NI interventions. However, the ARCC postponed implementing this mandate due to a lack of knowledge on the subject. In this context, the Activity identified areas of interest for mass wasting and flooding via HIRO-GRD; and promoted NI inclusion within comprehensive reconstruction-with-change plans. In this regard, the Activity provided technical support by developing methodological tools, enhancing capacities, and providing specialized technical assistance to multiple actors involved with ARCC, thereby promoting 15 projects amounting to a committed investment of S/ 907 million (Exhibit 20).

“We have introduced indicators for NI importance in water security and risk management. Each time we get better-substantiated information, for example macro-location methodological guides.”— ARCC.

Finally, the NIWS Activity contacted private sector actors to ask for financial contributions towards investment projects. However, they were not willing to finance investments entirely, as they fail to visualize the benefits for their companies in the short run. In this light, the Activity suggested their assistance only for certain stages of the investment process.

It is not easy to engage private companies in something innovative. [...] It was necessary to adjust the PIP to their interests.”— Forest Trends

In addition, the Activity is coordinating with private sector actors in the Moquegua region to pilot projects—like the Tumilaca (S/ 594,000) and Mitsubishi (US\$ 300,000) projects. The Activity’s role

focuses on contacting private sector actors and persuading them to develop NI projects. Moreover, the first NI project under the Oxl scheme (to be implemented in Lima) is currently under discussion. The Regional Government of Lima indicates that NIWS has contributed to promoting this initiative by contacting Intercorp and by updating costs within, and reviewing, the technical record.

*“We worked jointly with the private sector (Intercorp) to get the Oxl agreement signed”
– CONDESAN.*

The NIWS Activity contributed to providing the necessary staff, capacities, technical tools, information, and scientific evidence to support the creation of a solid NI investment portfolio. The Activity also contributed to creating a market where the EPSs, ARCC, and GOREs demand services for designing and formulating NI projects, and where consultants and NGOs offer services to cover that demand. The Activity has thus attained a project portfolio to be implemented by providing technical assistance to EPSs with a view to formulating and mobilizing projects using MERESE funds; establishing links with ARCC; and promoting private sector actors’ involvement via pilot projects and mechanisms like Oxl.

FINDING 10: Investment mobilization is still in process. The factors hindering investment mobilization include government red tape, political uncertainty, the Covid-19 pandemic, and EPSs’ difficulties in interacting with local communities.

The Activity has succeeded in creating and expanding an important portfolio of NI projects, resulting from the strategies developed to promote NI investment and enhanced efforts to secure financing. However, as of the end of 2021, only a small amount of funding (equivalent to just 1% of the portfolio’s financing needs) has been mobilized³⁹ to implement just 5 projects.⁴⁰

The remaining projects in the NIWS Activity’s portfolio were at pre-implementation stages as of 2021; i.e., 2 projects (1% of the portfolio value) had approved technical records; 34 projects (84% of the portfolio value) had an approved design; and 19 projects were under development (Exhibit 21).⁴¹ It is important to emphasize that, as of 2021, just one project in the NI project portfolio (Milloc) had been concluded.

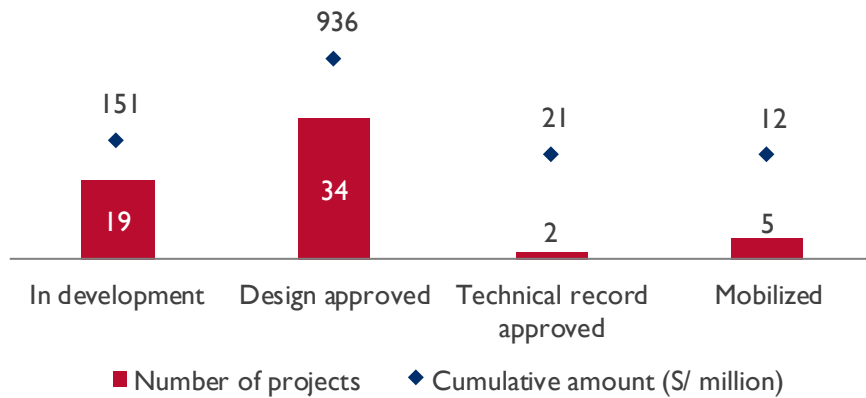
³⁹ According to the MEL Plan, mobilized investment is defined as financial resources **earmarked or budgeted** for climate adaptation actions, especially involving NI investments. Additionally, the amounts mobilized are those at the “execution” stage, i.e., with valid technical records and **programmed within the entity’s budget**. In the case of the private sector, this means that the profile has been approved by the board of directors or other relevant area.

The amounts mobilized can be at any of the following stages: (i) Formulation: investment proposal including a profile and an assigned amount; (ii) Viable: project formulated, evaluated by the relevant instances, and declared to be profitable, sustainable, and consistent with sectoral policies; (iii) In execution (technical record): the viable profile, with the necessary approvals and budgetary certification (investment phase via preparation of a technical record); (iv) In physical execution: technical record in implementation/execution in the corresponding territory; and (v) Concluded: technical and financial execution at 100%.

⁴⁰ Projects with mobilized investment amount (short names): (i) Milloc, (ii) Pusmalca, (iii) Tumilaca, (iv) Mitsubishi, and (v) San Antonio. The Milloc and San Antonio projects have completed physical execution; Tumilaca and Mitsubishi are at a stage prior to starting cultivation; and Pusmalca is at the physical execution stage.

⁴¹ Exhibit 21 shows the distribution of the project portfolio in greater detail.

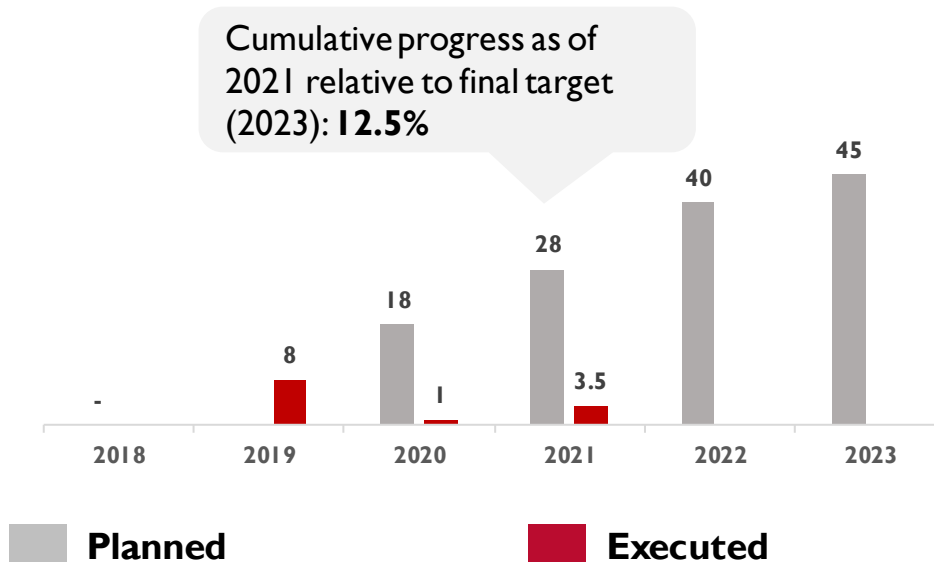
Exhibit 21. Distribution of NI projects by implementation stage



Source: NIWS Activity investment portfolio as of 2021. Preparation: APOYO Consultoría

Along these lines, progress in the EST-3 indicator associated with the investment mobilized as of 2021 (US\$ 3.5 million) reached 12.5% of the target for the year (US\$ 28 million), implying an 8% progress relative to the target for the end of the Activity in 2023 (US\$ 45 million).

Exhibit 22. EST-3 Indicator: Investment amount mobilized for climate adaptation as a result of U.S. Government assistance (US\$ million)



Source: Annual

Report 2021. Preparation: APOYO Consultoría

As the Activity seeks to contribute to water security and resilience to climate change by scaling up NI investments, building a project portfolio is a necessary condition to achieve this goal. However, as mentioned above, the portfolio in and of itself is not a sufficient condition for achieving the long-run goal. The mobilization of investment project funds will facilitate the results chain of the NIWS Activity overall.

It is important to mention that investment mobilization is in process and considerable progress is expected in the short run. The Activity indicates that, out of fifty-five projects not yet mobilized, twenty-nine have been declared viable and most of them (26) comply with many conditions for

mobilization. In these cases, implementation depends on studies and final approval, as indicated by the Activity, and therefore they are expected to become mobilized investments soon.

Fund mobilization for NbS projects in Latin America is challenging, as it requires pressing forward in promoting capacity building, creating associations, and preparing projects, i.e., evaluation and design of financial, legal, and social conditions (Ozment, y otros, 2021).⁴² As indicated by the Activity, Peru is not exempt from the challenges affecting portfolio formulation. Building a project portfolio from scratch has been complex, as it involved covering the lack of staff, capacities, technical tools, and scientific evidence, among other needs. It also implied building a market where EPSs, ARCC, and GOREs demand services for designing and formulating solid projects; and consultants and NGOs offer services to cover that demand.

“This problem [lack of projects designed with sufficient quality to be executed] is evidenced by the experiences with the Milloc (Rímac) and El Faique (Piura) projects, which, despite being at advanced stages of development and approval, turned out to be quite costly to mobilize in terms of time and resources, basically because their design was faulty.” – Forest Trends

“In designing the Activity, we supposed that we would mobilize some investments more rapidly using projects already at an advanced stage of development. However, these had not been well designed; and often it took longer to correct them than to begin from scratch with new projects.” – NIWS Activity

Along these lines, the assessment identified the main factors that hindered progress in investment mobilization. The Activity has attempted to prioritize NI projects. However, red tape in the public investment system hampers and delays progress. Beyond efforts to expedite PIPs, the Activity seeks to open new avenues for accelerating NI investment mobilization:

- The Activity collaborated with MINAM to generate guidelines that open the possibility of applying the shortest public investment route of optimization, marginal expansion, rehabilitation, and replacement (IOARR) of gray infrastructure to the NI. Along these lines, the Activity is developing the first IOARR pilots in the country.
- The Activity cooperated with SEDAPAL to develop the first goods and services contracts in the framework of the EPSs’ MERESE program; and to raise the implementation cap in each contract.

“In Peru, when the head goes, the whole team goes with them; and you have to start over. Capacity building lasts 6 months to a year. It is necessary to strengthen the context, which also has implications for sustainability.” – CONDESAN

“Additionally, lack of technical staff in entities like Local Governments and EPSs causes delays in the formulation of profiles and technical records. Moreover, like with other PIPs, the public investment system experiences delays and other difficulties that hinder NI project execution.”

“When it comes to the public sector, estimated times don’t always materialize.” – ONG

⁴² According to Ozment et al. (2021), most NbS projects studied in the region (53%) are still in preparation and have not yet been implemented (Ozment, y otros, 2021).

“There has been much focus on resource mobilization in public investment, but red tape and processing times have not been adequately taken into consideration.” – ONG

Political uncertainty and the Covid-19 pandemic also delayed the development of investment projects. Political uncertainty in recent years (2018-2020), caused by frequent presidential changes, affected the continuity of public policies and the tenure of public entity staff. For its part, the pandemic restricted field work to gather information and develop technical records and definitive PIP studies. Additionally, the Activity’s outreach to key partners may have also been affected by the pandemic. During the interviews conducted, some actors reported difficulties in identifying communication channels with the Activity, due to a mistaken perception that the Activity was divided into independent and disconnected areas (Forest Trends, SPDA, CONDESAN).

It is also important to consider that, as a consequence of the pandemic, GOREs prioritized healthcare and later economic recovery above other expenditures within their budgets. Specifically, EPSs were authorized by law to invest MERESE collections from other activities, such as sanitation and running water, to quickly improve services and create jobs without requiring specific qualifications.

“The pandemic hindered the Activity’s field work (outreach and information gathering activities.” – Forest Trends

Additionally, the evaluation identified that difficulties faced by EPSs (especially the largest ones like SEDAPAL) in reaching out to local communities created delays in mobilizing and implementing investments. Conflicts between those two stakeholders can result in communities not actively participating in NI project development, not acknowledging the direct benefits generated by the projects, and mistakenly perceiving that they are not properly considered in project development. Additionally, delays in, and community complaints about, project implementation, often cause confusion and misinformation regarding the schedule and the projects’ approval and implementation process.

Building on the information provided by NIWS and gathered during field visits, the following cases have been identified to illustrate these problems:

- **Huamantanga – SEDAPAL investment project⁴³:** the community’s resistance originated in the evaluation of benefits. Disagreements, to a certain extent, are related to design issues; but they also seem to be influenced by ancestral community divisions between farming and ranching activities. In addition, an internal conflict hampered negotiations on design adjustments to address opposing positions within the community. It is not possible to make progress until more favorable conditions are in place and NI projects demonstrate beneficial effects to nearby communities.
- **Milloc – SEDAPAL investment project:** the Carampoma community opposed the Milloc project for one year without presenting any observations. Instead, they demanded to meet with the chairman of SEDAPAL’s Executive Board to address unfulfilled commitments and strike deals unrelated to the project before implementing the latter in the locality. The project has been completed and an agreement has been signed whereby the community takes responsibility for guarding the *bofedal* (the object of the Milloc PIP) in

⁴³ Recovery of the water regulation ecosystem service in the micro-basins of Ucanan, Moquegua, and Quiruana in the district of Huamantanga, province of Canta, Department of Lima. NIWS staff provided information on the disagreement between SEDAPAL and the community for the purposes of this evaluation.

exchange for a remuneration from SEDAPAL. At the same time, some remaining disagreements between the community and the EPS might delay the project's monitoring, operation, and maintenance activities.

- **San Bartolomé – SEDAPAL investment project:** The San Bartolomé community recognizes that there was limited communication with the EPS, despite various field visits. Along these lines, the community states that there is little understanding of the project's processes, which generates confusion. Likewise, there were difficulties in including the population in the execution of the investment projects due to difficulties in the constitution of the communal companies.

The literature acknowledges that NbS projects are more successful when they cover the needs of local communities. Therefore, community participation is critical to ensure their acceptance (Ozment, y otros, 2021). Knowing this, the NIWS Activity identifies the importance of achieving the involvement of communities to promote their contribution to project implementation and sustainability. Therefore, the NIWS Activity has aimed at clarifying the “rules of the game” and identifying misunderstandings that may create dissent between local communities and the EPSs.

As a result of the NIWS Activity's experience in accompanying SEDAPAL in NI project development and implementation via MERESE, it is possible to identify lessons and process improvements. This knowledge has been systematized into a Community Outreach Strategy for EPS MERESEs. The strategy recognizes that the most crucial element to secure a successful and efficient interaction with communities is structuring the process transparently, identifying potential liabilities or conflicts from the outset, ensuring EPS managers' on-site presence in key moments, and making sure the information is presented in a precise and timely manner.

The Activity has analyzed the duration of processes to formulate projects implemented via SEDAPAL's MERESE funds, from the beginning of the process until arriving at a voluntary implementation agreement with the community. In this regard, the evaluation found that implementation of the Community Outreach Strategy promoted by the Activity may reduce the processing time by around 75%; i.e., a closer on-site presence can expedite the process. It is important to follow up continuously on the implementation of EPSs' community outreach strategies to make improvements and bring to light their results in the project portfolio.

Overall, investment mobilization is a necessary condition to achieve the Activity's long-term purposes. Therefore, it is one of the main aspects to be emphasized in the remainder of the Activity. Challenges hindering investment mobilization include a limited on-site presence, aggravated by pandemic-related restrictions, red tape in the public investment system, political uncertainty caused by frequent presidential changes, and difficulties facing the largest EPSs (like SEDAPAL) in community outreach.

CROSSCUTTING OBJECTIVE: GENDER EQUALITY MAINSTREAMING

FINDING 11: The Activity promoted gender mainstreaming across water authorities like SUNASS and ANA. SUNASS made greater progress due to its openness to including gender issues in its policies and management, while ANA resisted adoption of a gender approach.

One of the Activity's goals is to create political and public awareness of women's key roles in NI initiatives. The specific objective of the Gender Action Plan is to achieve gender mainstreaming across water authorities' policies and management. In this regard, NIWS succeeded in raising political awareness about the importance of gender equality for water security, including institutional commitments to promote it. The Activity has considered multiple activities for sensitizing water authorities (SUNASS and ANA), such as including a gender approach within the internal organizational norms and the work plans of both entities.⁴⁴

Integration of a gender approach into the two water authorities (SUNASS and ANA) has been central to the Activity's strategy. As reported by the Activity, its importance lies in both entities' national scope for gender mainstreaming. Both have decentralized offices and provide direct public services to the population. On one hand, SUNASS decentralized offices (ODSs) could influence NI PIPs, water and sanitation administration councils, user committees, municipal technical areas, and EPSs. On the other hand, ANA can contribute to gender equality via irrigation user councils, irrigation user committees, basin resource councils, and basin subcommittees.

NIWS contributed to the integration of a gender approach into both entities in accordance with MIMP guidelines and the National Gender Equality Policy (DS 005-2017-MIMP). In this regard, NIWS Activity's support to MIMP, the gender equality authority, focuses on technical assistance, strategic accompaniment, and capacity strengthening on integrating gender into SUNASS and ANA's operations. The Activity has worked under the institutional gender mechanisms established by the Law on Equal Opportunities for Men and Women (Law 28983) and the National Gender Equality Policy:⁴⁵ (i) ANA's commission for gender equality; and (ii) SUNASS's task force on gender equality.

The Activity's gender interventions started with institutional needs assessments that were instrumental to identify priority areas to launch gender mainstreaming processes. The Activity also developed surveys on gender stereotypes and sexual harassment in both entities to identify barriers and limitations to gender integration. Additionally, technical assistance provided by NIWS is supported by MIMP via follow-up and feedback on policy implementation by the General Directorate for Gender Mainstreaming.

"We promote public entities' compliance with MIMP's mandate. We have worked together with MIMP in completing all processes. [...] We have followed national policies

⁴⁴ Expected result 1.3: Water authorities promote women's participation in sustainable NI and water resource management.

⁴⁵ *Decreto Supremo* 015-2021-MIMP: Approves Guidelines for Gender Mainstreaming in Public Administration.

and focused on gender mainstreaming, institutional management, and gender integration by formalizing the services considered in this policy.” – Forest Trends

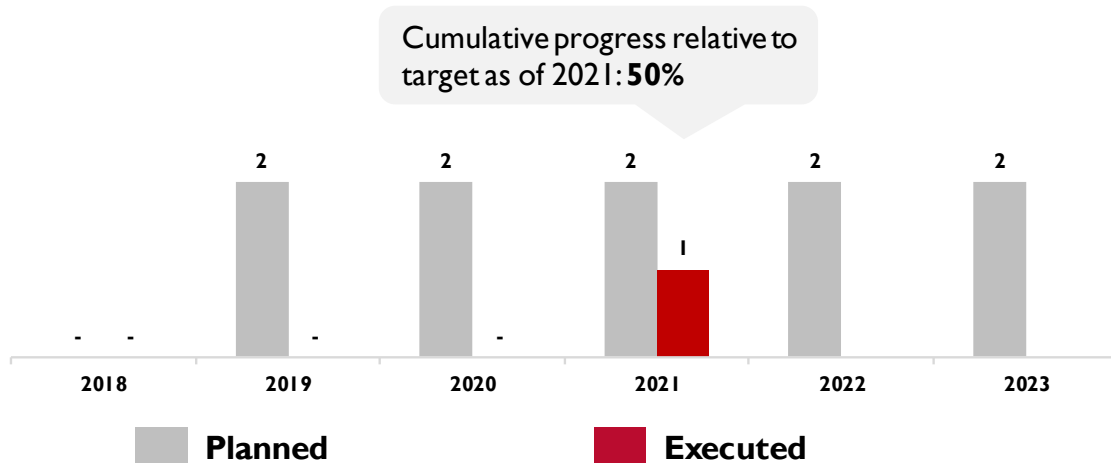
At the institutional level, SUNASS proved more open to incorporating gender issues into its policies and management, thereby facilitating further activities. ANA, on the other hand, resisted gender mainstreaming efforts. Progress in the EST-7 indicator for entities’ gender performance⁴⁶ shows that, as of 2021, just one institution (SUNASS) improved its gender expertise, while ideally both entities should have acquired such capacities in the same period.

As part of SUNASS’s gender mainstreaming process, an institutional gender policy was approved for the entity; and strategies are being designed to bridge the gender pay gap and enhance women’s access to managerial positions within SUNASS. The Activity has recognized the work of SUNASS’s Task Force on Gender Equality as a best practice, which involved collaboration with the entity’s core areas. Additionally, the results include approval of a gender quota for applications to the University Extension Course on Engineering starting in 2021. The quota increased women’s participation in engineering activities, which lagged relative to careers like economics and law.

Despite efforts to promote ANA’s gender mainstreaming adoption, the Activity is yet to obtain approval of the Gender Diagnostic and Action Plan from ANA’s management. Both instruments were prepared jointly by representatives from ANA and NIWS. However, the Activity reports that approval has lingered on for several months. It is important to highlight that this case shows that gender mainstreaming adoption at the institutional level depends to a great extent on leadership and internal resistance within each entity.

“SUNASS and ANA are open [to gender mainstreaming]. ANA is more reluctant and SUNASS more open to change.” – Forest Trends

Exhibit 23. EST-7 Indicator: Number of institutions with greater gender approach capacities



Source: Annual Report 2021. Preparation: APOYO Consultoría.

Based on the interviews conducted under the evaluation, Forest Trends indicates that gender mainstreaming is also related to stereotypes. In this respect, using a tool designed by MIMP to

⁴⁶ EST – 7 Indicator: Number of institutions with greater capacities to address gender matters. Capacity improvements within entities, covering both technical and management issues, aim to facilitate NIWS’s equity initiatives. Capacities to be further strengthened are prioritized by each institution participating with support from the Activity.

diagnose gender stereotypes within public entities it was possible to identify that ANA's lower progress is partially associated to the presence of gender stereotypes. Additionally, institutional resistance is also due to lack of leadership for gender mainstreaming implementation within the entity and the absence of processes/procedures, among other factors.

"MIMP has tools to diagnose gender stereotypes in public entities; and the Activity has contributed to implementing related surveys. [...] We confirmed that gender stereotypes are present at ANA, which explains why gender inclusion is more complex there." – Forest Trends

Similar strategies were initially developed for ANA and SUNASS to modify behaviors among officials. The strategies consisted in providing support via consultants and technical assistance to resolve bottlenecks in developing gender policies, management, and tools, and in gender mainstreaming integration into the entities' strategic plans. However, in recent months the Activity has developed a strategy focused on providing close technical assistance, thereby facilitating actions like weekly meetings with ANA's Gender Mainstreaming Committee. These measures raise expectations of progress in the remaining time, while acknowledging that the responsibility of introducing changes lies with the entities themselves.

"We have attained progress even in an adverse context. There are two different cases: SUNASS, where a working group has made important progress due to greater openness at the executive level, although some resistance remain at the working level. In contrast, although the situation in ANA is quite different, it has been possible to make some progress. We hope to generate further changes during the Activity's remaining period of performance." – Forest Trends

Notwithstanding the above, technical support to MIMP has reinforced its capacities and ability to reach out to both entities. In this regard, MIMP succeeded in promoting annual gender work plans in institutions like SUNASS, which could potentially be replicated in other national entities using the experience acquired.

"[Addressing] the gender approach in water security and resilience to climate change challenges management to constantly enhance capacities. [...] [The Activity] enhances our ability to provide technical assistance and promote gender mainstreaming within public entities. [The Activity] has enabled us to reach out more extensively to these entities." – MIMP

"We established yearly activities and strengthened gender mainstreaming within their work plans. [...] We strengthened cooperation links with Forest Trends. [...] These projects contributed to enhancing our capacities." – MIMP

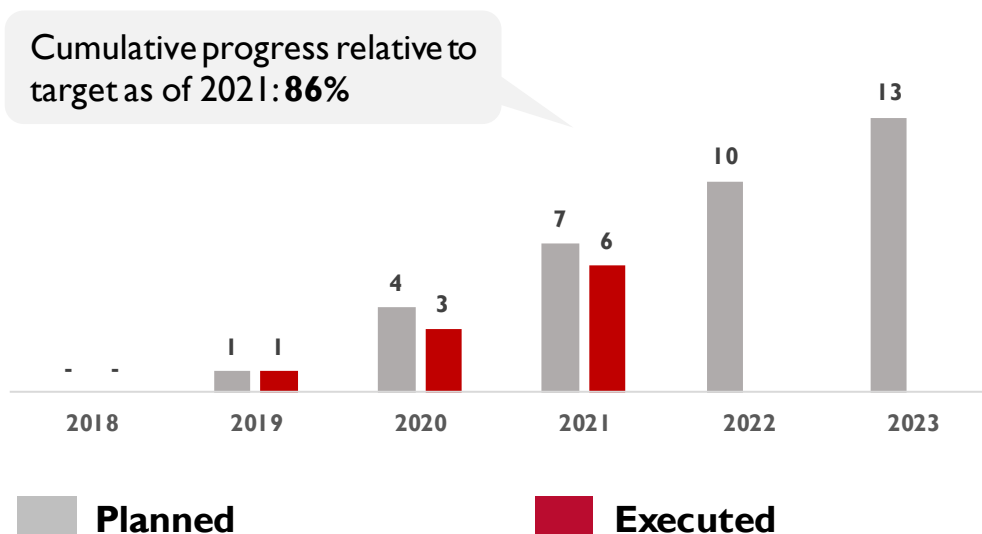
Regarding management tools, the Activity developed six legal instruments designed, proposed, or adopted to promote gender equality and non-discrimination against women (EST-I – GNDR-I); i.e., an 86% progress in complying with the target for 2021. The most important instruments include:

- Inclusion of Strategic Objective 4 of the Multiannual Sectoral Strategic Plan (PESEM); i.e., "Gender approach implemented in SUNASS": The Activity provided specialized assistance, including the preparation of arguments to be presented before the Cabinet of Ministers' Secretariat for Public Administration to explain the importance of this strategic objective.

- Development of the technical record for the “Recovery of Water Regulation Eco-Systemic Services in the Micro-Basins of Huatatas-Alameda, Pallcayaku, Yucaes, Pamparque, and Larampata in the Province of Huamanga – Ayacucho” project, which adopted a gender approach building from a project profile that did not include it. As reported by the Activity, this meant:
 - Establishing participation of both men and women as requirement in the initial workshops.
 - Drawing attention to women’s contributions and recognizing their work in the description of the target audience within the socio-economic diagnostic.
 - Mentioning explicitly the importance of women’s work in the general competency description for implementing the option selected in the Technical Record.
 - Applying a gender quota to ensure women’s participation in project implementation.
- Provision of technical assistance to prepare general guidelines for gender mainstreaming, interculturality, and intergenerational issues within the Nationally Determined Contributions (NDCs), completed in March 2022. This instrument aims at providing general guidance for gender mainstreaming implementation from an intersectional perspective, considering an intercultural, intergenerational, and rights approach to implementing the mitigation and adaptation measures indicated in the NDCs.

The Activity developed these guidelines in cooperation with MINAM, MIMP, the Ministry of Education (MINEDU), and the Ministry of Culture (MINCUL). The tool will be used by specialists from multiple sectors and subnational governments to establish the adaptation and mitigation measures they are mandated to implement within the framework of the Peruvian Government’s commitments to the United Nations Framework Convention on Climate Change (UNFCCC).

Exhibit 24. EST – 1 Indicator: Number of legal instruments designed, proposed, or adopted to promote gender equality and eliminate discrimination against women/girls at the national/subnational level (GNDR-1)



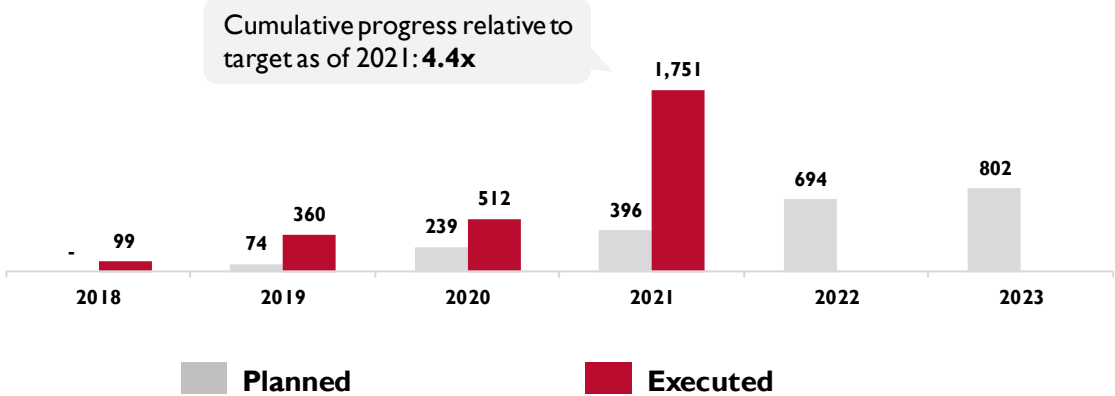
Source: Annual Report 2021. Preparation: APOYO Consultoría.

In conclusion, the Activity provided NI technical assistance to MIMP to integrate gender equality into the work of national water authorities like SUNASS and ANA, thereby enhancing MIMP’s capacities and promoting the use of gender mainstreaming management instruments. Effective gender mainstreaming has differed between both entities. SUNASS made greater progress than ANA due to greater openness to incorporate gender proposals. The Activity’s efforts to promote gender equality face entrenched stereotypes, a lack of gender mainstreaming leadership within the entities, and the absence of gender mainstreaming-related processes/procedures.

FINDING 12: The Activity surpassed the targeted number of women trained in climate change issues. Towards this end, the Activity promoted multiple strategies with other entities like MINAM, MIMP, and NGOs focused on promoting gender mainstreaming.

As mentioned above, one of the Activity’s objectives regarding gender is to promote NI research incorporating studies conducted by women, addressing gender gaps, and exploring women’s ancestral knowledge (specific objective 2 of the Gender Action Plan). In this regard, the number of women trained in climate adaptation as of 2021 exceeded the target for the year by 4.4 times, with a total of 1,751 women receiving training in this area.

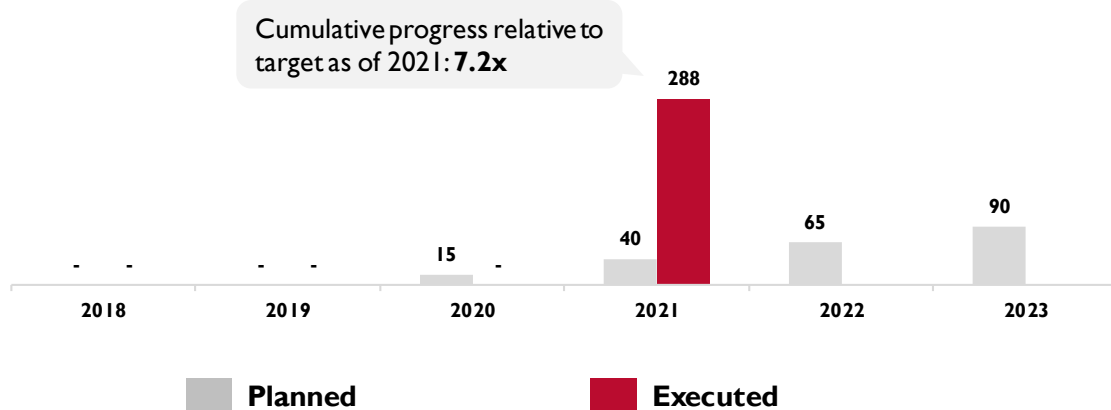
Exhibit 25. EST – 6 Indicator: Number of women trained in climate adaptation.



Source: Annual Report 2021. Preparation: APOYO Consultoría.

Additionally, the EST-2 indicator measures the number of women that use the information or implement risk management activities to improve resilience to climate change, as promoted by the Activity. As of 2021, cumulative progress exceeds 7.2 times the target for the year, i.e., 288 women used the information or implemented actions promoted by the Activity. This considerable progress is due to the adaptation to virtual activities via webinars to disseminate the tools and information developed under the Program.

Exhibit 26. EST – 2 Indicator: Number of women using the information or implementing risk-reduction actions to improve resilience to climate change.



Source: Annual Report 2021. Preparation: APOYO Consultoría.

To achieve the results described above, NIWS developed multiple strategies with entities at the national and subnational level, including:

- Forum on Gender Equality and Water Security
- Workshop on “Men and Women Managing Water Resources”
- Cooperation to Form the Interest Group “Women and Climate Change” (CONAMUCC)
- Identification of gender gaps via the “Study on Gender Gaps in Natural Infrastructure and Water Management in Peru”
- Support for the development of gender-related tools and capacities
- Women’s Leadership Program

The goal of the forums and workshops was to acknowledge women’s fundamental role in, and knowledge of, water resource management. The workshop sought to promote women’s access and participation in water resource management and local water user organizations. Entities like MINAM, MIMP, MINAGRI, ANA, and SUNASS contributed to the planning and implementation of these activities.

The results from these activities include:

- Acknowledgment of the work of 20 Peruvian female leaders, in many cases for the first time, during the “Forum on Gender Equality and Water Security 2019”. Approximately 750,000 people attended the event, of which more than 350 were policy formulators, consultants, and local water leaders.
- Creation of a direct communication line between ANA officials and members of the Water User Organization during the workshop on “Men and Women Managing Water Resources 2019”. Ninety-eight people attended the event, of which 83 were women from the Lambayeque region. The women shared their local needs and ANA accommodated them via effective institutional commitments.

CONAMUCC is a space to promote an informed, timely, and continuous participation of women in climate change management. The committee, led by MINAM and female organizations working

on gender issues and climate change, is considered an achievement in women’s participation in climate governance.⁴⁷ The Activity provided technical assistance to the committee to build an agenda on women, water, and water resource management.

“Climate change is increasingly affecting women’s lives and capacity to carry out their daily activities. [...] Therefore, it is key to enhance their participation in these kinds of spaces, given women’s close link with natural resource management and their capacity to make significant contributions.” – Forest Trends [website]

The Activity also contributed with technical assistance to develop specialized methodological documents for gender equality integration. The following activities were implemented:

- Guidance for gender mainstreaming along the public investment cycle:
 - Preparation of the “Guidelines for gender mainstreaming implementation across the NI investment cycle” (with emphasis on investment formulation and evaluation stages).⁴⁸ Although NIWS planned to publish the guidelines during 2022, it had already been applying them with counterparts in its own project portfolio during 2021.
 - Implementation of a pilot PIP with the Regional Government of Ayacucho, in cooperation with MIMP, to fully integrate a gender approach into the public investment.⁴⁹
- Preparation of guidelines on how to integrate gender equality into MERESE-H project design and implementation of all EPSs in the country.
- Calculation of risk based on likelihood of impact (disaggregated by gender) in the study on “Identification of Rapid Measures for Action (IRMA) in the Rímac basin”:⁵⁰
 - Drafted recommendations to reduce vulnerabilities, in line with women and men’s needs, under a physical – natural security model.
 - The Activity expects that Mantaro basin municipalities will use the recommendations in future GRD interventions.
- Development of general guidelines for gender, intercultural, and intergenerational mainstreaming in NDCs as technical support for MINAM, MIMP, MINEDU, and MINCU.

“[The Activity’s main results so far included] preparing guidelines to assist MINAM in gender mainstreaming implementation across NDCs, in cooperation with entities like MINEDU, MINCU, MIMP, and MINAM.” – Forest Trends

⁴⁷ More than fifty women’s organizations and NGOs joined the committee.

⁴⁸ The guidelines address the diverse needs of women and men so that PIPs include appropriate solutions to both groups.

⁴⁹ Technical record (including gender criteria) for the investment project “Recovery of Water Regulation Ecosystem Services in the Micro-Basins of Huatatas-Alameda, Pallcayaku, Yucaes, Pamparque, and Larampata in the province of Huamanga, Department of Ayacucho” (15th Progress Report on Compliance with Law 28983).

⁵⁰ Source: 15th Progress Report on Compliance with Law 28983

- Development of guidelines to diagnose gender stereotypes in public entities:⁵¹ The Activity contributed to the analysis of a survey that identified ideas and beliefs about women’s roles in society. The survey includes questions on whether the entity’s staff members believe in the existence of a gender ideology, whether they believe that a gender approach benefits both women and men, or whether they hold stereotypical beliefs that contribute to discrimination.⁵²

“Gender mainstreaming has to do with stereotypes. MIMP uses surveys to identify gender stereotypes in public entities; and the Activity has helped in analyzing them.” – Forest Trends

“Those providing [technical assistance] services to authorities can measure stereotypes and forecast them for 2 years, 5 years, etc. If capacity building is sound, if it is possible to identify the most prominent stereotypes within and institution, we will be able to measure how they are evolving.” – Forest Trends

Another gender mainstreaming intervention included meetings of the Women’s Leadership Program for water and NI management. The program aims to strengthen women’s political, social, and technical capacities to become agents of change within their organizations. The program’s three events included young female academics, officials, and specialists from water and sewage authorities; female authorities; and women from water management organizations.

In 2020, the Activity selected eighty-eight female leaders active in water and human resource (HR) management in priority regions to represent public sector agencies, local water user groups, academia, and the civil society.⁵³ In 2021, the Activity designed an event for 25 female leaders at the local level. In high demand, 399 women applied to attend this event. In total, the Activity trained 130 attendees (out of 1,260 applicants) through the program’s three events. Although the capacities gap has not yet been covered, the knowledge the attendees gained is expected to generate positive externalities. These include trained women exchanging experiences and developing leadership skills. Stakeholders mentioned that participation in these programs has been instrumental both for enhancing their capacities and implementing the newly acquired knowledge in their relations with other institutions. These comments, as well as the high demand for the program, shed light on the need and usefulness of NI development under a gender approach.

“We participated in a women’s leadership program related to water management. We found it useful because we were able to replicate it in communities/organizations we work with. [...] Thanks to this program, to other capacity building activities, and to exchange events with women from other basins we have been able to strengthen our work on women’s empowerment.” – NGO

The Activity developed multiple strategies to address gender gaps in national entities. The data for indicators on trained and informed women provide evidence on the positive results achieved in

⁵¹ The survey was conducted among SUNASS staff in 2020 and among ANA staff in 2022.

⁵² During the survey conducted at ANA, the Activity identified staff who hold beliefs such as “a woman is only fulfilled when she becomes a mother” or “men should be in charge of activities that involve physical exertion”. Source: Interview Forest Trends.

⁵³ According to the 14th Progress Report on Compliance with Law 28983 (Law on Equal Opportunities for Men and Women), the program strengthened political, social, and technical capacities/abilities of GORE/GOLO female authorities/officials and young female academics linked to water resource management in six regions: Lima, Piura, San Martín, Arequipa, Moquegua, and Cuzco.

this regard. The strategies included developing tools and forums to provide more tailored support to the relevant stakeholders. The results attained, in turn, have generated positive externalities, such that participating authorities have been able to utilize what they learned to promote gender mainstreaming at their entities.

FINDING 13: With an aim to promote gender mainstreaming across NI projects, the Activity made progress in assessing the need for, and designing a set of, guidelines providing recommendations to include a gender approach in NI investment projects since inception. Additionally, the Activity contributed to providing gender-related technical assistance to the teams in charge of project formulation. However, as both strategies are still under implementation, the results from integrating a gender approach in all NI projects have yet to materialize.

Integrating gender into NI public investment projects is part of the objectives set by the NIWS Activity in its Gender Action Plan. The initiative is expected to promote women’s access to benefits from NI investments. The activities planned in this regard are: (i) design of guidelines providing orientation and standards; and (ii) technical assistance to integrate a gender approach into NI investment projects. Both are geared towards ensuring that project design and implementation include women’s knowledge of NI and water use issues; and that interventions include women’s capacity building and employment.

In this regard, the Activity reports progress in reviewing and issuing recommendations to integrate a gender approach into 26 NI investment projects. This diagnostic effort was instrumental in capturing evidence that will prove useful in the implementation of the gender approach in NI investment projects. The main lessons learned are the following:

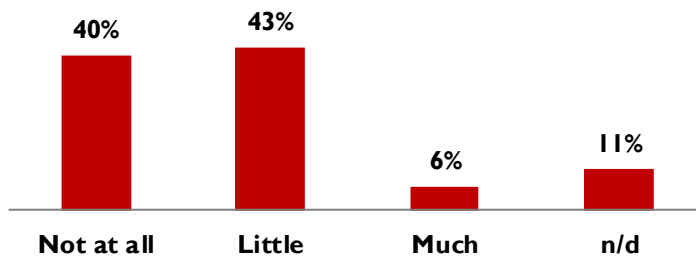
- The terms of reference to prepare the technical records must integrate a gender approach despite being technical and specialized documents.
- The technical profiles and records are currently prepared without considering a gender approach. Therefore, it is important that women are required to participate in initial workshops intended to capture the target population’s expectations. It is also important to understand how women wish to participate in the process. This requires:
 - Emphasizing and coordinating with community authorities about the need for women to participate to ensure that invitations are sent out for suitable times.
 - Using timesheets and setting up work groups differentiated by sex to gather information on productive and reproductive roles, to evidence women’s work overload in reproductive care and labor.
 - Setting equality objectives to provide men and women with the same opportunities to work in the implementation of NI investment projects.
- The characterization of the target population tends to reduce visibility of women and their work. Therefore, it is important to characterize women and men according to their general interests and their role in water resource conservation, level of education, native language, main economic activities, time dedicated to care activities, and commitment to opportunities within NI projects.

- The description of the option selected in the technical record does not mention the importance of women’s work and involvement. Therefore, women should be considered in technical assistance, capacity building, and internship activities as direct beneficiaries of the project. Stakeholders should also consider implementing gender quotas.
- Including more explicit measures for bridging gender gaps in project implementation is complex. Therefore, promoting women’s participation should be considered among the factors that measure change. For example, changes associated with the integration of a gender approach can be linked to women’s participation in activities to be implemented as part of the selected option.

Additionally, NIWS aims to address gender mainstreaming at the community level by developing the capacities of formulators of projects/technical records and providing technical assistance to the technical teams in charge of those projects. Along these lines, the Huamanga-Ayacucho project⁵⁴ represents a flagship case in which the Activity worked with MIMP representatives and the Regional Government of Ayacucho to provide technical assistance and follow up on the participation of men and women from 6 communities. The experience from this project included implementing equality objectives in agreements with communities via gender quotas to ensure women’s participation in project implementation.

However, results from both efforts across the NI project portfolio—consolidating the guidelines for gender mainstreaming and developing capacities among formulators of projects/technical records—are yet to materialize. Both strategies are still under implementation and, therefore, not all projects—including the two visited as part of the field work—have yielded gender equality results. Carampoma and San Bartolomé community members indicated that women’s participation in the NI project implemented in their area is limited and could not identify clear signs of the promotion of women’s involvement.

Exhibit 27. How involved in the nursery project were the women of the San Bartolomé community?



Note: Survey conducted among 47 persons: 19 responded not at all (40%), 20 responded little (43%), 3 responded much (6%), and 5 responded n/d (11%). Source: Surveys conducted among members of the San Bartolomé community (47 people surveyed). Source: APOYO Consultoría.

Gender stereotypes also characterize the communities that the evaluation team visited. Women’s participation in investment projects is lower, as they are only assigned housekeeping duties, while men are given labor jobs. Carampoma community members indicate that efforts to promote women’s involvement were limited.

⁵⁴ Recovery of water regulation ecosystem services in the micro-basins of Huatatas-Alameda, Pallcayaku, Yucaes, Pamparque, and Larampata in the province of Huamanga-Ayacucho.

“Participation in project implementation has not been equal between men and women, i.e., more men were hired to work in the project. [...] Neither has there been a clear policy to encourage women’s involvement.” –Carampoma community members

Had the Activity anticipated resistance to gender mainstreaming (due to lingering stereotypes) from the design of the Gender Action Plan, it would have been able to devise a strategy building from the need to attenuate resistances. It is also important to acknowledge that the conclusions and recommendations from NIWS’s social diagnosis efforts to promote women’s participation were not implemented across NI investment projects. Several of the projects (such as the ones in communities visited as part of the field work) were designed and formulated prior to the Activity’s social diagnostic effort taking place.

The Activity has displayed significant efforts to integrate gender within NI projects. In this regard, the Activity has made progress in reviewing NI investment projects with a view to making recommendations for gender mainstreaming inclusion from the design stage of NI investment projects. Additionally, the Activity provided gender mainstreaming capacity building activities and technical assistance to project formulators. At the same time, as both strategies are still at the initial stages, results are yet to materialize regarding gender mainstreaming implementation across the NI project portfolio.

SUSTAINABILITY

WHICH ARE THE MOST RELEVANT RESULTS FOR ENSURING THE CONTINUITY OF BENEFITS FROM THE ACTIVITY BEYOND COMPLETION, INCLUDING THOSE RELATED TO GENDER EQUALITY? WHAT STEPS IS THE ACTIVITY TAKING TO DEVELOP THE NECESSARY CONDITIONS FOR ENSURING THE CONTINUITY OF SUCH BENEFITS?

The evaluation team identified four results that are relevant to the continuity of benefits from the Activity after completion. First, the Activity contributed to creating an NI-favorable environment on the normative front. The Activity’s efforts were instrumental for NI inclusion in official documents, thereby facilitating sustainability by contributing to NI compliance in coming years.

Second, the Activity succeeded in building an important NI project portfolio for future implementation by the appropriate entities. The Activity promoted capacity building among NI investment managers during technical assistance as a strategy to ensure results sustainability. At the same time, it is important to note that the Activity’s capacity building activities are based on the “learning by doing” model. This model made significantly contributed during the initial stages of project execution. However, it has a limited scope at future stages involving project implementation, operation, and maintenance.

Third, the Activity developed NI-related guidelines and technical tools not previously in place. The instruments are validated via an application/improvement process involving user entities; and are expected to obtain an institutional home among partner authorities to ensure their future implementation, updating, and use. The consolidation and appropriation of the technical tools the Activity promoted will contribute to sustainability in the generation of scientific information and technical assistance for future NI project implementation.

Finally, integrating gender equality into the norms of water authorities (SUNASS and ANA) will contribute to promoting sustainability. To ensure that the progress made in promoting gender mainstreaming is sustainable, SUNASS strengthened institutional work plans and established a task

force on gender equality with representatives from the entity's core areas. Regarding ANA, NIWS identified a considerable presence of gender stereotypes, which hindered the Activity's gender efforts. In this light, the Activity is developing a strategy focused on providing closer technical assistance to expedite progress in this field for the remainder of the period of performance.

TO WHAT EXTENT IS IT LIKELY THAT BENEFITS FROM THE ACTIVITY WILL CONTINUE AFTER EXECUTION? WHAT ARE THE CONDITIONS OF THESE RESULTS TO ENSURE BENEFIT CONTINUITY? WHAT IS THE CURRENT STATE OF THE CONDITIONS IDENTIFIED?

Continuity of the four benefits identified requires four conditions. First, the creation of a favorable environment will result from the consolidation of the information the Activity developed and reaching out to communities. Regarding the information developed, the communication strategies the Activity implemented have been adapted to expand their scope, so more people—authorities and the general public—may learn about NI significance. In the case of communities, projects must include a compensation component (i.e., job creation, business opportunities, and income generation) for inhabitants of intervened basins so that communities feel an affinity for the project, feel like they own it, and receive direct and sustainable economic benefits.

Second, NIWS contributed to developing NI capacities by funding the hiring of specialized consultants and providing technical support (technical assistance, training, webinars, and forums) for the entities in charge of project implementation. The Activity expects that the resulting knowledge will remain within those entities for years after completion of the Activity. Additionally, the use of information and tools generated under the Activity to design and implement NI projects will continue as long as they find an institutional home among Peruvian authorities.

Third, securing the continuity of results obtained from the creation of the portfolio requires mobilizing NI project investment. Project execution will facilitate: (i) consolidating the NI investment scale-up as strategy to reinforce water security and resilience to climate change (the Activity's purpose); (ii) identifying bottlenecks and preparing guidelines to expedite implementation; and (iii) enhance visibility of NI benefits to encourage promotion of further NI projects. It is also important to highlight that community involvement—especially at the strategic design/implementation stages of NI projects—will contribute to preserving the benefits from NI projects, as long as community members take charge of project operation/maintenance in the long run.

Lastly, regarding gender mainstreaming, SUNASS's results are likely to continue. ANA's results might also continue as long as it is possible to complete a gender awareness strategy to counter entrenched stereotypes. At the community level, although gender mainstreaming results have not yet reached maturity, community involvement since the inception of NI investment projects—via developing and applying the relevant guidelines and standards—will facilitate gender mainstreaming in project implementation.

Summary of findings:

- **Finding 14 (Strength):** At the national government level, NI inclusion in official documents will contribute to ensuring further awareness on the importance of NI investment projects. The main results will continue over time as long as knowledge is shared between key stakeholders and measures are taken to prevent knowledge loss due to high position turnover.
- **Finding 15 (Area of improvement):** The Activity has succeeded in building an important NI project portfolio to be implemented in the future by the appropriate entities. Therefore, sustainability of Project results depends on further development of Activity-promoted capacities among investment managers.
- **Finding 16 (Strength):** Information consolidation and appropriation of all technical tools promoted by the Activity will contribute to sustainability in the development of scientific information, tools, and technical assistance for future implementation of NI projects by the appropriate entities.
- **Finding 17 (Strength):** NI investment sustainability also depends on local communities' involvement in, and commitment to, investment projects. In this regard, the Activity, by developing guidelines for NI investment formulators, seeks to emphasize and guide the involvement of, and outreach to, local communities regarding project preparation and implementation going forward.
- **Finding 18 (Strength):** The Activity contributed to strengthening gender mainstreaming in water authorities like SUNASS and ANA by incorporating the gender approach into their norms as a strategy to ensure sustainability of the results achieved.

The following section details the findings regarding the assessment of the Activity's sustainability.

FINDING 14: At the national government level, NI inclusion in official documents will contribute to ensuring further awareness on the importance of NI investment projects. The main results will continue over time as long as knowledge is shared between key stakeholders and measures are taken to prevent knowledge loss due to high position turnover.

The Activity seeks to create a suitable environment for NI adoption by raising political and public awareness of NI effectiveness for water security and resilience to climate change. The Activity introduced the concept of NI among public officials and into the public political agenda. Additionally, it emphasized the importance of this kind of infrastructure for attaining water security. Moreover, it reached out to public officials about the need to design and implement NI investment projects.

A result that would ensure benefit sustainability in the coming years is NI inclusion in the public political agenda. The Activity's efforts to generate political awareness in this respect resulted in NI inclusion in multiple official documents. For instance, projects of interest for water source preservation were included in the National Sanitation Plan, which previously addressed only gray

infrastructure (Finding 6). These results promote sustainability, as NI inclusion in normative documents ensures its implementation even beyond the end of the Activity next year.

“There’s always a risk that the activities carried out would not continue; but the presence of a mechanism within a work plan contributes to ensuring that public entities will remain under this approach.” – SUNASS

“It’s already in the National Water Resource, with validity until 2030. It is necessary to support cooperation with the council as a binding action. [...] There are a few remaining elements; but progress so far can be expected to be sustainable.” – ANA

Moreover, considering the issues discussed during the Dialogues on Water Policies and Governance (2019-2021), the OECD adopted the Activity’s recommendations laid out in its report on “Water Governance in Peru”.⁵⁵ The report suggests future avenues to improve water governance, one of which is concerned with NI promotion and securing NI continuity. In this respect, the Activity recommends opening a special route for NI public investments that can be more efficient and equitable and, therefore, more suitable to the nature of such investments.

Only as far as a favorable environment is maintained from beginning to end of the investment cycle, and involves all relevant key actors (investment managers, implementers, and community), the Activity’s results will be preserved over time. As mentioned above, prioritization of NI projects within the local and regional budget creates a risk of delay in project implementation. In this regard, high turnover of public officials hinders the creation of a portfolio of NI professionals that can secure implementation going forward. Moreover, project prioritization often depends on political will, which could result in a bias towards gray infrastructure.

“In Peru, when the head goes, the whole team goes with them; and you have to start over. [...] It is necessary to strengthen the context, which also has implications for sustainability.” – CONDESAN

“It’s not easy to convince public officials [to accept NI investments]. Even those specialized in public investment are mostly engineers with more experience in gray infrastructure.” – NGO

To address the problem, stakeholders indicate the need to build capacities that may facilitate the authorities’ appropriation of NI and preservation of the Activity’s benefits.

“It will work if people knowledgeable on the subject stay to continue implementing the NIWS Activity.” – MINAM

“Public authorities’ understanding of the importance of NI investments contributes to preserving [NI projects and benefits thereof] and implementing relevant projects.” – ONG

Overall, the NIWS Activity contributed to creating a suitable environment for NI adoption on the normative front. The Activity’s efforts promoted NI inclusion into official documents, which is

⁵⁵ The OECD report presents an analysis of water governance in Peru, including policy recommendations for strengthening water management under a multi-sectoral approach; improving economic instruments to protect water resources, their sources, and related ecosystem services, and use them in a sustainable manner; and strengthening the regulatory framework to improve access to clean water and sanitation in urban and rural areas.

expected to facilitate sustainability, as it ensures NI compliance in future years. For this favorable environment to be sustainable over the entire investment cycle, national, subnational, and local authorities, as well as communities, must be convinced of the benefits of implementing NI projects.

FINDING 15: The Activity has succeeded in building an important NI project portfolio to be implemented in the future by the appropriate entities. Therefore, sustainability of Project results depends on further development of Activity-promoted capacities among investment managers.

The long-term purpose in the Activity’s ToC is scaling up NI investments as a strategy for improving water security and resilience to climate change. In this regard, the Activity succeeded in building a portfolio of NI projects—made up of 60 projects valued at US\$ 327 million—representing the most important result for promoting NI investments. At the same time, it is important to emphasize that the design of the Activity’s interventions depends on the implementation capacities of the appropriate entities such as EPSs, ARCC, GOREs, and private sector companies.

Along these lines, the most relevant sustainability element is the Activity’s development of capacity building activities among investment managers. Entities are expected to have the necessary means to ensure implementation of projects within the Activity’s investment portfolio. As long as the knowledge and experience resulting from the Activity’s process of developing, financing, and mobilizing investments continue to be applied to NI project implementation, it will be possible to maintain and escalate results.

The Activity found that entities responsible for managing the investments lacked, and had considerable gaps in, capacities for implementing NI projects. Therefore, the entities required technical training, recruitment, and support. The search for qualified specialists who were ready to develop profiles and technical records caused delays. Moreover, in most cases, even when the consultants were finally hired, the Activity’s technical team had to supervise and provide close technical support on project development and formulation.

“[...] we have implemented “learning by doing” capacity building activities for the consultants we hire and our clients’ counterparts, so as to make progress in the processes without delay.” – Forest Trends

“[Investment managers], in general, have resources, as well as openness and willingness to take on the job of ensuring continuity in project activities.” – SPDA

Additionally, the Activity pointed out that building an investment project portfolio requires technical assistance and direct support to formulate profiles and records. It also requires technical innovation, management support, and strategic incidence to achieve significant progress. In this context, the Activity’s work with each partner required a considerable investment involving an important assistance element.

The importance of the assistance that the Activity provided to entities responsible for project implementation lies in the experience investment managers gained during the provision of the assistance itself. At the same time, the Activity acknowledges that lingering capacity/knowledge gaps in these entities may hinder effective project implementation going forward. As mentioned above, the Activity’s support model is based on creating capacities on the go; and, therefore, it has

a limited scope for developing capacities at further project implementation stages (e.g., maintenance and monitoring). The Activity indicates that, within its lifespan, it will not be possible to fully support implementation of the investment portfolio. Knowing this, it is important to continue supporting NIWS partners with capacity building during the later stages of portfolio project implementation.

The Activity promoted capacity building among NI investment managers via technical support provided as a strategy to ensure sustainability of results stemming from the creation of an investment portfolio. However, responsibility for investment project implementation going forward lies with public entities (EPSs, ARCC, GOREs/GOLOs, and private sector) and not the Activity. Also, because the Activity's capacity building activities are based on a "learning by doing" model, its replicability at further stages (project execution, operation, and maintenance) is limited.

FINDING 16: Information consolidation and appropriation of all technical tools promoted by the Activity will contribute to sustainability in the development of scientific information, tools, and technical assistance for future implementation of NI projects by the appropriate entities.

The Activity validated technical tools via an application/improvement iteration process. The tools must be approved by user entities that will be responsible for their sustainability beyond Activity completion. Some of these tools are still being validated and recommendations are being considered to improve them. It is expected that, by the end of the Activity, all the available tools and information will be compiled to facilitate their future use in Peru and beyond.

"[...] We think this innovation will serve Peru well for many years; and the Activity could offer it to other countries seeking to scale up NbS to enhance water security and climate resilience." – Forest Trends

Regarding information appropriation, tools are expected to find an institutional home among partner authorities to ensure their management, updating, and future use. It is important to mention that, as reported by the Activity, institutionalization of the tools was never an explicit objective withing the Activity's design. Instead, NIWS's objective was the promotion of the use of the tools. Nonetheless, the Activity considers tool institutionalization as a relevant factor to ensure their sustainability. The Activity expects to continue making progress in this regard over the next months.

"It is important to acknowledge that institutionalization is a process; and that we are yet to complete it with multiple instruments over the NIWS Activity's remaining lifespan. Moreover, permanent changes in institutions affect these processes." – NIWS Activity

Currently, officials interviewed emphasize the use of information/tools developed by the Activity (e.g., CUBHIC, HIRO-GRD, and HIRO-SEH methodologies) and acknowledge that their institutionalization is in process. The Activity acknowledges that the tools would be more attractive for adoption and institutionalization after they gain maturity and if case studies can show their usefulness (even if the tools have not been developed by any institution – such as the CUBHIC tool). In these cases, the presence of multiple competent partners provides the Activity with further opportunities related to tool development and institutionalization.

Some stakeholders interviewed, including ANA, mentioned that close follow-up is important to ensure tool appropriation. They also emphasize the need to consolidate the information in an online platform to secure future accessibility.⁵⁶ The effects of the Activity's benefits will continue over time as long as all available information is compiled in a public repository before the end of the Activity.

To ensure the sustainability of information and tools, the Activity is taking steps to consolidate them. Steps include tool validation processes that consider recommendations to obtain improved versions, and the promotion of tool appropriation/institutionalization in coordination with partner stakeholders. While institutionalization of the tools generated was not an explicit goal, the Activity recognizes it as a relevant factor to secure tool sustainability. The Activity expects to make progress in this field over the next months.

FINDING 17: NI investment sustainability also depends on local communities' involvement in, and commitment to, investment projects. In this regard, the Activity, by developing guidelines for NI investment formulators, seeks to emphasize and guide the involvement of, and outreach to, local communities regarding project preparation and implementation going forward.

Local community involvement is key to ensuring sustainability of benefits from investment projects. With a view to achieving sustainable community involvement to obtain the expected results in priority basins, the Activity has developed the following guidelines targeted to NI investment formulators:

- Guidelines for assessing NI interventions for water security: scale of effectiveness, equality, and sustainability (2020).
- Manual for formulating and assessing NI investment projects (2022).
- Guidelines to design technical assistance, capacity building, and sensitization activities targeted to the population benefiting from NI investments under a GRD approach (2022).

As reported by the Activity, prior to the intervention there was little information on how to communicate MERESE/NI benefits and sensitize local communities about them. For instance, the needs assessments for SEDAPAL projects involved analyzing variables solely associated with the state of ecosystems. This partial analysis did not result in sustainable interventions and, therefore, had little chance of implementation, as it did not consider the social and economic dynamics of the local communities involved. Since the introduction of the manual to formulate/assess NI projects, the needs assessments consider not only the state of ecosystems that will be intervened, but also the needs of the population under a territorial approach.

The tools, guidelines and capacities developed will contribute to improve formulator and NI manager entities' outreach; and guide community participation in the future, respecting the conceptual and legal framework for NI public investments. In this regard, it is expected that publication and mandatory use of the guidelines promoted by the Activity emphasize and guide

⁵⁶ Using the study on the use of information generated and disseminated by the Activity (2021), it was possible to establish that partner entities' preferred means for receiving information were virtual events, websites, social networks, bulletins, and academic publications.

community/local population involvement in preparing and implementing projects within the investment portfolio.

Investments currently being mobilized will bring tangible short- and medium-run benefits to local populations, in addition to the project portfolio that will benefit communities over a more extended period beyond the Activity's lifespan. It is, therefore, expected that contact with communities will improve with the entities involved in the investments with technical assistance from the Activity. Building on this improvement, the Activity expects to compile all teaching materials developed into tools for investment managers, thereby ensuring their sustainability over time.

From the Activity's perspective, the necessary local community involvement/commitment for ensuring sustainability of investment projects going forward depends on the following conditions: (i) NI/MERESSE projects should be proposed proactively by local communities (acting as partners and co-creators); (ii) communities should be contracted directly to perform multiple NI projects, thereby resulting in greater direct benefits; and (iii) local communities should be compensated directly with the profits from preservation and maintenance of eco-systemic services (i.e., an actual direct payment to communities for eco-systemic services).

However, the Activity acknowledges that the reality is still far from ideal, as NI projects still show limited participation of, and benefit perception by, local communities. As mentioned above, lack of awareness and involvement among local communities discourages participation in, and commitment with, NI investment project sustainability. Consequently, stakeholders interviewed emphasized that local community participation is key to fluent project implementation and operation/maintenance in the future.

“[Sustainability is achieved with] fully involved beneficiaries, because they are the ones who will continue to work in the nursery project. [...] It's a non-stop process.” – Regional Government

“It's necessary to establish a roundtable where the community can participate. [...] It is key to promote workshops that can contribute to implementing a project that is beneficial, efficient, and in line with local realities.” – San Bartolomé community members

While producing technical guidelines and tools for outreach to communities was an important contribution to sustainability, the Activity's on-site presence would have facilitated learning systematization and follow-up of guideline implementation. The Covid pandemic greatly limited these actions, which significantly hindered outreach to, and interaction with, local communities (by the Activity, its partners, and local entities).⁵⁷

It is important to highlight the role of local community involvement/commitment to ensure sustainability of NI investment projects. The production of technical guidelines and tools is an important Activity result in terms of sustainability. Additionally, the Activity's on-site presence would contribute to facilitating follow-up of guideline implementation, especially for projects within the portfolio that are currently being mobilized.

⁵⁷ Covid-related restrictions have affected the Project's implementation activities for around two years, thereby limiting its on-site presence.

FINDING 18: The Activity contributed to strengthening gender mainstreaming in water authorities like SUNASS and ANA by incorporating the gender approach into their norms as a strategy to ensure sustainability of the results achieved.

The NIWS Activity promoted gender mainstreaming within entities related to water security like SUNASS and ANA. In order to ensure the sustainability of the results achieved with regard to gender integration, SUNASS strengthened its institutional work plans and established a task force on gender equality, which includes representatives from all core areas of the entity. The technical support the Activity provided is expected to result in normative changes (e.g., the Gender Equality Policy in the water sector and the inclusion of gender equality into the MERESE regulations of EPSs) that will continue in the coming years and promote gender equality within the entities.

“There will always be [gender stereotypes] and they won’t be easy to eliminate, but it is possible to reduce them gradually. Our main guarantees in this field are our Task Force and Work Plan.” – SUNASS

Additionally, the strategy that the Activity implemented also involved hiring gender specialists as part of the technical support needed to prepare technical records, given that entities like ANA and SUNASS lacked the necessary staff and budget resources. Now these entities have a reference for gender equality integration, which will be maintained in further NI investment projects.

“SUNASS lacks the necessary human resources to address these new issues [NI and gender], and therefore the technical support from the Activity, which has the required specialists and financial resources, has been key.” – SUNASS

In contrast, results with ANA were not equally satisfactory. ANA showed a high level of gender stereotypes, which hampered the Activity’s gender equality work with that entity. The Activity expects to continue to promote further changes within this entity during the remainder of the period of performance. Towards this end, the Activity is developing a strategy focused on closer technical assistance. As long as regulatory changes related to gender equality are adopted by the entity, ANA’s results will also be sustainable over time.

“[...] although the situation [openness to gender issues] in ANA is quite different, it has been possible to make some progress. We hope to generate further changes during the Activity’s remaining lifespan.” – Forest Trends

“[There is] a general resistance to gender mainstreaming, and therefore implementation cannot be immediate. Such resistance is to be expected in a society with entrenched gender stereotypes. Although breaking these stereotypes is a slow process, the Activity can contribute to expediting it.” – SUNASS

In conclusion, the Activity has promoted gender mainstreaming within water authorities. Towards this end, the Activity’s strategy integrates gender equality into these entities’ regulations to secure sustainability of the results. In the case of SUNASS, regulatory changes and institutional commitments will contribute to sustainability of the progress made. In the case of ANA, the Activity expects to achieve further institutional changes through closer technical assistance during the remainder of the period of performance.

LESSONS LEARNED AND BEST PRACTICES

Building on the findings described above, the evaluation team identified lessons and best practices derived from the Activity. The lessons learned respond to the questions: What was well done and what was not? What could be changed/improved? Why? Additionally, the Activity's best practices are techniques that worked well, under specific circumstances, in addressing specific needs.

LESSONS LEARNED

CREATION OF A SUITABLE ENVIRONMENT FOR NI ADOPTION

- Construction of a common vision in an unfavorable political context
 - When strategies depend on effective multisectoral collaboration but face a context of high turnover of government officials and permanent social (pandemics and corruption) and economic (inflation) crises, it is preferable to work with commitments and incremental change. In particular it is more effective to learn from strategies' short-term results than to develop a long-run roadmap to seek a final objective.
- Community involvement in NI investment projects
 - Community involvement in NI investments requires a regulatory and legal strategy to: (i) adapt results-based contracts under the current legal framework (to the extent possible); and (ii) update the legal framework to allow results-based payment to communities under the MERESE framework.

TOOL DEVELOPMENT AND DISSEMINATION

- Starting point for tool generation
 - Social considerations are critical during the investment cycle and must be included in the tools and information developed. Social considerations must also be considered when urging for NI investments and encouraging decision-making among authorities.
- Strategy to co-develop tools with users.
 - Adopting an iterative and collaborative approach to NI information management results in quality improvements of the tools needed for NI investment projects. Consequently, the projects themselves improve based on the diversity of the entities involved in NI development.
 - When designing innovative tools, like tools for NI investment projects, it is preferable to follow a trial process that ensures the quality of projects, programs, or plans.
- Follow-up on the use of information that the Activity developed and disseminated.

- It is important to develop and use specific indicators, explore new financing sources, and seek feedback from users⁵⁸ to measure the use of information/tools by key actors.⁵⁹

DESIGN AND IMPLEMENTATION OF NI PROJECTS

- Targets suggested in the case of an innovative concept like NI
 - It is advisable to be realistic regarding the estimated time needed to formulate and mobilize NI investments and regarding the quality of ongoing projects at advanced formulation stages.
- Strategies planned in the case of an innovative concept like NI
 - The process of building, developing, and mobilizing an NI investment portfolio requires not just technical and financial assistance at the formulation and design stages, but also tools, technical innovations, management support, and strategic incidence.
 - It is necessary to clearly identify institutional capacities to mobilize investments and improve the efficiency of NI investment projects. For instance, in the case of SEDAPAL, it was important to select an initial project like Milloc to map the roles of internal actors and the route to follow for developing and executing NI projects.⁶⁰
- The scale of the NI project portfolio
 - Addressing capacity gaps in the development of investment projects⁶¹ and mobilizing resources requires training, recruitment, support, and commitment from the relevant entities. Additionally, it is important to create a network of professionals who can make the most of the experience in generating NI investment projects.
- Community involvement in NI investment projects
 - It is important to involve communities in public investment projects' strategic design and implementation stages, and therefore it is key to reach out to communities at an early stage and promote their participation.
 - Working with NGOs and other organizations that maintain good relations with communities or know them from previous (NI or non-NI) projects facilitates development of NI investment project.

58 Benitas, Lucas; Smith, Mia. (2021). Study on the use of information generated and disseminated by the NIWS Project. Unpublished document. Lima: Forest Trends Association.

59 EST-2 Indicator: Number of persons using climate information or implementing risk-reduction actions to improve climate resilience.

60 The Milloc project provided valuable experience to improve the PIP Manual and reduce by 75% the time for identifying, formulating, and evaluating SEDAPAL's NI-related PIPs.

61 As evidence, the Activity mentions the non-responsive bids to develop ARCC projects, which, although large, had difficulties in finding qualified teams to execute them.

GENDER MAINSTREAMING

- Gender equality within water authorities
 - Gender equality implementation within entities requires a diagnostic assessment that identifies influential actors or groups that could potentially resist gender mainstreaming and allows for the design of a tailored strategy for each entity.
- Integration of gender equality into NI projects
 - Effective integration of gender equality requires strategies from the inception stage of NI investment projects (from the problem assessment), as well as ensuring compliance with the necessary activities.⁶² As project formulation stages advance, opportunities to effectively include gender equality diminish.
 - It is important to generate standards, recommendations, and case studies to show the importance of gender mainstreaming in investment projects, in tandem with activities to sensitize entities responsible for NI project implementation and formulators who will use these standards and recommendations.

BEST PRACTICES

- Construction of a common vision in an unfavorable political context
 - The Activity’s partnership with a prestigious external advisor, like the OECD, has contributed to systematizing and assessing aspects of a common NI vision and materializing it into a set of guidelines that will survive short-term political trends.
 - The creation of the Technical Platform of the Advisory Council enabled the Activity to continue, even in a context of political instability, by reinforcing aspects of a common vision with more stable technical officials through incremental changes.
- Adaptation of a communications strategy
 - The Activity adapted its communications strategy to improve information dissemination. It adopted the “communication orchestra” strategy, which facilitated compiling, and following up on, the information generated and expand outreach to the general public.
- Tool development and technical assistance
 - The Activity adapted tools to the demands of each client, making them practical and useful to NI project formulators and implementers, and yielding concrete improvements in the design of NI investment projects.
 - The Activity has made the most of the diversity of competent entities related to NI activities, water security, and investments to validate its tools across sectors, thereby improving and developing more mature versions through multiple trials and iterations.
- Management of NI project financing

⁶² Activities involve securing women’s participation in meetings, identifying suitable times to ensure their participation, and establishing gender quotas for jobs/contracts, among others.

- The Activity identified areas with greater potential to expedite mobilization of NI investment projects, e.g., direct contracting with contributors, contracting of goods and services, and agreements on environmental fund management authorized by law.⁶³
- Activity’s adaptation to the gender approach
 - The Activity adapted its design in response to the Government of Canada’s interest in reinforcing gender issues and work at the local level (US\$ 12.5 million). In this regard, the Activity designed and integrated gender strategies across its three central objectives.
- Development of strategies for women’s empowerment in water resource management
 - The three editions of the Women’s Leadership Program for water and NI management that the Activity promoted contributed to strengthening political, social, and technical capacities and abilities among local women. Through the program, participant women became agents of change within their entities, creating positive externalities such that trained women exchange knowledge and experiences and develop leadership skills in other fields.
- Integration of a gender approach into NI projects
 - In general, project profiles and technical records do not integrate gender equality and Activity focused on changing this reality. NIWS promoted the requisite participation of men and women in initial workshops, by issuing recommendations on how to implement this requirement. The Activity sensitized NI project managers on the need to adopt recommendations from the workshops and to include the recommendations as evaluation criteria in project award processes.

⁶³ Legal study on transferring SEDAPAL’s MERESE funds to the National Trust Fund for Natural Protected Areas (PROFONANPE) for their administration and implementation.

CONCLUSIONS

<p>Conclusion 1</p> <p>The Activity is effectively generating political and public awareness of NI by integrating it into national regulations and organizing webinars, forums, and workshops targeted to government officials and private entities.</p> <p>However, the sustainability of achievements related to awareness is hindered by:</p> <ul style="list-style-type: none"> ▪ High positions turnover in the public sector, especially concerning high-level management positions in public entities. ▪ NI projects' budget priority depends on the relevant authorities' political will and expertise. At the subnational government level, the Activity still needs to provide close and continuous support to sensitize staff about the need to implement NI projects, ▪ Community involvement in NI projects is important as, in many cases, communities will be responsible for managing and maintaining NI projects in the medium and short run. <p>In this way, the Activity has contributed to NI inclusion in the political/public agenda, thereby contributing to generating a suitable environment for NI adoption. For this contribution to be sustainable, national, subnational, and local authorities, as well as communities, must internalize, and become convinced of, the benefits of NI projects.</p>	<p>Associated findings</p> <ul style="list-style-type: none"> ▪ Finding 1 ▪ Finding 2 ▪ Finding 5 ▪ Finding 6 ▪ Finding 7 ▪ Finding 14
<p>Conclusion 2</p> <p>The Activity conducted a systematization of information and best practices related to NI project identification and design. Additionally, recognizing the lack of experience in this area, the Activity provided capacity-building activities and financed consultants to help build the necessary technical capabilities among those responsible for formulating and implementing the Activity's investment project portfolio.</p> <p>The Activity's work to generate and systematize knowledge has been effective. By developing innovative strategies, like "communication orchestras", which are instrumental in positioning the NI concept, the Activity has ensured partner entities' ownership of Activity-generated products and tools and its sustainability.</p> <p>As a result, multiple tools already have an institutional home after being developed and co-published with government entities, such as HIRO-GRD, HIRO-Environment, IOARR Guidelines, ICP Guide, and Ecosystem Assessment Guides. All the tools that the Activity developed or promoted are expected to have an institutional home, which ensures their future management, updating, and use.</p>	<p>Associated findings</p> <ul style="list-style-type: none"> ▪ Finding 2 ▪ Finding 5 ▪ Finding 8 ▪ Finding 15 ▪ Finding 16

Conclusion 3

During the assessment period, the Activity’s strategies focused on creating an NI project portfolio. While this is a necessary step, it is not sufficient to fulfil the Activity’s purpose. The Activity must now focus on promoting the effective execution of at least some projects in the NI investment portfolio.

Delays in investment mobilization are due mainly to:

- The Activity’s limited presence in the field, aggravated by pandemic-related restrictions.
- Red tape in the public investment system.
- Political uncertainty due to frequent presidential changes, which affected the continuity of policies and increase staff turnover.
- EPSs’ difficulties in reaching out to communities (especially the larger ones like SEDAPAL).

NI investment mobilization is necessary for the Activity to contribute to higher water security and resilience to climate change in the long run. So far, the Activity has made significant progress in raising awareness among officials, generating information, promoting capacities and, most importantly, developing an important NI project portfolio. These efforts will only be consolidated when the investments are mobilized, that is, when they are programmed within the budget of the entities responsible for executing them.

Associated findings

- Finding 3
- Finding 5
- Finding 9
- Finding 10
- Finding 17

Conclusion 4

The role of communities in developing and implementing NI investment projects is critical, as their involvement and participation reduces the risk of conflict at the management and implementation stages, expedite execution, and generate tangible benefits for the community. Additionally, communities’ involvement facilitates sustainability, as communities are responsible for implementing and maintaining a sustainable use of the ecosystems improved by NI projects.

Although multiple agreements have been attained in intervened localities, challenges remain in reaching out to, and sensitizing, some communities. Reasons for these challenges include discontent with, and mistrust of, previous experiences with the Government, protracted project implementation processes that do not yield visible short-run benefits, and lack of organization within the communities.

As long as communities remain informed about, and involved in, NI projects, the results obtained and the projects in the NIWS portfolio will be sustainable. As such, the Activity is focused on strengthening communities’ participation during the strategic design and implementation stages of projects in the NI investment portfolio. The goal of these efforts is to eliminate the barriers that prevent communities’ collaboration with the entities in charge of project design and implementation.

Associated findings.

- Finding 1
- Finding 7
- Finding 10
- Finding 14
- Finding 17

Conclusion 5

The goal of integrating gender equality into NI projects and into the entities and communities involved with these projects has been partially achieved. On the one hand, the Activity worked together with MIMP to incorporate gender equality into the policies and management of SUNASS and ANA. SUNASS was more open to change and integrated a greater number of gender-related strategies, while ANA's openness and adoption of strategies were not as successful.

On the other hand, the results of strategies to integrate gender equality into the participation of communities are yet to fully materialize. The Activity has made progress in diagnosing the need for, and designing, guidelines on how to include gender equality in NI projects since their inception. NIWS has also contributed to providing gender-related technical assistance to project formulators.

Gender mainstreaming in the development of instruments used to design and implement NI projects, as well as of work plans in water authorities, facilitates making progress in integrating gender equality into communities' participation and at the national level. At the same time, as both strategies are still under implementation, the results from gender integration across the NI project portfolio have yet to materialize.

Associated findings

- *Finding 4*
- *Finding 5*
- *Finding 11*
- *Finding 12*
- *Finding 13*
- *Finding 18*

RECOMMENDATIONS

The evaluation team developed these recommendations by analyzing the evaluation findings and co-creating the recommendations with members of the NIWS Activity and USAID teams. The evaluation team conducted a recommendation co-creation workshop on June 14, 2022,⁶⁴ during which the evaluation team suggested baseline recommendations as a building block for more specific recommendations.⁶⁵ Later on, the evaluation team further developed the recommendations that resulted from the workshop and contributed their own additional suggestions. We will refer to the team involved in this recommendation co-creation process as “the team.” The following are the recommendations for each Activity objective.⁶⁶

OBJECTIVE I: CREATION OF A SUITABLE ENVIRONMENT FOR NI ADOPTION

There are three areas that can be improved to create a favorable environment: (i) sensitization of staff on the importance of NI when facing high staff turnover; (ii) lack of political will, especially at the GORE/GOLO level; and (iii) limited awareness and involvement of local communities.

First, the study recommends generating a strategy to maintain permanent NI recognition despite high positions turnover within the public sector.⁶⁷ The team’s recommendation includes the following actions:

For the NIWS Activity

- **Consolidate information on the importance of NI:** First, the study recommends that the Activity compile and shares all information related to the importance of NI. This information may be presented in brochures, briefs, or infographics and respond to basic questions such as “What is NI?”, “Why should it be preserved?”, “What are its impacts?”, “What kind of projects are being implemented?”, and “How are the projects financed?”
- **Continue to promote NI benefits:** Within its partner entities, the Activity could prioritize, over the remainder of its lifespan, to plant staff and permanent technicians, in addition to decision-makers, as they are less likely to rotate.⁶⁸
- **Incorporate NI into additional legal instruments:** During the remainder of the period of performance, the Activity must continue to promote NI inclusion (and prioritization) within legal documents at the national and subnational levels. To do so, the Activity must provide technical support and raise awareness among the relevant authorities, i.e., the Cabinet of Ministers (PCM), MEF, MINAM, etc.

⁶⁴ [Annex G](#) details who participated in the workshop.

⁶⁵ [Annex H](#) summarizes the recommendations developed during the workshop, the stakeholders in charge, and the implementation timeline.

⁶⁶ The recommendations are illustrative but not exhaustive. Therefore, the Activity can consider additional elements to strengthen the strategies described.

⁶⁷ USAID indicates that the Activity is promoting a community of practice (CoP), which contributes to addressing the problem.

⁶⁸ The recommendation also applies to future projects with a political incidence component.

For the National Government

- **Incorporate NI into additional legal instruments:** As mentioned above, environmental entities should improve NI project prioritization within national and subnational budgets. Towards this end, the Government, through PCM and MEF, should move forward (with the Activity’s technical assistance) with NI inclusion and prioritization. At the territorial, sectoral, and basin levels, the team suggests considering NI inclusion in management documents like the Institutional Operational Plan (POI).
- **Promote NI-related capacity building activities:** Competent entities must prioritize permanent staff and technicians (less likely to rotate) to ensure sustainability of the Activity’s results going forward. To promote continuous training, the evaluation suggests integrating the NI specialist profile within SERVIR to generate greater demand for capacity building activities. The National School of Public Administration (ENAP) and, eventually, academic institutions, would be responsible for providing such training.⁶⁹

Second, in view of the **lack of political will, especially on the part of GOREs/GOLOs**, the team’s recommendation is to design a sensitization strategy targeted to these entities and the entity providing their financing (MEF). The team’s recommendation includes the following actions:

For the NIWS Activity

- **MEF sensitization:**⁷⁰ Given that GOREs/GOLOs depend economically on national policies, it is necessary to reinforce MEF sensitization to promote the inclusion and prioritization of the NI investment portfolio. A possible strategy is one of “costs avoided” where the Activity or others convince MEF that NI project development can prevent higher costs due to lack of water security and resilience to climate change in the future. As MEF involvement in NI will depend on political will, and given the Activity’s short remaining lifespan, the team’s recommendation is for the Activity to consolidate evidence on NI benefits and assigns the task of raising awareness about them to the relevant authority.
- **Sensitization of GORE/GOLO officials:** To fully raise awareness among these authorities, the team’s recommendation is to conduct a needs assessment before designing outreach and sensitization strategies. In some municipalities, gray infrastructure may be a priority—relative to NI investments—due to a lack of basic services like water and sanitation.

For the National Government

- **MEF sensitization:** In line with the issues mentioned previously, and given the Activity’s short remaining lifespan, the team’s recommendation is for the Activity to assign to MINAM the task of continuing outreach to, and sensitization of, MEF staff. The evidence compiled by the Activity on NI benefits for water security and resilience to climate change would support MINAM’s awareness-enhancing work.

⁶⁹ Entities such as Universidad Nacional Agraria La Molina and Pontificia Universidad Católica del Perú can contribute to supplying NI-related capacity building activities. However, given the relatively low demand for NI programs, it is unlikely that universities will offer NI-related training without co-financing in the short run.

⁷⁰ MEF contacted the NIWS Project about the following regulatory changes: (i) guidelines to formulate biological diversity- and ecosystem service-related PIPs; (ii) the by-laws for the Invierte.pe system, which recognize explicitly that, when referring to infrastructure, NI should be included; and (iii) guidelines to identify IOARRs with a view to expediting investment in natural assets, as justification for interventions should be simpler.

- **MEF incentive plan:** As a result of MEF sensitization, the Ministry could consider offering incentives, via the Municipal Incentive Program, to subnational governments for executing NI investment projects. This effort could be launched by the authorities elected for 2022-2026.

Third, considering the challenges in raising awareness within, and promoting involvement of, communities, the study recommends continuing to develop an outreach or territorial presence strategy to involve communities at all stages of the Activity. The team’s recommendation includes the following actions:

For the NIWS Activity

- **Connection with communities’ main economic activities:** The team’s recommendation is to continue and strengthen the implementation of communities’ socioeconomic activities (in tandem with PIP development), so that communities can see short-term benefits during PIP formulation of NI projects. Although this strategy is already being used in some PIPs, like the Moyobamba investment project,⁷¹ the Activity can formalize it and implement it in more communities, and, in the process, gather lessons learned in multiple contexts.
- **Preparation of a catalog of social measures and a regulatory framework focused on outreach to communities:** Currently, working directly with communities presents multiple challenges. The team’s recommendation here is to continue the systematization of problems or obstacles that may arise during outreach to communities and propose a catalog of social measures and a regulatory framework within PIP implementation that address those problems or obstacles. The goal is to include communities in every aspect of NI project execution. The Activity should develop this catalog.

For the National Government

- **Inclusion of the catalog of social measures for outreach to communities within national legislation:** As the next step, the team’s recommendation is for the Activity to assign to MIDIS (Ministry of Development and Social Inclusion) the inclusion of this catalog into national regulations.⁷²

For investment formulators and implementers

- **Connection with communities’ main economic activities:** At the community level, benefit continuity will be attained as long as communities become aware of NI effectiveness. In turn, this implies that communities must acknowledge the direct benefits from, and participate across all stages of, NI project implementation. Towards this end, the strategy must consider conducting a needs assessment (phase 0) of each community and connect public investment to communities’ main activities (negotiation plans). This

⁷¹ “Recovery of water regulation ecosystem services in the micro-basins of Rumiyacu, Mishquiyacu, and Almendra in Moyobamba, San Martín Region.”

⁷² Along these lines, the Activity has developed the “Manual to Formulate and Evaluate NI Investment Projects” (including the first community outreach strategy for MERESE) and the “Guide to design technical assistance, capacity building, and sensitization actions targeted to populations benefiting from NI investments under a GRD approach”.

activity could be included in those PIPs of NI investments about to be launched and as a guideline for future projects.

- **Identify key partners in communities:** Prior to executing investment projects, it is important to identify entities and key partners in the geographic areas where they will be implemented. In doing so, it will be easier for partners and entities to gain communities' trust and facilitate community involvement at multiple stages. Therefore, and as part of the guidelines it develops and promotes, the Activity must systematize and consolidate the lessons learned on this process.

The following exhibit presents the recommendations for Objective I according to the issues identified, with details on the actors in charge, the deadline proposed, and the level of priority:

Exhibit 28. Objective I Recommendations

Subject	Recommendation	Actor in charge	Term
Turnover of sensitized staff	<ul style="list-style-type: none"> – Consolidate information concisely to respond to basic NI-related questions. – Continue promoting NI benefits, prioritizing permanent staff and technicians.^{1/} 	NIWS Activity	Short term
	<ul style="list-style-type: none"> – Continue efforts towards NI inclusion in legal documents via technical support and awareness-building among relevant authorities.^{2/} 	NIWS Activity in cooperation with the Government (PCM, MEF, MINAM, CEPLAN, CEPLAR, Regional Governments, etc.)	Medium term
	<ul style="list-style-type: none"> – Promote capacity building activities for new NI professionals by incorporating the NI specialist profile in SERVIR. 	ENAP, academia	Medium term
Lack of political will, especially among Regional and local Government authorities	<ul style="list-style-type: none"> – Conduct a needs assessment prior to designing strategies for each municipality. In some cases, gray infrastructure can be a priority, as the population may not have basic services (water and sanitation). 	NIWS Activity	Short term
	<ul style="list-style-type: none"> – MEF sensitization to promote NI inclusion and prioritization within the project portfolio: – Continue consolidating evidence on NI benefits to build the MEF sensitization strategy. – Appoint the competent authority (i.e., MINAM) as responsible for MEF sensitization. 	NIWS Activity in cooperation with the Government (MINAM).	Medium term

Subject	Recommendation	Actor in charge	Term
Limited awareness and involvement in communities	– Consider implementation of an incentives scheme (Municipal Incentives Program) targeted to Regional and Local Governments for executing NI projects.	Government (MEF)	Long term
	– Continue systematizing lessons learned about reaching out to communities.	NIWS Activity	Short term
	– Promote links between projects and communities' productive socio-economic activities. ^{3/}	NIWS Activity	Short / Medium term
	– Prior to project execution, identify key partners within communities to facilitate community involvement at all stages.	Investment formulators and implementers	Short / Medium term
	– Prepare a catalog of social measures focused on outreach to communities.	NIWS Activity in cooperation with the Government (MIDIS)	Medium term
	– Promote the use of a needs assessment (phase 0) of communities (target population and beneficiaries) and link public investment to communities' main activities within the design and formulation of NI projects.	NIWS Activity in cooperation with investment formulator and implementers	Medium term

1/ This recommendation also applies to future projects with a political incidence component. 2/ While inclusion of productive activities in NI project formulation instruments is a strategy implemented by the Activity, it is necessary to ensure that National Government entities will continue to work in this field using the capacities gained during their collaboration with the Activity. 3/ This recommendation also applies to future projects involving outreach to communities to ensure their sustainability.

Notes: The recommendations in the exhibit are organized by problem and term. Short term: The Activity's remaining lifespan. Medium term: The Activity provides support during its remaining lifespan, and thereafter the competent authorities/officials are responsible for attaining the Activity's objectives. Long term: The competent authorities/officials are responsible for attaining the Activity's objectives.

Preparation: APOYO Consultoría

OBJECTIVE 2: TOOL DEVELOPMENT AND DISSEMINATION

Information gathering, tool development, and dissemination are hampered mainly by: (i) complex processes to prepare instruments; (ii) difficulties in the promotion of ownership of the information generated; and (iii) limited supply of NI-trained professionals.

First, regarding the **complex processes to prepare instruments**, the team recommends that the Activity continues to systematize the lessons learned during their development. The team's recommendation includes the following actions:

For the NIWS Activity

- **Identify the elements that contributed to reducing times during design and formulation of NI projects:** Identify the obstacles that existed before the implementation of NIWS and explain how they were overcome using Activity-promoted or developed information and tools (tools, guidelines, standards, and brochures). This compilation of knowledge seeks to preserve it beyond the completion of the Activity.

Second, regarding the **ownership of information generated under the Activity**, the team's recommendation includes the following actions:

For the NIWS Activity

- **Continue preparing management tools and instruments and/or developing the necessary capacities to expedite project execution:** Continue the validation/review of tools via technical assistance to the relevant entities, as well as the consolidation of technical specifications for the products generated under the Activity. Additionally, the team recommends the development of M&E protocols to identify evidence on the social and ecohydrological benefits from NI investment projects.⁷³ The most attractive tools for adoption/institutionalization are those at a more mature validation stage, for which more case studies show their usefulness.
- **Conduct a continuous follow-up of the appropriation of tools by the relevant entities:** Institutionalization of the tools generated is a critical element to secure future management, update, and use. Therefore, the Activity should seek tool adoption by partner entities (institutional homes). Towards this end, it is important to complement the follow-up on instrument use among related institutions with continuous monitoring of efforts towards information appropriation.

Finally, regarding the **limited supply of NI-trained professionals**, the study indicates the need to consolidate lessons learned about capacity building strategies and define next steps. The team's recommendation includes the following actions:

For the NIWS Activity

- Identify the current state of capacities within the entities responsible for NI project design and implementation and, building on that information, design a roadmap to strengthen them: In the medium term, the teams' recommendation is to design:
 - An M&E system to implement the project portfolio according to each project manager (EPSs, Regional Governments, ARCC, consultants, etc.)
 - A strategy to follow up on, and support, EPSs in future project implementation.
 - A plan for NI project execution, operation, and maintenance.
- **Continue building a “consultant bank”:**⁷⁴ In the short run (2022 – 2023), the study recommends creating a registry of consultants with experience in preparing NI projects; and using these consultants hired and trained under the Activity. They could contribute to training new professionals in Regional/Local Governments as a strategy for consolidating an “installed capacity”.

⁷³ Currently the NIWS Project is working on these specifications.

⁷⁴ The Project is currently implementing a formulators' CoP, which will serve to that end.

Exhibit 29 presents the recommendations for Objective 2 according to the subject identified and the deadline envisaged for each recommendation:

Exhibit 29. Objective 2: Recommendations

Subject	Recommendation	Actor in charge	Term
Complex processes for instrument preparation	– Continue systematizing lessons learned during instrument development and preparation. ^{1/}	NIWS Activity	Short term
	– Identify the elements that reduced design/formulation times in NI projects.		
Limited strategies for continuous follow-up on ownership of the tools and information generated under the Activity	– Continue validating and reviewing instruments to consolidate technical specifications for the products generated under the Activity and develop M&E protocols, especially for the evidence on social and eco-hydrological benefits from NI investment projects.	NIWS Activity	Short term
	– Carry out a continuous follow-up on the ownership of tools by relevant entities.	NIWS Activity	Short term
Limited supply of NI professionals	– Create a registry of consultants with experience in preparing NI projects; and make the most of the “installed capacity” in these consultants who were hired and trained by the Activity.	NIWS Activity	Short term
	– Identify the current situation of capacities within the entities responsible for NI projects. ^{1/}	NIWS Activity	Short term
	Building on the above, design a roadmap with the following features:	NIWS Activity in cooperation with the Government (MINAM)	Medium term
	– An M&E system for implementing the NI investment portfolio.		
– A strategy for following up on, and accompanying, the EPSs for future project implementation.			
	– An execution, operation, and maintenance plan for NI projects.		

1/ This recommendation also applies to future projects with an information management component (especially regarding an innovative concept like NI).

Notes: The recommendations in the exhibit are organized by problem and term. Short term: The Activity’s remaining lifespan. Medium term: The Activity provides support during its remaining lifespan, and thereafter the competent authorities/officials are responsible for attaining the Activity’s objectives. Long term: The competent authorities/officials are responsible for attaining the Activity’s objectives.

Preparation: APOYO Consultoría

OBJECTIVE 3: NI PROJECT DESIGN AND IMPLEMENTATION

NI project design and implementation are hindered mainly by **delays in fund mobilization for executing NI investment projects**. In this regard, the team recommends:

For the NIWS Activity

- **Promote investment mobilization for projects in advanced stages:** Over the remainder of the Activity’s lifespan, the team’s recommendation is for the Activity to promote the development of studies for final approval of projects complying with multiple elements for mobilization (26 projects).⁷⁵ This requires the involvement of, and close work with, entities responsible for formulating/executing investments (e.g., SEDAPAL). It would then be possible to prepare a work plan in cooperation with SEDAPAL (which will remain in progress, even if it is not completed). This would result in:
 - Adoption of the lessons learned from the projects in the NIWS portfolio and identification of other bottlenecks that may arise during NI project implementation.
 - Making visible the benefits from NI project implementation, both for society in general and for upstream communities through activities to enhance NI dissemination and awareness.
- **Strengthen technical assistance:** Because Regional and Local Governments indicated they lack the necessary financing to hire NI specialists, the Activity should continue to support these entities to consolidate the capacities of their staff. Specifically, the Activity should seek to strengthen:
 - Technical assistance for physical project execution.
 - Capacities for efficient contracting.
 - Capacities for NI-GRD investment management (instruments for project contracting, physical execution, and operation).

Along these lines, the team recommends that the Activity implements a strategy to disseminate knowledge that may be useful to Regional and Local Governments in formulating NI projects.

- **Emphasize private sector and new actors:** The Activity should emphasize the role of private sector and new actors to promote investment sustainability. The Activity should also consider large companies interested in contributing to water security (e.g., Coca Cola Company – Peru and Backus).

For the National Government

- **Continue to institutionalize processes:** The Activity’s experience is valuable, particularly because previously there were no guidelines on the formulation, execution, and functioning of NI projects. The team recommends continuing to consolidate and institutionalize information with relevant entities (e.g., MINAM) to ensure the information

⁷⁵ According to the MEL Plan, mobilized investment is defined as financial resources earmarked or budgeted for climate adaptation actions, especially involving NI investments. Additionally, the amounts mobilized are those at the “execution” stage, i.e., with valid technical records and programmed within the entity’s budget. In the case of the private sector, this means that the profile has been approved by the board of directors or other relevant area.

and lessons learned from the experience are used during future projects, to expediting their processes.

Exhibit 30 presents the recommendations for Objective 3 per issue identified and the deadline for each recommendation:

Exhibit 30. Objective 3: Recommendations

Subject	Recommendation	Actor in charge	Term
Delays in mobilizing funds for NI project execution	– Continue strengthening capacities at the Regional and Local Government levels.	NIWS Activity	Short term
	– Implement a strategy to disseminate knowledge generated under the Activity that may be useful to Regional and Local Governments in formulating NI projects.		
	– Increase engagement with private sector or new actors (large companies like <i>Coca Cola Company of Backus</i>).	NIWS Activity	Short term
	– Promote investment mobilization in more advanced projects:	NIWs Activity in cooperation with investment formulators and implementers	Medium term
	– Conduct studies for final approval of projects complying with multiple elements for mobilization.		
– Design a work plan jointly with SEDAPAL to: (i) include lessons learned from completed projects, and (ii) enhance visibility of NI benefits.			
– Continue institutionalizing the information generated under the Activity jointly with relevant authorities (MINAM).	Government (MINAM, MEF, MVCS, etc.)	Medium / Long term	

Notes: The recommendations in the exhibit are organized by problem and term. Short term: The Activity’s remaining lifespan. Medium term: The Activity provides support during its remaining lifespan, and thereafter the competent authorities/officials are responsible for attaining the Activity’s objectives. Long term: The competent authorities/officials are responsible for attaining the Activity’s objectives.

Preparation: APOYO Consultoría

CROSSCUTTING OBJECTIVE: GENDER MAINSTREAMING

Regarding gender mainstreaming, the evaluation team identified the following challenges: (i) lack of a comprehensive integration of a gender strategy into the intervention’s ToC; (ii) presence of entrenched gender stereotypes in ANA; and (iii) presence of entrenched gender stereotypes in communities.

First, the following recommendations are intended to address the lack of a comprehensive integration of a gender strategy into the intervention’s ToC:

For future USAID projects

- **Integrate the new approach into the intervention's ToC:** If a gender approach or other crosscutting issues are added at a later stage, it is critical to integrate them into the ToC to ensure it is possible to monitor and evaluate their final impact.

Regarding the presence of entrenched gender stereotypes within entities, the study recommends:

For the NIWS Activity

- Continue with the design of a strategy for a more specific interaction with ANA in response to the stereotypes and barriers identified: gender mainstreaming requires strategies designed according to each stakeholder's characteristics, with an aim to effectively remove lingering stereotypes.
- **Strengthen MIMP's capacity to engage other entities as the ministry responsible for gender equality:** As part of its gender strategy (which was strengthened with NIWS support), MIMP could work on addressing structural barriers similar to those the Activity is currently working on.⁷⁶

For future USAID projects

- Consider specific objectives and activities to address gender stereotypes during the design of interventions and verify their implementation: In future interventions that have a gender approach, activities should develop differentiated strategies, through baseline needs assessments on perceptions and paradigms within each entity (and even more so in a society where sexist concepts still predominate).
- **Strengthen MIMP's capacity to engage other entities as the ministry responsible for gender equality:** As part of its gender strategy (which was strengthened with NIWS support), MIMP could work on addressing structural barriers similar to those the Activity is currently working on.⁷⁷

Regarding the presence of entrenched gender stereotypes within communities, the study recommends:

For the NIWS Activity

- **Develop gender promotion strategies for communities:** Communities must acknowledge that women are active NI project stakeholders.⁷⁸ As such, the team recommends continuing to prepare individual strategies during outreach activities, in line with each community's context. For instance, currently the Activity is identifying lessons learned from previous experiences with the communities.
- **Continue the validation of the tools developed to promote women's participation in NI projects:** The team recommends designing a monitoring or follow-

76 For example: (i) use of women's time and homecare systems to enhance their economic empowerment; and (ii) gender-related social factors influencing the ecosystem, e.g., water use/access, equitable participation in water governance, productive and reproductive roles, etc.

77 For example: (i) use of women's time and homecare systems to enhance their economic empowerment; and (ii) gender-related social factors influencing the ecosystem, e.g., water use/access, equitable participation in water governance, productive and reproductive roles, etc.

78 The Activity is working on this effort via the Women's Leadership Program.

up system to implement these instruments (standards/guidelines to promote women’s participation at all stages of NI investment projects, from design to operation and maintenance). Moreover, greater on-site presence would enable the Activity to implement closer monitoring and follow-up.⁷⁹

For investment formulators and implementers

- **Continue preparing guidelines for gender mainstreaming in PIPs:** For example, the team recommends establishing guidelines, to be prioritized by EPSs, for women’s MERESE-related involvement and training. Currently, the Activity conveys that participation of men and women should be established as requirement for initial workshops, where:
 - Women’s participation in NI projects is emphasized.
 - The timesheet technique is used; and groups (sex disaggregated) provide information on productive and reproductive roles.
 - Equality objectives are established.⁸⁰

Exhibit 31 presents the recommendations for the Crosscutting Objective by issue identified and the deadline for each recommendation:

Exhibit 31. Crosscutting Objective: Recommendations

Subject	Recommendation	Actor in charge	Term
Lack of comprehensive integration of a gender approach into the intervention’s ToC	– In future projects, if gender approach or other crosscutting issues are added belatedly, integrate them into the general ToC.	Future USAID projects	Long term
	– Continue developing gender equality strategies according to each actor, to promote an effective elimination of stereotypes.	Proyecto INSH	Short term
Presence of entrenched gender stereotypes in entities	– Greater Activity on-site presence for closer monitoring and follow-up.		
	– Strengthen MIMP to address structural gender issues.	NIWS Activity and future USAID Activities	Short / Long term
	– Consider specific objectives and activities to address stereotype during	Future USAID Activities	Long term

⁷⁹ The lack of on-site presence results in delays in, and obstacles to, NI project implementation, besides hampering communication with communities and the development of strategies to obtain the necessary commitments on project operation.

⁸⁰ In this regard, it is important to highlight the project for “Recovery of water regulation ecosystem services in the micro-basins of Huatatas-Alameda, Pallcayaku, Yucaes, Pamparque, and Larampata in the province of Huamanga-Ayacucho”, which introduced requirements of equitable men/women participation in workshops, technical assistance activities, capacity building events, and internships; explicit acknowledgement of the importance of women’s work in the general competence description for implementing the option selected in the technical record; and establishment of gender quotas to ensure women’s participation in project execution.

Subject	Recommendation	Actor in charge	Term
Presence of entrenched gender stereotypes in communities	interventions and verify their implementation:	NIWS Activity in cooperation with investment formulators and implementers	Medium term
	<ul style="list-style-type: none"> – Differentiate strategies and conduct baseline needs assessments on perceptions and paradigms. 		
	<ul style="list-style-type: none"> – Develop gender-promotion strategies for outreach to communities, to ensure that women are recognized as active actors in NI projects. 		
	<ul style="list-style-type: none"> – Design an M&E system to implement instruments that the Activity developed. 		

Notes: The recommendations in the exhibit are organized by problem and term. Short term: The Activity's remaining lifespan. Medium term: The Activity provides support during its remaining lifespan, and thereafter the competent authorities/officials are responsible for attaining the Activity's objectives. Long term: The competent authorities/officials are responsible for attaining the Activity's objectives.

Preparation: APOYO Consultoría

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ANNEXES

ANNEX A. RESUMEN EJECUTIVO

El Proyecto Infraestructura Natural para la Seguridad Hídrica (INSH) tiene como propósito incrementar la escala de inversiones en infraestructura natural (IN) como una estrategia para mejorar la seguridad hídrica y la resiliencia al cambio climático. Para lograr el propósito del Proyecto se plantearon tres objetivos: (O1) mejorar un entorno adecuado para la adopción de la IN, (O2) mejorar la gestión de la información para la toma de decisiones sobre IN, y (O3) generar proyectos de IN diseñados, financiados e implementados en cuencas vulnerables. Asimismo, el Proyecto cuenta con un objetivo transversal (OT) para incorporar el enfoque de género (TEG) en las inversiones de IN.

El Proyecto inició su periodo de ejecución en diciembre del 2017 y concluye en junio del 2023, cuenta con un financiamiento de US\$27.5 millones (USAID y Gobierno de Canadá), y tiene alcance nacional.⁸¹ No obstante, para enfocar sus esfuerzos y tener impacto a nivel territorial se han priorizado algunas cuencas hidrográficas, como zonas de intervención, en seis regiones distintas.⁸²

PROPÓSITO

El propósito de la evaluación intermedia es identificar las lecciones aprendidas y ofrecer recomendaciones para (i) la planificación del Proyecto INSH en su período de implementación restante, (ii) fomentar la sostenibilidad de sus resultados, y (iii) diseñar las futuras iniciativas de soluciones basadas en la naturaleza para la resiliencia hídrica y climática en el Perú y otros países. La evaluación intermedia abarca el periodo de implementación del Proyecto desde su inicio (junio del 2017) a marzo del 2022 e incluye el análisis de tres criterios:

Exhibit 32. Objetivos de los Criterios Analizados

PERTINENCIA	EFICACIA	SOSTENIBILIDAD
Determinar si el diseño del Proyecto INSH (estrategias y teoría de cambio) y sus posteriores modificaciones han sido pertinentes	Identificar los principales resultados alcanzados, determinar su grado de contribución al alcance de los objetivos e identificar los factores que han facilitado u obstaculizado su cumplimiento	Evaluar la sostenibilidad de los beneficios del Proyecto después de su plazo de ejecución

Elaboración: APOYO Consultoría

METODOLOGÍA

La evaluación utilizó una metodología mixta que comprende técnicas cualitativas y cuantitativas. Por un lado, se realizaron 29 entrevistas virtuales a profundidad con informantes clave, 2 visitas de campo a comunidades campesinas donde se implementaron proyectos de IN (Comunidad Campesina de Carampoma y Comunidad Campesina de San Bartolomé) donde se recogió

⁸¹ Las actividades desarrolladas del Proyecto INSH inciden en políticas, programas e instituciones de este nivel.

⁸² Estas cuencas son Chira-Piura (Piura), Chillón-Rímac-Lurín-Alto Mantaro (Lima), Quilca-Chili (Arequipa), Tambo-Moquegua (Moquegua), Mayo (San Martín), y Vilcanota- Urubamba (Cusco).

información cualitativa de 66 miembros de ambas comunidades, y un taller participativo de co-creación de recomendaciones con los ejecutores del Proyecto INSH. Por otro lado, se revisó la información documental brindada por el Proyecto para determinar los avances en términos de sus indicadores de resultados.

HALLAZGOS

A continuación, se presentan los hallazgos más saltantes de acuerdo con las preguntas de evaluación y los objetivos del Proyecto.

¿En qué medida son pertinentes los supuestos (incluidas las relaciones causa-efecto) de la TdC inicial?

Para alcanzar el propósito del Proyecto INSH –Incrementar la escala de inversiones en IN como una estrategia para mejorar la seguridad hídrica y la resiliencia al cambio climático–, el diseño del proyecto estableció tres objetivos y un objetivo transversal sobre enfoque de género:

- **Objetivo 1:** Dado que el concepto de IN no era ampliamente conocido dentro del ámbito de inversiones, el diseño consideró, de forma pertinente, establecer la creación de un entorno que propicie la IN.
- **Objetivo 2:** La información sobre IN era escasa, por ello el diseño establece, pertinentemente, la gestión de la información para la toma de decisiones sobre IN.
- **Objetivo 3:** Las estrategias diseñadas estuvieron principalmente dirigidas a la creación de un portafolio de proyectos de IN y a su financiamiento, respaldándose en la implementación a cargo de las entidades ejecutoras. Sin embargo, se subestimó el tiempo que requiere la movilización de inversiones y se sobrestimó la calidad de los proyectos avanzados en su formulación. De otro lado, el modelo de desarrollo de capacidades del Proyecto, “learning by doing”, tuvo limitado alcance en las fases siguientes, por ejemplo, implementación.
- **Objetivo Transversal:** el Proyecto, en colaboración con el Gobierno de Canadá, diseñó e incorporó estrategias específicas de género de forma transversal (Plan de Acción de Género). Sin embargo, estas estrategias no estuvieron adecuadamente reflejadas en la TdC general.

¿Cómo se ha adaptado la TdC del Proyecto? ¿Cuáles fueron las razones de estas adaptaciones y en qué medida hicieron más relevante la TdC?

Los objetivos y resultados de la TdC del Proyecto no han cambiado en el tiempo; las estrategias se han ido modificando para mejorar la intervención:

- En función a las necesidades de sus aliados clave: se incorporó un enfoque de trabajo por clientes donde se ramificaron actividades y resultados.
- En función al contexto: se propiciaron espacios de colaboración entre autoridades para consensuar su posición sobre el trabajo en torno a la IN, en áreas donde se identificó una mayor oportunidad para la promoción de las inversiones.

¿Cuáles son los principales resultados obtenidos por el Proyecto hasta la fecha (previstos y no previstos)?

- Objetivo 1: Creación de un entorno propicio para la IN

- El Proyecto presenta un gran avance en la concientización a nivel de autoridades del gobierno nacional y de los entes rectores de los recursos hídricos. Ello ha permitido lograr la inclusión de la IN en diversos documentos de gestión de las instituciones del Estado.⁸³
- A nivel de gobiernos regionales y locales, la concientización y posicionamiento de la IN enfrentó un reto adicional debido a las dificultades derivadas de la alta rotación de las autoridades a cargo.
- A nivel de comunidades, se desarrollaron lineamientos para la formulación de proyectos en IN que enfatizan y guían el involucramiento de comunidades; y se incluyeron en los proyectos de IN beneficios directos para comunidades.⁸⁴
- **Objetivo 2: Desarrollo y difusión de herramientas**
 - El Proyecto logró añadir lineamientos para el desarrollo de proyectos de IN que antes no estaban definidos, generar herramientas para mejorar la calidad de los proyectos desde su identificación hasta su formulación, y formar una cartera de profesionales capacitados en IN.
 - El Proyecto incorporó una nueva estrategia para la difusión de la información y las herramientas generadas: las orquestas comunicacionales. Ello, a su vez, contribuyó a que varias herramientas tengan un hogar institucional.
- **Objetivo 3: Diseño e implementación de proyectos de IN**
 - El Proyecto INSH contribuyó a cubrir la falta de personal, capacidades, herramientas técnicas, información y evidencia científica de sustento para la creación de un portafolio sólido de proyectos de IN.
 - El Proyecto contribuyó a la creación de un mercado en el que las EPS, la ARCC y los GORE demandan servicios para diseñar y formular proyectos en IN, y en el que consultores y ONG ofrecen servicios para cubrir esta demanda.
- **Objetivo Transversal: Transversalización del enfoque de género**
 - El Proyecto brindó asistencia técnica al MIMP para lograr la incorporación de género en las entidades nacionales con rectoría en el sector hídrico.⁸⁵
 - Los esfuerzos para promover la TEG lidian con los marcados estereotipos, la inexistencia de liderazgo dentro de las instituciones para implementar la TEG, y la ausencia de procesos y procedimientos en la materia.
 - El Proyecto promovió diversas estrategias que van desde desarrollo de herramientas y foros, hasta un acompañamiento más personal con instituciones como el MINAM, MIMP y ONG orientadas a promover la TEG.

⁸³ A partir de las estrategias comunicacionales desarrolladas, se extendió la información sobre IN a la sociedad civil, adaptando el lenguaje y la forma de presentación de los mensajes.

⁸⁴ Aún se enfrentan dificultades en el acercamiento y sensibilización de algunas comunidades. En esa línea, el Proyecto está enfocado en seguir fortaleciendo la participación de las comunidades en los proyectos de IN.

⁸⁵ Es importante destacar que la SUNASS ha logrado avanzar más que la ANA en cuanto a género y ha tenido una mayor apertura a la incorporación de las propuestas en esta línea.

- A nivel de proyectos en IN, el Proyecto avanzó en el diagnóstico y diseño de una guía con recomendaciones para la inclusión de la TEG desde su diseño.

¿Cuáles son los principales factores internos y externos que han facilitado y obstaculizado el cumplimiento de los resultados y objetivos del Proyecto?

- Entre los factores que facilitaron el cumplimiento de resultados y objetivos se encuentra:
 - Manejo adaptativo del Proyecto en función a las necesidades de sus aliados clave y al contexto para fomentar el involucramiento de diversas entidades.
- Entre los factores que obstaculizaron el cumplimiento de resultados y objetivos se encuentra:
 - Contexto desfavorable caracterizado por la crisis política, social y económica debido a los múltiples cambios de gobierno y la pandemia por Covid-19, lo cual incidió en la continuidad de las autoridades, las políticas promovidas desde el Proyecto, e impuso restricciones a las actividades en campo.
 - Limitada presencia del Proyecto en campo que dificultó el seguimiento a la aplicación de los lineamientos promovidos y a la sistematización de aprendizajes.

¿Qué resultados perciben los actores clave en el Proyecto que se deben priorizar en el tiempo restante?

- Consolidar la estrategia de acercamiento e involucramiento con las comunidades.
 - Se espera consolidar los aprendizajes que se obtengan de los proyectos de IN más avanzados en la cartera del Proyecto.
- Priorizar el desarrollo de capacitaciones sobre la información y herramientas generadas y promovidas por el Proyecto sobre la IN.
 - Se espera que su difusión y apropiación por parte de las entidades rectoras asociadas contribuyan a preservar estos conocimientos y asegurar su uso.
- Priorizar la movilización de la inversión de los proyectos en etapas más avanzadas.
 - Se espera tener proyectos culminados que permitan tomar y consolidar lecciones aprendidas que sean de utilidad para proyectos a futuro.

¿Cuáles son los resultados más relevantes para garantizar la continuidad de los beneficios del Proyecto después de su plazo de ejecución, incluidos los logrados para promover la igualdad de género? ¿Qué está haciendo el Proyecto para desarrollar o reforzar las condiciones necesarias para lograr la continuidad de los beneficios?

- Objetivo 1: Por el lado normativo, se ha contribuido en la consolidación de un entorno propicio para la IN. Ello facilitaría la sostenibilidad en la medida que se velará por su cumplimiento en los próximos años.
- Objetivo 2: Se han desarrollado lineamientos y herramientas técnicas -que antes no habían estado establecidos- para desarrollar proyectos de IN. Además, se espera que obtengan un hogar institucional entre las autoridades aliadas para asegurar su gestión, actualización, y uso en el futuro. Ello contribuirá a la sostenibilidad de la gestión de información para la implementación de proyectos de IN en el futuro.

- **Objetivo 3:** Se ha logrado constituir una cartera importante de proyectos en IN cuya implementación en el futuro recaerá sobre las entidades ejecutoras a cargo. No obstante, es importante reconocer que el modelo de desarrollo de capacidades del Proyecto – “learning by doing” – presenta un limitado alcance en fases futuras, como la ejecución, operación y mantenimiento de los proyectos.
- **Objetivo Transversal:** Se ha incorporado la TEG en la normativa de las instituciones con rectoría en el sector hídrico, lo cual permitirá que se continúen con los beneficios:
 - SUNASS: se fortalecieron planes de trabajo institucionales y se conformó un grupo de trabajo para la igualdad de género.
 - ANA: se diagnosticó una alta presencia de estereotipos de género lo cual dificultó el trabajo de la TEG. Ante ello, el Proyecto viene desarrollando una estrategia enfocada en asistencia técnica más cercana para un mayor avance.

¿En qué medida es probable que los beneficios generados por el Proyecto se mantengan después de su ejecución? ¿Cuáles son las condiciones que deben tener estos resultados para lograr la continuidad de los beneficios? ¿Cuál es el estado de las condiciones identificadas?

- **Objetivo 1:** la creación de un entorno propicio se mantendrá a través de:
 - La consolidación de la información generada: las estrategias comunicacionales se han adaptado para que tengan cada vez un mayor alcance y lleguen a más personas.
 - El acercamiento a las comunidades: se requiere que los proyectos generados tengan un componente de retribución para que los miembros de las cuencas intervenidas se identifiquen con el proyecto y se apropien de estos.
- **Objetivo 2:** las herramientas desarrolladas y difundidas se mantendrán a través de:
 - La preservación del conocimiento generado gracias a los consultores especializados y el soporte técnico en las entidades a cargo de la implementación de los proyectos.
 - El establecimiento de un hogar institucional entre las autoridades peruanas para la información generada.
- **Objetivo 3:** la cartera de proyectos de inversión en IN implementada se mantendrá a través de:
 - La consolidación del incremento de la escala de inversiones.
 - La identificación de cuellos de botella y elaboración de lineamientos para agilizar su implementación.
 - La visibilidad de los beneficios de la IN y contribución a la promoción de más proyectos en IN.

Además, es importante destacar el involucramiento de las comunidades, en la medida que son las encargadas de la operación y mantenimiento de los proyectos en el largo plazo.

- **Objetivo Transversal:** la transversalización del enfoque de género se mantendrá a través de:
 - La SUNASS, donde ha existido una mayor apertura al tema.
 - En la ANA, la consolidación de una estrategia que permita concientizar sobre género más allá de los estereotipos de género arraigados.

- El involucramiento de las comunidades desde el inicio de los proyectos en IN. Ello permitirá desarrollar la TEG en la implementación de estos proyectos.

RECOMENDACIONES

Para el Proyecto INSH

- Consolidar la información de manera sencilla respondiendo a las preguntas básicas sobre IN y continuar con la promoción de los beneficios de la IN, priorizando al personal de planta y a los técnicos permanentes.
- Continuar con la sistematización de las lecciones aprendidas que surgieron durante el relacionamiento con las comunidades.
- Promover la vinculación de los proyectos con actividades productivas socioeconómicas de la comunidad.
- Considerar un diagnóstico de necesidades antes de diseñar las estrategias en cada municipio. En algunos casos, la infraestructura gris puede ser prioritaria porque la población no cuenta con servicios básicos (agua y saneamiento).
- Continuar con la sistematización de lecciones aprendidas durante la elaboración de instrumentos e identificar cuáles fueron los elementos que permitieron reducir los tiempos en el diseño y formulación de proyectos en IN.
- Continuar con el proceso de validación y revisión de instrumentos, con la consolidación de las especificaciones técnicas sobre los productos generados y desarrollar protocolos de M&E, sobre todo para generar evidencia de los beneficios sociales y eco-hidrológicos de los proyectos de inversión en IN.
- Realizar un seguimiento continuo a la apropiación de las herramientas en las entidades correspondientes.
- Elaborar un registro de consultores con experiencia en la elaboración de proyectos de IN y aprovechar la capacidad instalada de estos consultores contratados y entrenados en el marco del Proyecto.
- Continuar con la consolidación de capacidades a gobiernos regionales y locales e implementar una estrategia de difusión del conocimiento generado que sean de utilidad de los GORE y GOLO para la formulación de proyectos en IN.
- Incidir en los privados y nuevos actores (grandes empresas interesadas como Coca Cola Company o Backus).
- Continuar con el desarrollo de estrategias de transversalización del enfoque de género acordes a cada actor, para la eliminación efectiva de estereotipos.
- Mayor despliegue territorial del Proyecto para que el sistema de monitoreo y seguimiento sea más cercano.
- Trabajar en el fortalecimiento e involucramiento del MIMP, de manera que pueda trabajar en la producción de insumos que aborden aspectos estructurales de género

Para USAID

- En futuros proyectos donde se incorpore tardíamente el enfoque de género u otro tema adicional, realizar los esfuerzos necesarios para integrar el nuevo enfoque en la teoría de cambio general.
- Considerar objetivos y actividades específicas para tratar temas de estereotipos durante las intervenciones y verificar su implementación.
- Diferenciar estrategias y realizar diagnósticos de percepciones y paradigmas cada vez que se vaya a intervenir una institución desde un principio.

Para el Proyecto INSH en colaboración con el Gobierno

- Continuar con los esfuerzos para incluir a la IN en los documentos legales, a través del soporte técnico y la concientización a las autoridades competentes.
- Promover la capacitación de nuevos profesionales en IN a través de la incorporación del perfil de especialistas de IN en SERVIR.
- Sensibilización del MEF para promover la inclusión y priorización de la IN en la cartera de proyectos: continuar con la consolidación de la evidencia de los beneficios de la IN que servirá para respaldar la estrategia de concientización del MEF y encargar la concientización del MEF a la autoridad competente (ej. MINAM).
- Evaluar la implementación de un esquema de incentivos (Programa de Incentivos Municipal) dirigido a los gobiernos regionales y locales para la ejecución de proyectos de IN.
- Elaborar un catálogo de medidas sociales enfocado en el relacionamiento con las comunidades.
- Identificar las capacidades actuales de las entidades responsables de los proyectos de IN y en función de ello trazar la hoja de ruta para su fortalecimiento: un sistema de M&E para la implementación del portafolio; una estrategia de seguimiento y acompañamiento a las EPS para la implementación de proyectos a futuro; un plan de ejecución, operación y mantenimiento de los proyectos IN.
- Continuar con la institucionalización de la información generada con las entidades rectoras competentes (ej. MINAM).

Para formuladores y ejecutores de la inversión

- Identificar socios clave en las comunidades antes de la ejecución de los proyectos de inversión para facilitar el involucramiento de la comunidad en distintas etapas.
- Promover el desarrollo de un diagnóstico (fase 0) de las comunidades (población objetivo y beneficiarios) y vincular la inversión pública con la actividad principal de la comunidad en el diseño y formulación de los proyectos de IN.
- Promover la movilización de inversiones de los proyectos que se encuentren más avanzados.
- Promover el desarrollo de estudios para la aprobación final de los proyectos que cumplen con varios de los elementos para la movilización.

- Elaborar un plan de trabajo en colaboración con SEDAPAL para: (i) incorporar las lecciones aprendidas de los proyectos ya desarrollados, y (ii) visibilizar los beneficios de la IN.
- Fortalecer las estrategias de promoción de género en las comunidades durante el acercamiento comunitario, de manera que las mujeres de las comunidades sean reconocidas como actoras activas de los proyectos de IN.
- Diseñar un sistema de M&E para la implementación de los instrumentos generados.

ANNEX B: EVALUATION TEAM

EVALUATION TEAM

Raúl Andrade, team leader. Holds an Economist degree from Pontificia Universidad Católica del Perú and master's and PhD degrees from Washington University (U.S.). He also pursued graduate studies in Institutional Economic Analysis at the Center for the New Institutional Social Sciences. He has 18-plus years of experience leading and implementing assessments (including impact, performance, intermediate, and final assessments), baselines, monitoring systems, and projects related to public policy in Peru and abroad. He has carried out multiple studies for important public institutions and multilateral organizations. He is an expert in field work design in complex contexts; and is experienced in the use of mixed (quantitative/qualitative) methods for assessing public policy programs.

Gustavo Solano, specialist in environmental and NI issues. Holds a degree in forestry engineering from Instituto Tecnológico de Costa Rica and a master's degree from Universidad Interamericana de Costa Rica. He has 30-plus years of professional experience in environmental issues in Latin America, mainly Costa Rica, Nicaragua, Ecuador, Peru, Panama, Bolivia, and Colombia. In recent years he has worked in the Peru-Costa Rica Binational Water Sustainability Project. He has been technical advisor to several governments on climate change policy; REDD; NI; water security; forestry development; biodiversity preservation; community development; illegal lumbering; and design, development, and implementation of payment for environmental services programs.

Gabriela López, specialist in participatory ecosystem management and project evaluation/systematization. Interdisciplinary studies in agricultural and social sciences. Master's degree in Rural Development from the Centre National D'études Agronomiques Des Régions Chaudes, CNEARC (Montpellier, France); and zootechnical engineer and BA in Sciences degrees from Universidad Nacional Agraria La Molina (Peru). Complementary experience in governance for conservation and sustainable ecosystem management in the U.S., Bolivia, and Italy. Over 20 years of continuous experience in projects on conservation, rural development, climate change, ecosystem-based adaptation, and participatory management of fragile ecosystems with NGOs, the public sector, and international cooperation agencies. Project formulation, systematization, and evaluation in NGOs and with international cooperation agencies. Facilitation of social conservation processes and events. Training of rural and urban facilitators. Design/development of participatory methodologies in Andean communities and Africa.

Cristina Glave, assessment specialist. Holds a master's degree in development studies from the University of Cambridge (UK) and an Economics degree from Pontificia Universidad Católica del Perú. Over 6 years of professional experience in consulting services and research projects on development issues. As expert in social development, she has ample experience in performance assessments of projects on education, inequality, poverty, and gender inequality; and in impact assessments using mixed methods. She specializes in quantitative techniques for both primary data gathering and analysis.

María Fernanda Delgado, research assistant. Holds an Economics degree from Universidad del Pacífico (Peru). Over two years of professional experience in public policy projects requiring intensive economic/social analysis based on sound knowledge of microeconomics and advanced quantitative/qualitative techniques. Senior consultant in APOYO Consultoría's Economic Consulting area.

Diana Castañeda, research assistant. BA in Economics from Universidad Peruana de Ciencias Aplicadas. She has worked in projects on public policies, regulation, and defense of competition. Consultant in APOYO Consultoría's Economic Consulting area.

Susana Guevara, technical supervision. Sociologist, master's degree in public policy assessment and social management. Over 25 years of experience in program/project design, development of M&E systems, baseline design/implementation, and process/impact assessments using quantitative/qualitative methods. Experience in issues related to healthcare, human rights, childhood, gender, and vulnerable populations.

ANNEX C: TERMS OF REFERENCE NIWS – MID-TERM EVALUATION

I. INTRODUCTION

The Natural Infrastructure for Water Security (NIWS) Project, financed by the U.S. Agency for International Development (USAID) and the Government of Canada, is currently in its fourth year of execution, with a lifespan until June 2023. It is implemented by Forest Trends and its partners: Consortium for Sustainable Development of the Andean Ecoregion (CONDESAN), the Peruvian Society for Environmental Law (SPDA), EcoDecisión, and Imperial College London. Forest Trends, USAID, and *Canada Global Affairs* seek a consulting service to conduct a mid-term evaluation of the NIWS Project. This evaluation will be carried out through USAID’s “Monitoring, Evaluation, and Learning for Sustainability” (MELS) project.

The evaluation will seek to gather lessons learned and provide recommendations on (1) future NIWS Project planning; (2) benefit sustainability, and (3) designing other nature-based water/climate resilience solutions in Peru and other countries.

The consulting team will work jointly with Forest Trends, USAID Peru, and *Canada Global Affairs* to design and implement the mid-term evaluation.

NIWS Project’s general information:

- Agreement number: 72052718CA00002
- Dates of project implementation: 12/06/2017 06/05/2023
- Duration of project: 5.5 years
- Financing amount: USD 27,500,000
- **Implementer:** Forest Trends
- Agreement Officer’s Representative (AOR)/ Alternate AOR: Marisel Allende/Alvaro Gaillour
- Dates of evaluation implementation:

II. PROJECT TO BE ASSESSED

Results framework

According to the Cooperation Agreement between USAID, *Canada Global Affairs*, and Forest Trends, the NIWS Project seeks to enhance water security for people, places, and livelihoods vulnerable to climate-related changes in Andean hydrology. The purpose of this activity is scaling up natural infrastructure (NI) investments with a gender perspective in Peru, as a strategy to regulate water supply and enhance resilience to climate change.

Towards this end, the Project proposes three objectives and their corresponding intermediate results (Figure 1).

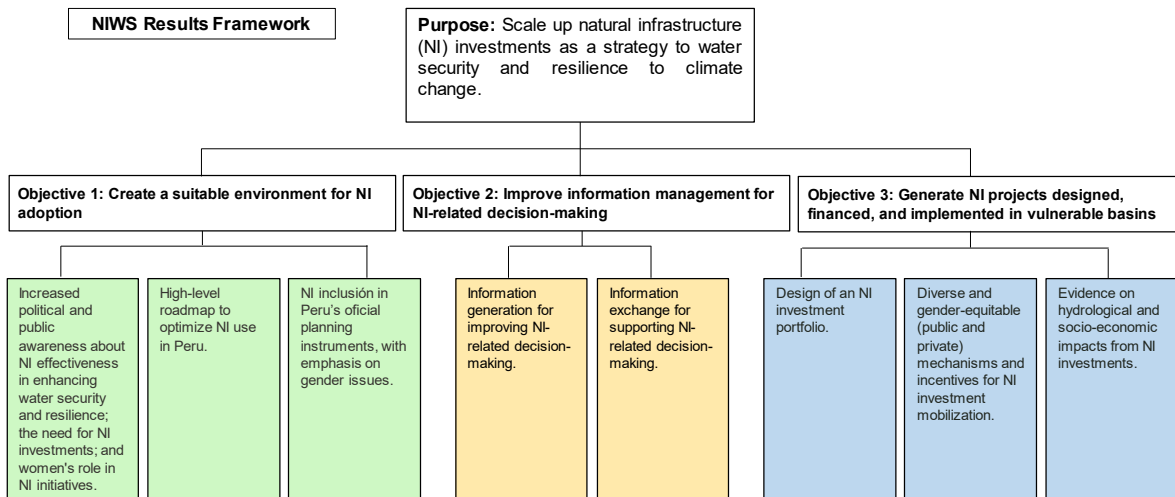


Figure 1. NIWS Project Results Framework

Objective 1: Favorable environment for NI adoption

Intermediate results:

1. Political/public awareness of NI effectiveness for securing water supply and enhancing resilience, the need for NI investments, and women's crucial role in NI projects.
2. High-level roadmap for optimizing NI use in Peru.
3. NI inclusion in the Peruvian Government's planning instruments, including gender dynamics issues.

Objective 2: Information management for NI-related decision-making

Intermediate results:

1. Generation of information for NI-related decision-making.
2. Exchange of information to support NI-related decision-making.

Objective 3: NI projects designed, financed, and implemented in vulnerable basins

Intermediate results:

1. NI project portfolio.
2. Diverse and gender-balanced mechanisms/incentives for NI investments.
3. Evidence on hydrological and socioeconomic impacts of NI interventions.

As described in the Project's Document, the approach selected to address certain limitations will be to promote NI-favorable institutional changes; improve NI-related decisions over time via better capacities, information, and tools; and mobilize that support for implementing model projects/portfolios in priority basins. The NIWS Project expects this effort to set in motion a self-sustained and growing system of public/private project developers, evaluators, compensators, implementers, and financiers that will continue to apply NI for water security/resilience in Peru beyond the NIWS Project's 5-year lifespan.

Theory of Change

According to USAID’s Automated Directives System (ADS) for the Program Cycle Operational Policy, a theory of change (ToC) explains “the rationale behind the questions of *how* and *why* a result or purpose is expected within a given context”. It describes the project’s assumptions in terms of the logical-causal relationships between a strategic approach and the multiple levels in the preliminary conditions or results necessary for achieving a result in the long run. Additionally, results chains provide a ToC graphic representation.

With an aim to clarify the way in which NIWS objectives are expected to attain the Project’s purpose, the results framework was translated into results chains intended to reflect the causal relationships and interrelationships between different expected objectives and results. Along these lines, the Project’s Document and M&E plans show a high-level results chain throughout the NIWS Project (Figure 2) and a results chain per objective (Annex I). The ToC and results chains will be used in this evaluation. It is important to indicate that the ToC has evolved in response to the NIWS Project’s adaptive management.

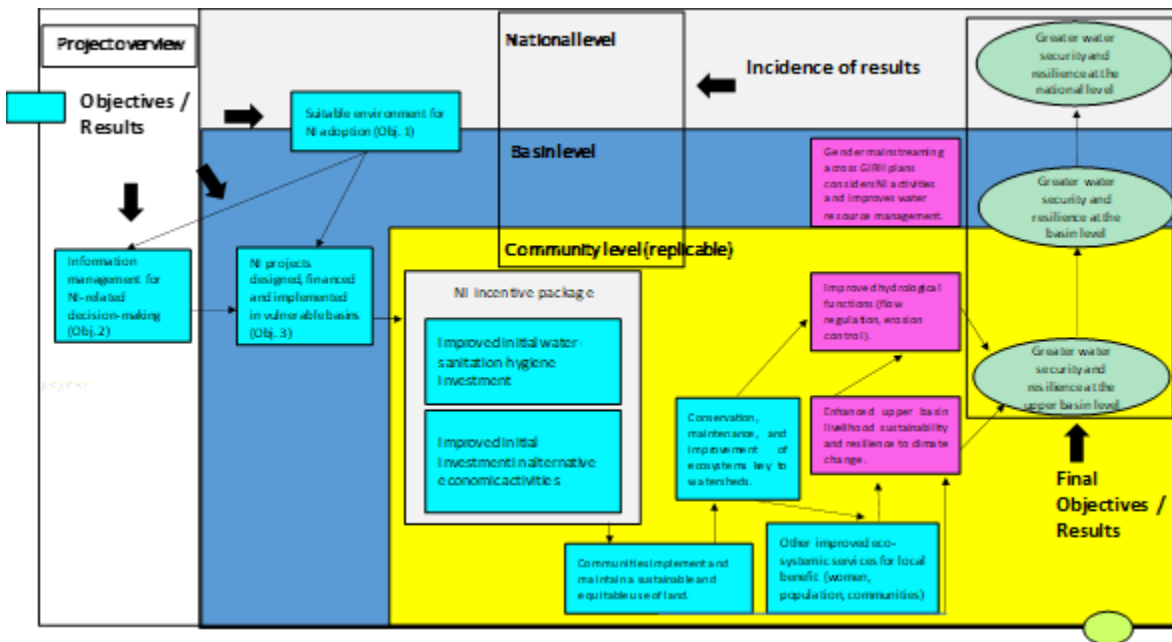


Figure 2. High-level ToC laid out in the Project Document

The high-level results chain, besides pointing out the interrelationships between objectives, specifies the long-term results envisaged and how to attain them. Figure 2 shows that higher NI investment (in water, sanitation, hygiene, and alternative economic activities) is expected to result in the conservation, maintenance, or improvement of ecosystems that are critical to the basins; and contribute to improving other ecosystem services for the benefit of the local population. On one hand, this will improve hydrological functions (flow regulation, erosion control); and, on the other hand, livelihoods in upper basins will be more sustainable and resilient to climate change, thereby contributing to enhance water security and resilience in upper basins. Additionally, via NI inclusion in Integrated Water Resources Management (GIRH) plans and TEG within water

resource management, the NIWS Project expects to contribute to water security and resilience across the basin and, eventually, at the national level.

III. BACKGROUND

Peru is highly vulnerable to climate change and extreme hydrological events, as evidenced by droughts, wildfires, pasture fires, floods, and landslides in recent years. The country faces a water crisis that threatens to worsen with ecosystem degradation and population growth. Therefore, the need to adapt has taken on more relevance among national, regional, and local authorities, with emphasis on NI inclusion (conservation, recovery, and ecosystem management and improvement).

The NIWS Project was created in a context of the Peruvian Government's important progress at the political, financial, and technical levels. With the passage of Law 29338 on Water Resources (2009), the country adopted a GIRH-based policy; and the introduction of an institutional framework incorporating a basin approach decentralizes management and specifies the mandate of the National Water Authority (ANA). Additionally, Law 30215 on the Ecosystem Service Compensation Mechanism (MERESE), enacted in 2014, and its by-laws (2016), seek to promote, regulate, and supervise the compensation mechanisms for ecosystem services derived from voluntary conservation, recovery, and sustainable use agreements to secure the permanence of ecosystems. Multiple ecosystem services are associated with water care and management. Hence the need to design and implement legal mechanisms for financing the necessary investments to achieve this purpose.

The MERESEs are arrangements, tools, instruments, and incentives for generating, channeling, transferring, and investing economic and financial/non-financial resources under an agreement between contributor(s) and compensator(s) of ecosystem services, geared to the conservation, recovery, and sustainable use of ecosystem service sources (Ley 30215). Additionally, several important financial commitments have materialized in recent years, e.g., a US\$ 130 million allotment from water tariffs to MERESE projects, climate adaptation policies, and disaster risk management. Finally, capacity building activities developed in recent years will ultimately contribute to the viability of projects financed in this way.

A landmark in this transition took place in 2012, when Forest Trends associated with the Ministry of the Environment (MINAM) to establish the MERESE Incubator. With technical and coordination support from NIWS Consortium partners and international financiers (including COSUDE, GIZ, and USAID), the MERESE Incubator has coordinated efforts at the national, regional, and local levels to systematically address barriers to effective NI investment in Peru.

At the national level, the Incubator provided key support to MINAM to draft, approve, socialize, and implement the 2014 MERESE law and its by-laws. The Incubator also catalyzes a critical inter-sectoral partnership between MINAM and the National Superintendence of Sanitation Services (SUNASS), consolidated during the coordinated development of their respective NI regulations within the framework of the MERESE and Sanitation Reform Laws. The SPDA made specific and decisive contributions to the language in the MERESE Law and associated by-laws, with a view to clarifying and expediting the normative framework of national entities. A relevant point of reference in integrating the gender approach into public policies was the publication of the National Gender and Climate Change Action Plan in 2015, with validity until 2021. The latter was aligned with other Peruvian norms (e.g., the National Climate Change Strategy and article 4 of Law 28983 on Equal Opportunities for Men and Women) and supports the incorporation of the gender approach into public management instruments and guidelines at the national and subnational levels. Implementation responsibilities lie with MINAM and the Ministry of Women

and Vulnerable Populations (MIMP), which the NIWS Project had the foresight to include in its Advisory Council.

With an aim to turn the potential of this progress on the legal front into a reality, CONDESAN, Forest Trends, and EcoDecisión developed technical tools for the design, evaluation, and follow-up profitable NI investments. These tools include the Rapid Hydrological Diagnosis (DHR), developed by CONDESAN in cooperation with SUNASS and MINAM, a methodology for clarifying water users' hydrological objectives and, subsequently, identifying and prioritizing an NI portfolio for hydrographic basins using available information. Additionally, a study on "cost curves" conducted by Forest Trends together with CONDESAN, Aquafondo, and Kieser & Associates for assessing NI profitability and potential scale for supplying water to Lima was one of the first quantitative estimations of NI profitability from water supply during the dry season. These tools and analyses have played a key role in informing and substantiating the allotment of water tariffs to MERESEs in Lima and other nine towns, amounting to over US\$ 30 million assigned to NI investments.

Under the Incubator, the Consortium systematically supported the initial efforts to channel the new resources targeted to NI investments, especially from water tariffs and Regional Governments. The Consortium's approach was to catalyze a self-sustaining system for developing projects by providing assistance to MINAM and the Ministry of Economy and Finance (MEF) in preparing guidelines on "green" public investment projects (PIPs). This was done via direct technical and financial support to project promoters for designing the first "green" PIPs and facilitating their approval via new bureaucratic procedures. Webinars, macro-regional workshops, and specific capacity building activities provided to Consortium partners have been instrumental in disseminating these innovations and generating capacities for accessing new funds, applying new tool, and creating a community of several hundred NI professionals in Peru and the region.

In this context of important progress, MINAM and SUNASS have reinforced their commitment to NI and MERESE implementation, with SUNASS playing a wider role, given its new responsibility to supervise the water and sanitation councils (JASS) in rural areas. The Government continued to promote important institutional development and capacity building programs to support GIRD under ANA via phases 2 and 3 of the Water Resource Modernization Program (launched in 2018), with considerable support from the World Bank Group (WBG), the Inter-American Development Bank (IADB), and the Andean Development Corporation (CAF). The program was expected to have potential for supporting significant GIRH progress, thereby enhancing confidence in new investments among NI downstream beneficiaries.

At the same time, beyond the progress made as of the Project's design, lingering limitations hindered implementation of available government funds, i.e., the programs had failed to show their potential for contributing to water supply regulation and enhancing resilience of natural/man-made systems to climate change. In sum, the limitations that justified the ToC proposed by the Project are:

- Lack of inter-sectoral coordination, resulting in bureaucratic bottlenecks and confusion, delays in NI investment, and limits on inter-sectoral synergy creation.
- Lack of a solid portfolio of viable projects on which to apply funds from MERESE tariffs, which limits their potential use in the short and medium term.
- Lack of capacity and clear direction for designing effective, sustainable, and gender-balanced NI investments, which creates gender knowledge gaps and prevents projects from attaining water security, livelihoods, and resilience.

- Lack of institutional capacity for fully considering NI investment and the gender approach in decision-making related to water management.
- Restricted financing sources (compensator sectors) for water-security NI initiatives, as well as project promoters' significant dependence on international cooperation, ultimately limit the scale of NI investments.

IV. EVALUATION PURPOSE, OBJECTIVES, AND QUESTIONS

A) Evaluation purpose

The monitoring, evaluation, and learning (MEL) plan envisages a mid-term external performance assessment led by USAID. In line with USAID's Evaluation Policy, performance assessments serve two main objectives: i) establish accountability vis-à-vis stakeholders; and ii) learn to improve the effectiveness of interventions.

By means of this mid-term assessment, Forest Trends, USAID, and Canada Global Affairs seek to gather lessons learned and provide recommendations for (1) future NIWS Project planning; (2) sustainability of benefits from the Project; (3) design of other nature-based solution initiatives for water and climate resilience in Peru and other countries. The latter is particularly relevant, considering multiple cooperation agencies' growing interest in nature-based solutions.

Additionally, the Project envisages to conduct internal analyses of its capacity development and TEG strategies prior to the mid-term assessment, with a view to exploring these issues in greater depth. The results of these assessments will be available to the consulting team.

B) Evaluation specific objectives and questions

The specific objectives and questions of the mid-term assessment of the NIWS Project are the following:

Specific objective 1: Establish whether the NIWS Project's design (strategies and ToC) and later modifications were the most relevant (assessment criterion: relevance).

Assessment questions

1. To what extent were the assumptions or cause-effect relationships in the initial ToC relevant?
2. How were the Project's ToC and strategies adapted over time; what were the reasons for such adaptations; and to what extent did they make the ToC more relevant? What were the lessons from this adaptation?

The consulting team must provide a series of recommendations for designing (strategies, ToC) new nature-based solution initiatives for water and climate resilience under a gender approach in Peru and other countries.

Specific objective 2: Identify the main (foreseen and unforeseen) results attained; establish their contribution to the Project's objectives; and identify the factors that facilitated/facilitate or hindered/hinder the results (assessment criterion: effectiveness).

Assessment questions:

1. What are the main (foreseen and unforeseen) results obtained by the Project so far? Particularly in relation to:
 - Promoting gender equality and its contribution to the objectives.

- Improving information generation/management and its contribution to decision-making in favor of the Project's purpose.
 - Raising NI awareness among key actors, generating political will, and promoting progress towards a suitable environment for the Project's purposes.
 - Mobilizing public and private funds towards NI investment.
2. What are the key internal/external factors that facilitated/facilitate or hindered/hinder the Project's results and objectives?
 3. Which results should be prioritized in the remainder of the Project's lifespan?

The consulting team must provide recommendations about the results to be prioritized in the Project's planning, as well as in the design of other nature-based solutions for water and climate resilience in Peru and other countries. Additionally, they will include information on the context/conditions where these results are attainable.

Specific objective 3: Assess the chances of permanence of the benefits that the Project has achieved (or expects to achieve) beyond its lifespan (assessment criterion: sustainability).

Assessment questions:

1. Which results are the most relevant for securing continuity of the benefits the Project has achieved (or expects to achieve) beyond its implementation period, including those geared to promote gender equality?
2. What are the results' necessary conditions for attaining benefit continuity (results identified in the previous question) (e.g., degree of institutional appropriation or social support)?
3. What is the state of the necessary conditions (identified in the previous question) and to what extent is it likely that the benefits generated by the Project will continue beyond its lifespan?
4. What is the Project doing to develop/reinforce the necessary conditions for attaining benefit sustainability? Which strategies have worked better and which did not work as expected?

The consulting team must provide recommendations about the conditions that must be strengthened to secure sustainability of the benefits generated by the Project (especially considering the context created by the upcoming administration change).

C) Audience, envisaged use, and dissemination of assessment results

The conclusions from the NIWS Project's mid-term assessment are intended for USAID, *Canada Global Affairs*, Forest Trends and their partners: Consortium for Sustainable Development of the Andean Ecoregion (CONDESAN), Peruvian Society for Environmental Law (SPDA), EcoDecisión, and Imperial College London. The Peruvian Government entities considered are MINAM, MIDAGRI/ANA, SUNASS, MIMP, SEDAPAL, and the Peruvian Agency for International Cooperation (APCI).

In line with USAID's evaluation policy, the resulting findings will be widely disseminated. In this regard, results dissemination must consider the key actors (e.g., communities and Government authorities) linked to the Project's actions in the six prioritized basins: (1) Chillón-Rímac-Lurín, Mantaro, (2) Chira-Piura, (3) Quilca-Chili, (4) Urubamba-Vilcanota (Cuzco), (5) Tambo-Ilo-Moquegua, and (6) Mayo. Towards this end, summaries, communication products (including the methodology implemented, and the main conclusions and recommendations) will be used.

V. EVALUATION METHODOLOGY

The assessment questions are expected to be answered using an assessment methodology based on the ToC and the assessment criteria. Adoption of quantitative and qualitative assessment techniques is also expected. Techniques for gathering qualitative data include interviews with key informants, focus groups, direct observation, and documentary analysis. Techniques for gathering quantitative data include compilation of relevant secondary data generated by the Project or other organizations. It is worth noting that, as current monitoring focuses on identifying progress in a limited number of results, and considering the interest in identifying unintentional results, the assessment will require, to a considerable extent, a qualitative approach. Work will be carried out in virtual format, in Lima and in basins prioritized by the Project. The assessment will be conducted in close coordination with an Institutional Assessment Support Team made up of referents from USAID, *Canada Global Affairs*, and Forest Trends. This team will intervene at key moments to ensure the consulting team has the necessary information and support for an efficient development of the assessment process. This coordination also seeks to secure appropriation/use of results by the assessment audience. The consulting team is expected to consider the [recommendations on evaluation use](#) generated from the experience of USAID Peru.

The consulting team will provide technical expertise to conduct the following activities and generate the following deliverables:

A) Activities, timetable, and reports

The timetable and products can be found at the end of this section

Activity 1. Desk review of available Project documents and preparation of the work plan (assessment methodology and data gathering instruments): the consulting team will conduct a review of available NIWS Project documentations to understand the NIWS ToC. Two central elements in this regard are the results framework and the results chain included in the Cooperation Agreement. The results chains can be summarized in a diagram showing the results envisaged in the short, medium and long term, ultimately leading to the expected conservation and human wellbeing results. It attempts to reflect the causal relationships and interrelationships between multiple elements of the results framework. The consulting team will synthesize the Project's progress using the results framework and the results chains. They will include qualitative/quantitative data found in the Project's documentation for any result. The consulting team will also identify data gaps and limiting factors potentially hindering concrete results. The data on indicators and results will be presented to the MELS evaluation specialist and the Institutional Assessment Support Team for their review and comments.

The available follow-up data/reports that USAID staff will provide to the consulting team are the following:

- NWS Project description (adjusted to include Canada's contribution)
- Monitoring and Evaluation (M&E) plans
- Annual operating plans
- Quarterly and annual reports
- Monitoring reports
- Reports on, and products from, Pause & Reflect processes.

- Consultancy products and ToR, as required.
- Other documents/information sources that can be useful to the consulting team.

In preparing the work plan, the consulting team will meet with the Institutional Assessment Support Team to refine the specific objectives/assessment questions and prepare the work plan (including the assessment methodology, data gathering and analysis methods, products, and timetable). The consulting team must describe the methodological strengths and weaknesses identified; and prepare a definitive list of interviews with key actors, especially considering the position turnover due to the administration change and the need to include informants who are knowledgeable about the Project. Key informants will include staff from USAID, *Canada Global Affairs*, the NIWS Consortium, the Government of Peru, and other partners familiar with the Project (Annex 2). The consulting team will receive support from MELS and the Institutional Assessment Support Team to prepare the said list and provide the contact information for key informants. The team must propose individual/group/focus group interviews; and prepare guidelines including interview questions and focus groups with key informants. The team will conduct in-depth, guided interviews with individuals or groups well-informed about a specific aspect of the Project. The consulting team must arrange the interviews or other data gathering means with the stakeholders.

The Institutional Assessment Support Team will provide comments on the work plan within five working days from receipt.

Deliverable 1. Synthesis of document review and work plan containing the assessment methodology and data gathering instruments: the documentary synthesis must include a written summary of the desk review. The work plan must include the conceptual approach, the assessment design (with the methodology for responding to the assessment questions), a preview of the data gathering/analysis methods/instruments, an initial sample for the data gathering process, a questionnaire (a series of questions to be addressed with key informants) and guidelines for interviews and focus groups. The latter must describe the approaches to be considered in virtual work. This deliverable must be submitted on the date indicated in the timetable for review and final approval by MELS's Contract Officer's Representative (COR).

Activity 2. Summary report containing the assessment's initial findings, the structure of the final report, and presentation slides: the consulting team will deliver the following: a) a 7-10-page summary of the main findings and conclusions, as well as the structure of the final report; and b) a slide presentation covering the summary. Both products will be reviewed and discussed by the Institutional Assessment Support Team the week prior to the presentation, as scheduled in Table I.

Deliverable 2. Summary report containing the assessment's initial findings and presentation slides. The narrative report will present the initial findings based on the analysis of the information obtained from primary/secondary sources, as well as the structure of the final report. The slides will present the main findings succinctly. The report and presentation will be delivered in line with the timetable in Table I. The product will be approved by MELS's COR.

Activity 3. Recommendation co-creation workshop and draft assessment report: the consulting team will conduct a recommendation co-creation workshop for final assessment users in coordination with the Institutional Assessment Support Team. The purpose is creating recommendations jointly, taking as input the findings identified and analyzed independently from the consulting team. In this instance, findings must be presented such that they facilitate participants' interaction with them; and the dynamics must facilitate learning and recommendation co-creation. Using the input from previous activities and the workshop results, the team will

prepare an evaluation report and share it with USAID, *Canada Global Affairs*, Forest Trends, Consortium partners, and the Government of Peru (MINAM, MINAGRI/ANA, SUNASS, MIMP, SEDAPAL, APCI) for their review and comments. USAID and *Canada Global Affairs* may choose to request comments from third parties and include them in the final version.

Deliverable 3. Draft assessment report. Comprehensive report on all assessment-related results, representing a reflection effort based on a structure, organization, and research geared to respond the assessment questions. This draft report, to be delivered as scheduled in Table I, must:

- be a high-quality technical report suitable for peer review and publication;
- address all issues considered in the ToR;
- include all key sections: cover, index, list of acronyms, glossary of terms, executive summary, background, objectives/questions, methodology, results, analysis/conclusions, lessons learned, and recommendations for (1) future Project planification, (2) sustainability of benefits from the Project; and (3) design of other nature-based solution initiatives for water and climate resilience in Peru and other countries (considering, among others, the recommendations requested at the end of each block of questions for each assessment objective). It can also include other sections as requested;
- include the ToR in an annex;
- in the background section, include an introduction describing the Project, its place of implementation and context, and its ToC;
- describe in detail the methodology, including an annex describing the tools employed (questionnaire, interview guidelines, and focus groups);
- describe the conclusions showing the results broken down by gender;
- describe all methodological limitations (e.g., selection/memory bias, non-observable differences between groups, etc.);
- present the results as facts, evidence, and analyzed data, not as anecdotes, rumors, or compilations of opinions. The conclusions must be specific, concise, and supported by solid quantitative/qualitative evidence;
- identify information sources and list them in an annex;
- distinguish clearly between results, conclusions, and recommendations;
- support all recommendations with a specific set of conclusions; and
- provide recommendations organized by actor and geared for action.

The deliverable must be reviewed and approved by MELS's COR.

Activity 4. Final report, summary, and presentation of results: The final report, summary, and final report slides will be sent to MELS's evaluation specialist for review and comments from the Institutional Assessment Support Team. The final report will have approximately 50 pages plus annexes, including a 5-10-page summary in Word and PDF format, which USAID will publish online. The report, summary, and final report slides will be made available in Spanish and English.

Deliverable 4: Final report, summary, and final report slides. This deliverable will be submitted as scheduled in Table I and approved by MELS's COR.

Activity 5. Communication products and presentations to target audiences: the consulting team must deliver 2 communication products (an A3 infographic and a brochure) and present, using the necessary communication products, the assessment results to the following target audiences: (1) Institutional Assessment Support Team, (2) NIWS partners, (3) Government of Peru, (4) communities, and (5) other key actors to be defined. The support means used during the presentations will be in Spanish.

Deliverable 5: Communication products and presentations to target audiences. To be delivered as scheduled in Table I and approved by MELS’s COR.

VI. TIMETABLE AND BUDGET

Table I shows the schedule and estimated times for submitting the deliverables. The beginning of the sequence depends on the work plan’s approval by USAID. The entire process, from allocation to final report, will take approximately 6 months.

Table I 1: Timetable for submitting deliverables.

Activity	Deliverable	Estimated time (days)	Estimated date
1	Synthesis of documentary review and work plan (including evaluation methodology and data gathering instruments)	30	
2	Summary report on the evaluation’s initial findings, the structure of the final report, and presentation slides.	30	
3	Draft evaluation report	20	
4	Final report, summary, and slide presentation of final report	20	
5	Communication product and presentations for target audiences	10	
	TOTAL	110	

VII. CONSULTING TEAM

A) Team members’ recommended qualifications

The assessment team must have knowledge of, and experience in:

- evaluation based on ToCs ad quantitative/qualitative/mixed techniques;
- nature-based solution initiatives for water and climate resilience under a gender approach;
- public environmental policy in Peru;
- public/private financing of nature-based solutions in Peru; and

- communication strategy design and graphic piece development for cooperation projects.

These qualifications are expected to be found in a group of advisors made up of a leader experienced in evaluations, a specialist in public/private financing, a specialist in public environmental policy, a specialist in nature-based solution initiatives for water and climate resilience, a gender specialist, and a communications specialist (composition subject to improvements).

Team leader /Evaluation specialist

- Professional qualifications in economics, public administration, and political sciences, with graduate studies in environmental issues, public administration, law, social sciences, public policies, or other related fields.
- Experience of no less than 12 years in project/program evaluation in Latin America, especially in environmental issues and water resource management in Peru.
- Mastering of ToC-based evaluation methodologies and quantitative/qualitative data gathering tools.
- Experience in gender and intercultural issues (non-exclusive) (recommended).
- Fluent English and Spanish.

Specialist in public/private financing

- Professional qualifications in economics, public administration, and political sciences, with graduate studies in topics related to business administration, financial analysis, or other similar.
- Professional experience of no less than 8 years in public/private sector investments.
- Experience in ecosystem services or natural resources (recommended).
- Experience with private sector companies/associations in Peru, as well as with institutional arrangements and financial mechanisms that facilitate private sector participation in developing public goods (e.g., works for taxes, PIPs, public-private partnerships).
- Excellent writing skills in Spanish and practical knowledge of English.

Specialist in public environmental policy

- Professional qualifications in public administration, with (at least) a Master's degree in environmental issues, public administration, law, social/political sciences, or other similar.
- Experience of no less than 8 years in public administration, particularly in environmental issues and water resource management.
- Wide knowledge of the Peruvian Government and key NI public/private/non-government actors in Peru.
- Knowledge of Law 30215 on Ecosystem Service Compensation Mechanisms (strongly recommended).
- Excellent writing skills in Spanish and practical knowledge of English.

Specialist in nature-based solution initiatives for water and climate resilience

- Professional qualifications in environmental sciences, with (at least) a master’s degree in climate change, natural resource and environmental management, or other similar.
- Experience of no less than 7 years in research on, and evaluation of, nature-based solution initiatives for water and climate resilience.
- Excellent writing skills in Spanish and practical knowledge of English.

Gender specialist

- Professional with formal studies in in gender issues and (at least) a Master’s degree in sociology, anthropology, economics, or another relevant social sciences field.
- Experience in TEG across Peru’s public management/policies, climate change, of natural resource/environmental management.
- Excellent writing skills in Spanish and practical knowledge of English.

Communications specialist

- Professional with formal studies in communications, publicity, marketing, journalism or other similar.
- Experience of no less than 5 years in communication design software and graphic piece development (e.g., infographics, digital art for social networks, animated videos, presentations, and brochures, among others).
- Experience with public/private stakeholders and international cooperation associated with climate change and natural resource/environmental management in Peru (recommended).
- Excellent writing skills in Spanish and practical knowledge of English.

B) Composition of the consulting team

Independent evaluators will answer to MELS’s evaluation leader. The consulting team will also have support from the Institutional Assessment Support Team, made up of referents from USAID, *Canada Global Affairs*, and *Forest Trends*.

VII. EVALUATION PROCESS MANAGEMENT

A. Evaluation execution

MELS’s Evaluation Leader is responsible for leading the evaluation. In coordination with the COR and the M&E official of USAID’s Environment and Sustainable Development Office (ESG), the leader will manage all evaluation activities. In this regard, MELS is ultimately responsible for the evaluation; and an articulated work with all the assessment team (including referents from USAID, *Canada Global Affairs*, and *Forest Trends*) is expected. All technical/administrative matters facing the assessment team and USAID will be channeled through MELS’s evaluation leader and vice versa, in an efficient and clear manner, to meet all parties’ expectations.

Fluent verbal and written communications are expected between MELS and the assessment team. The head of the assessment team is expected to make their utmost efforts to keep the MELS evaluation leader informed, thereby ensuring that all parties’ main expectations are met.

The head of the assessment team is responsible for informing the MELS evaluation leader of any unforeseen situation that may affect quality, the deadlines for deliverables, or any other significant activity.

B. Logistics

Evaluators will be responsible for making their own arrangements regarding space, virtual platforms, necessary materials/equipment for implementing the assessment, and transportation (if possible, under the health emergency).

ANNEX D: DATA COLLECTION TOOLS

INTERVIEW GUIDELINES – IMPLEMENTERS (FOREST TRENDS, CONDESAN, AND SPDA)

Approximate duration: 90 minutes

TARGET PUBLIC AND APPLICATION METHODOLOGY

Interview guidelines are intended for NIWS Project implementers. The objective of this interview is gathering information on the Natural Infrastructure for Water Security (NIWS) Project’s interventions in Peru. Along these lines, this tool seeks to gather key actors’ perceptions, opinions, and experiences on the NIWS Project’s design, implementation, and results.

These guidelines are dynamic and flexible, as they can be adapted to participants’ context and profiles. They will be applied on a one-on-one basis and in a suitable atmosphere; and interviewees will be asked if they consent to be recorded.

IDENTIFICATION

Entity	
Current position	
Date of hire with entity	
Date of interview	

PRESENTATION

The objective of this study is analyzing aspects related to the NIWS Project’s design, implementation, and results. In particular, it will examine the NIWS Project’s performance, strengths, and difficulties identified during implementation.

I: Good morning/evening. The objective of this interview is to know your opinions about the NIWS Project’s performance and receive your suggestions on possible improvements.

Before starting I would like to ask if you consent to being interviewed and recorded to avoid losing valuable information that you may provide. If you do, I would appreciate your signing the consent form we have prepared. [Send or give consent form to interviewee. In virtual interviews, read the informed consent document]

SECTION I. INTRODUCTION

I. What are your duties within the entity where you work? What are your main activities in the framework of the NIWS Project?

SECTION II. RELEVANCE

I: The objective of this section is identifying to what extent the intervention’s objectives and design respond to the needs and priorities for promoting NI in Peru, as proposed by stakeholders (implementers).

The Theory of Change (ToC) describes the “relationships between the strategies proposed and the expected Objectives and Results organized under a sequence of causality and partial results

that sum up to higher hierarchy results”. Along these lines, the NIWS Project proposes three Objectives and eight Intermediate Results to obtain (i) greater water security and (ii) greater resilience to climate change (MEL Plan 2020).

2. What were the adaptations made to the Project’s ToC? To what extent did they make the ToC more pertinent to the Project’s final objectives?
3. To what extent do the NIWS Project’s current objectives and activities meet the needs and priorities for promoting natural infrastructure in Peru? Why?
4. How has the Project’s ToC been adapted to consider inclusion of gender equality? To what extent is it aligned with the Gender Action Plan and Strategy (2019)?

SECTION III. EFFECTIVENESS

I: The objective of this section is identifying the degree of compliance with the Project’s objectives; the main results attained; and the factors that facilitated or hindered compliance with the results.

5. What are the main (foreseen and unforeseen) results obtained by the Project so far?
6. Regarding the products (information, processes, mechanisms, tools, capacities, approaches, and technical assistance) generated and/or channeled by the Project:
 - 6.1. What products has the Project generated/channeled as a contribution to your entity?
 - 6.2. How have the Project’s partners used these products in NI-related decision-making?
 - 6.3. From your perspective, how did they appropriate these products channeled by the Project?
7. From your perspective, to what extent has the mobilization of resources (financial and other) for natural infrastructure increased due to the NIWS Project’s influence?
8. Considering the progress so far, in your opinion which results should be prioritized over the NIWS Project’s remaining lifespan?

SECTION IV. SUSTAINABILITY

I: The objective of this section is looking into the continuity of results and benefits generated under the Project, both during its lifespan and beyond completion.

9. From your perspective, do you consider that benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of such benefits? [*The benefits from the Project are: (i) enhanced water security and (ii) greater resilience to climate change*]
10. From your perspective, do you consider that gender-related benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of gender equality promoted by the Project?
11. Which activities are being consolidated in your entity to secure sustainability of the Project’s results over time?
12. In your opinion, to what extent do contextual factors (e.g., legislation, politics, economic situation, and social demands) favor or hinder activities carried out by the Project to achieve the results envisaged?

Results:

- **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government’s support for NI inclusion in the political agenda (objective 1).

- **Improved information generation/management** and contribution to decision-making (objective 2).
- **Mobilization of public and private funds** for NI design, financing and implementation (objective 3).
- **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).

[If the performance of Project partners is not mentioned as a contextual factor in the previous question, the interviewer will ask the following one:]

- I3.** In your opinion, to what extent are Project partners capable (i.e., technical capacities, financial resources, appropriation) and motivated to continue implementing activities that can contribute to attaining the results envisaged?
- I4.** From your perspective, which other entities or actors should become involved in the Project to secure sustainability of its results in the long run? How should they participate or become involved? *[Complete responses in line with the objective to which entities are linked]*

Objectives:

- Objective 1: **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda. *[Applies to SPDA]*
- Objective 2: **Improved information generation/management** and contribution to decision-making. *[Applies to CONDENSAN and Imperial College London]*
- Objective 3: **Mobilization of public and private funds** for NI design, financing and implementation. *[Applies to CONDENSAN, Forest Trends, and EcoDecisión]*
- Objective 4: **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality. *[Applies to all]*

SECTION V. LESSONS LEARNED AND RECOMMENDATIONS

I: The objective of this section is identifying lessons learned and specific recommendations related to the NIWS Project's design and execution that may contribute to improving its performance.

- I5.** In your opinion, which are the main lessons from the NIWS Project's design and compliance with results and objectives?
- I6.** What recommendations would you provide to improve the Project?

INTERVIEW GUIDELINES – INVESTMENT AUTHORITIES

Approximate duration: 1 hour

TARGET PUBLIC AND APPLICATION METHODOLOGY

Interview guidelines are intended for NIWS Project implementers. The objective of this interview is gathering information on the Natural Infrastructure for Water Security (NIWS) Project's interventions in Peru. Along these lines, this tool seeks to gather key actors' perceptions, opinions, and experiences on the NIWS Project's design, implementation, and results.

These guidelines are dynamic and flexible, as they can be adapted to participants' context and profiles. They will be applied on a one-on-one basis and in a suitable atmosphere; and interviewees will be asked if they consent to be recorded.

IDENTIFICATION

Entity	
Current position	
Date of hire with entity	
Date of interview	

PRESENTATION

The objective of this study is analyzing aspects related to the NIWS Project's design, implementation, and results. In particular, it will examine the NIWS Project's performance, strengths, and difficulties identified during implementation.

I: Good morning/evening. The objective of this interview is to know your opinions about the NIWS Project's performance and receive your suggestions on possible improvements.

Before starting I would like to ask if you consent to being interviewed and recorded to avoid losing valuable information that you may provide. If you do, I would appreciate your signing the consent form we have prepared. [Send or give consent form to interviewee. In virtual interviews, read the informed consent document]

SECTION I. INTRODUCTION

1. What are your duties within the entity where you work? What are your main activities?
2. What do you know about the NIWS Project (concept, objectives, results)? What are your main activities in the framework of the NIWS Project?

SECTION II. RELEVANCE

I: The objective of this section is identifying to what extent the intervention's objectives and design respond to the needs and priorities for promoting NI in Peru, as proposed by stakeholders (implementers).

3. In your opinion, are the NIWS Project's objectives and activities geared to increase the scale of natural infrastructure investments in Peru? Why? [Show annex enlisting the Project's objectives and activities]

4. How has gender equality been incorporated into the NIWS Project's development?

SECTION III. EFFECTIVENESS

I: The objective of this section is identifying the degree of compliance with the Project's objectives; the main results attained; and the factors that facilitated or hindered compliance with the results.

5. In your opinion, what are the Project's main results so far? Especially concerning:
- **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda (objective 1).
 - **Improved information generation/management** and contribution to decision-making (objective 2).
 - **Mobilization of public and private funds** for NI design, financing and implementation (objective 3).
 - **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).
6. Regarding the products (information, processes, mechanisms, tools, capacities, approaches, and technical assistance) generated and/or channeled by the Project:
- 6.1 What products has the Project generated/channeled as a contribution to your entity?
- 6.2 How have the Project's partners used these products in NI-related decision-making?
- 6.3 From your perspective, how did they appropriate these products channeled by the Project?
7. From your perspective, to what extent has the mobilization of resources (financial and other) for natural infrastructure increased due to the NIWS Project's influence?
8. Considering the progress so far, in your opinion which results should be prioritized over the NIWS Project's remaining lifespan?
9. Which actors participate in the design and formulation of NI projects? Do these actors have the necessary capacities to design and formulate such projects?

SECTION IV. SUSTAINABILITY

I: The objective of this section is looking into the continuity of results and benefits generated under the Project, both during its lifespan and beyond completion.

10. From your perspective, do you consider that benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of such benefits? *[The benefits from the Project are: (i) enhanced water security and (ii) greater resilience to climate change]*
11. From your perspective, do you consider that gender-related benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of gender equality promoted by the Project?
12. Which activities are being consolidated in your entity to secure sustainability of the Project's results over time?

Results:

- **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda (objective 1).

- **Improved information generation/management** and contribution to decision-making (objective 2).
- **Mobilization of public and private funds** for NI design, financing and implementation (objective 3).
- **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).

[If the performance of Project partners is not mentioned as a contextual factor in the previous question, the interviewer will ask the following one:]

- I3.** In your opinion, to what extent is your entity capable (i.e., technical capacities, financial resources, appropriation) to continue implementing activities that can contribute to attaining the results envisaged?

SECTION V. LESSONS LEARNED AND RECOMMENDATIONS

I: The objective of this section is identifying lessons learned and specific recommendations related to the NIWS Project's design and execution that may contribute to improving its performance.

- I4.** In your opinion, which are the main lessons from the NIWS Project's design and compliance with results and objectives?
- I5.** What recommendations would you provide to improve the Project?

INTERVIEW GUIDELINES – INVESTMENT FORMULATORS AND IMPLEMENTERS

Approximate duration: 2 hours

TARGET PUBLIC AND APPLICATION METHODOLOGY

Interview guidelines are intended for NIWS Project implementers. The objective of this interview is gathering information on the Natural Infrastructure for Water Security (NIWS) Project’s interventions in Peru. Along these lines, this tool seeks to gather key actors’ perceptions, opinions, and experiences on the NIWS Project’s design, implementation, and results.

These guidelines are dynamic and flexible, as they can be adapted to participants’ context and profiles. They will be applied on a one-on-one basis and in a suitable atmosphere; and interviewees will be asked if they consent to be recorded.

IDENTIFICATION

Entity	
Current position	
Date of hire with entity	
Date of interview	

PRESENTATION

The objective of this study is analyzing aspects related to the NIWS Project’s design, implementation, and results. In particular, it will examine the NIWS Project’s performance, strengths, and difficulties identified during implementation.

I: Good morning/evening. The objective of this interview is to know your opinions about the NIWS Project’s performance and receive your suggestions on possible improvements.

Before starting I would like to ask if you consent to being interviewed and recorded to avoid losing valuable information that you may provide. If you do, I would appreciate your signing the consent form we have prepared. [Send or give consent form to interviewee. In virtual interviews, read the informed consent document]

SECTION I. INTRODUCTION

16. What are your duties within the entity where you work? What are your main activities?
17. What do you know about the NIWS Project (concept, objectives, results)? What are your main activities in the framework of the NIWS Project?

SECTION II. RELEVANCE

I: The objective of this section is identifying to what extent the intervention’s objectives and design respond to the needs and priorities for promoting NI in Peru, as proposed by stakeholders.

1. In your opinion, are the NIWS Project’s objectives and activities geared to scale up natural infrastructure investments in Peru? Why? [Show annex enlisting the Project’s objectives and activities]
2. How has gender equality been incorporated into the NIWS Project’s development?

SECTION III. EFFECTIVENESS

I: The objective of this section is identifying the degree of compliance with the Project's objectives; the main results attained; and the factors that facilitated or hindered compliance with the results.

3. In your opinion, what are the Project's main results so far? Especially concerning:
 - **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda (objective 1).
 - **Improved information generation/management** and contribution to decision-making (objective 2).
 - **Mobilization of public and private funds** for NI design, financing, and implementation (objective 3).
 - **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).
4. Regarding the products (information, processes, mechanisms, tools, capacities, approaches, and technical assistance) generated and/or channeled by the Project:
 - 6.1 What products has the Project generated/channeled as a contribution to your entity?
 - 6.2 How have the Project's partners used these products in NI-related decision-making?
 - 6.3 From your perspective, how did they appropriate these products channeled by the Project?
5. From your perspective, to what extent has the mobilization of resources (financial and other) for natural infrastructure increased due to the NIWS Project's influence?
6. Considering the progress so far, in your opinion which results should be prioritized over the NIWS Project's remaining lifespan?

SECCIÓN IV. SOSTENIBILIDAD

I: The objective of this section is looking into the continuity of results and benefits generated under the Project, both during its lifespan and beyond completion.

7. From your perspective, do you consider that benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of such benefits? [*The benefits from the Project are: (i) enhanced water security and (ii) greater resilience to climate change*]
8. From your perspective, do you consider that gender-related benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of gender equality promoted by the Project?
9. Which activities are being consolidated in your entity to secure sustainability of the Project's results over time?

Results:

- **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda (objective 1).
- **Improved information generation/management** and contribution to decision-making (objective 2).

- **Mobilization of public and private funds** for NI design, financing and implementation (objective 3).
- **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).

[If the performance of Project partners is not mentioned as a contextual factor in the previous question, the interviewer will ask the following one:]

- I0.** In your opinion, to what extent is your entity capable (i.e., technical capacities, financial resources, appropriation) to continue implementing activities that can contribute to attaining the results envisaged?

SECTION V. INVESTMENT PROJECTS

I: The objective of this section is inquiring about the Project's processes at each stage of the investment projects; and identifying possible bottlenecks and opportunities for improving processes.

I: We will now ask some questions about investment projects you may have formulated or executed.

Design and formulation

- I1.** How was the initiative to implement NI investment projects born? What is the process of designing and formulating NI investment projects?
- I2.** Do you consider that the studies provide an appropriate characterization of the required NI projects?

Financing

- I3.** What are the main steps to obtain financing? Are they applied correctly and within the maturities envisaged?

Execution

- I4.** What is the process of executing NI investment projects?
- I5.** What are the challenges during the execution of an NI investment project? [*For example, disagreements with contractors, noncompliance with agreements, etc.*] How are they resolved?
- I6.** Is community participation required? How are workers selected?
- I7.** At which stages of the project do women participate? What activities do they perform?

Follow-up and evaluation

- I8.** What is the current state of NI investment project's infrastructure? Are there any limitations to the operation of the NI project?
- I9.** In general, what follow-up activities do the entities responsible for NI project interventions perform? What information sources and verification means do they use? What indicators do they report? With what frequency?

Sustainability

- 20.** From your perspective, do you consider that benefits generated by the Project will continue after its completion?

SECCIÓN VI. LESSONS LEARNED AND RECOMMENDATIONS

I: The objective of this section is identifying lessons learned and specific recommendations related to the NIWS Project's design and execution that may contribute to improving its performance.

21. In your opinion, which are the main lessons from the NIWS Project's design and compliance with results and objectives?

22. What recommendations would you provide to improve the Project?

INTERVIEW GUIDELINES – GENERATORS AND DISSEMINATORS OF INVESTMENT INFORMATION

Approximate duration: 1 hour

TARGET PUBLIC AND APPLICATION METHODOLOGY

Interview guidelines are intended for NIWS Project implementers. The objective of this interview is gathering information on the Natural Infrastructure for Water Security (NIWS) Project's interventions in Peru. Along these lines, this tool seeks to gather key actors' perceptions, opinions, and experiences on the NIWS Project's design, implementation, and results.

These guidelines are dynamic and flexible, as they can be adapted to participants' context and profiles. They will be applied on a one-on-one basis and in a suitable atmosphere; and interviewees will be asked if they consent to be recorded.

IDENTIFICATION

Entity	
Current position	
Date of hire with entity	
Date of interview	

PRESENTATION

The objective of this study is analyzing aspects related to the NIWS Project's design, implementation, and results. In particular, it will examine the NIWS Project's performance, strengths, and difficulties identified during implementation.

I: Good morning/evening. The objective of this interview is to know your opinions about the NIWS Project's performance and receive your suggestions on possible improvements.

Before starting I would like to ask if you consent to being interviewed and recorded to avoid losing valuable information that you may provide. If you do, I would appreciate your signing the consent form we have prepared. [Send or give consent form to interviewee. In virtual interviews, read the informed consent document]

SECTION I. INTRODUCTION

1. What are your duties within the entity where you work? What are your main activities?
2. What do you know about the NIWS Project (concept, objectives, results)? What are your main activities in the framework of the NIWS Project?

SECTION II. RELEVANCE

I: The objective of this section is identifying to what extent the intervention's objectives and design respond to the needs, policies, and priorities proposed.

3. In your opinion, are the NIWS Project's objectives and activities geared to scale up natural infrastructure investments in Peru? Why? [Show annex enlisting the Project's objectives and activities]
4. How has gender equality been incorporated into the NIWS Project's development?

SECCIÓN III. EFICACIA

I: The objective of this section is identifying the degree of compliance with the Project's objectives; the main results attained; and the factors that facilitated or hindered compliance with the results.

23. In your opinion, what are the Project's main results so far? Especially concerning:

- **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda (objective 1).
- **Improved information generation/management** and contribution to decision-making (objective 2).
- **Mobilization of public and private funds** for NI design, financing, and implementation (objective 3).
- **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).

5. Regarding the products (information, processes, mechanisms, tools, capacities, approaches, and technical assistance) generated and/or channeled by the Project:

6.1 What products has the Project generated/channeled as a contribution to your entity?

6.2 How have the Project's partners used these products in NI-related decision-making?

6.3 From your perspective, how did they appropriate these products channeled by the Project?

6. From your perspective, to what extent has the mobilization of resources (financial and other) for natural infrastructure increased due to the NIWS Project's influence?

7. Considering the progress so far, in your opinion which results should be prioritized over the NIWS Project's remaining lifespan?

SECCIÓN IV. SOSTENIBILIDAD

I: The objective of this section is looking into the continuity of results and benefits generated under the Project, both during its lifespan and beyond completion.

8. From your perspective, do you consider that benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of such benefits?

9. From your perspective, do you consider that gender-related benefits generated by the Project will continue after its completion? Which results do you consider the most relevant for ensuring continuity of gender equality promoted by the Project?

10. Which activities are being consolidated in your entity to secure sustainability of the Project's results over time?

Results:

- **Sensitization** of the main stakeholders interested in NI investments; generation of political will to enhance NI investment; and the Peruvian Government's support for NI inclusion in the political agenda (objective 1).
- **Improved information generation/management** and contribution to decision-making (objective 2).
- **Mobilization of public and private funds** for NI design, financing, and implementation (objective 3).

- **Promotion of gender equality** in water resource and natural infrastructure management; and its contribution to gender equality (crosscutting objective).

[If the entity's capacities are not mentioned in the previous question, the interviewer will ask the following one:]

11. In your opinion, to what extent is your entity capable (i.e., technical capacities, financial resources, appropriation) to continue implementing activities that can contribute to attaining the results envisaged?

SECCIÓN VI. LESSONS LEARNED AND RECOMMENDATIONS

I: The objective of this section is identifying lessons learned and specific recommendations related to the NIWS Project's design and execution that may contribute to improving its performance.

- 12.** In your opinion, which are the main lessons from the NIWS Project's design and compliance with results and objectives?
- 13.** What recommendations would you provide to improve the Project?

INTERVIEW GUIDELINES – BENEFICIARIES (RURAL COMMUNITY)

Approximate duration: 1 hour and 30 minutes

TARGET PUBLIC AND APPLICATION METHODOLOGY

Interview guidelines are intended for NIWS Project implementers. The objective of this interview is gathering information on the Natural Infrastructure for Water Security (NIWS) Project’s interventions in Peru. Along these lines, this tool seeks to gather key actors’ perceptions, opinions, and experiences on the NIWS Project’s design, implementation, and results.

These guidelines are dynamic and flexible, as they can be adapted to participants’ context and profiles. They will be applied on a one-on-one basis and in a suitable atmosphere; and interviewees will be asked if they consent to be recorded.

PRESENTATION

The objective of this study is analyzing aspects related to the NIWS Project’s design, implementation, and results. In particular, it will examine the NIWS Project’s performance, strengths, and difficulties identified during implementation.

I: Good morning/evening. The objective of this interview is to know your opinions about the NIWS Project’s performance and receive your suggestions on possible improvements.

Before starting I would like to ask if you consent to being interviewed and recorded to avoid losing valuable information that you may provide. If you do, I would appreciate your signing the consent form we have prepared. [Send or give consent form to interviewee. In virtual interviews, read the informed consent document]

SECTION I. INTRODUCTION

I: First, we would like to know a bit more about you. Please tell us your name, where you come from, and what is your main activity. *[Each participant will have a moment to introduce themselves]*

I: Before asking the following questions, I would like to know what, in your understanding, is Natural Infrastructure?

“Natural Infrastructure refers to natural spaces that preserve the functions of ecosystems. The latter provide ecosystem services like water regulation, control of soil erosion, and regulation of natural risks, among others.” (RM N° 258 – 2018 – MINAM)

1. To your best knowledge, which natural infrastructure projects for water security have been implemented in your area in recent years? *[Prepare a list, together with participants, indicating the projects, their type, when were they executed and by whom.]*
2. In your opinion, what infrastructure projects should be implemented or improved as a priority?

SECTION II. THE INVESTMENT PROJECT IN THE LOCALITY

I: Now we will ask some questions about the Project in the Milloc basin.

3. In your opinion, was the project being implemented in the Milloc basin beneficial? Why?
4. How would the same benefits have been obtained if the project had not been executed?
5. In general, how would you qualify the project implementation? Were there delays or difficulties in the project’s execution?

6. In your opinion, was the community informed prior to the project's implementation and later updated on the progress made?
7. How has the community participated in the project's design, implementation, and follow-up? How have women participated in the project?
8. In your opinion, has the project fully covered your expectations? Why?
9. Do you perform any follow-up activities to preserve the benefits obtained through natural infrastructure interventions? Is there an entity responsible for preserving these benefits?

SECTION III. THE NIWS PROJECT

10. What do you know about the NIWS Project?
11. If you know the NIWS Project, do you consider it has contributed to implementing the natural infrastructure project in the community? Why?
12. How do you think the NI project would have changed if it had been targeted directly to the beneficiaries?

ANNEX E: INTERVIEWS

In all, the study conducted twenty-nine virtual interviews to forty-eight key actors.⁸⁶ The following exhibit details the institutions making up the sample, the number of interviews conducted, and the number of participants.

Exhibit 33. Virtual interviews conducted.

Entities in the sample	N° of interviews	N° of participants
NIWS Project implementers		
Forest Trends	6	16
CONDESAN	2	4
SPDA	1	5
Investment and TEG managers		
Ministry of the Environment	3	3
Ministry of Housing, Construction, and Sanitation	1	1
Ministry of Agricultural Development and Irrigation	1	1
Ministry of Women and Vulnerable Populations	1	1
National Superintendence of Sanitation Services	2	4
National Water Authority	1	1
Investment formulators and implementers		
SEDAPAL	1	1
Reconstruction with Changes Authority	1	1
Regional Governments	2	2
SUNASS Decentralized Offices	2	2
Private company	1	1
Non-Governmental Organizations	2	3
Generators/disseminators of information for investment		
National Institute for Research in Glaciers and Mountain Ecosystems	1	1
National Agency for Meteorology and Hydrology	1	1
Total	29	48

Note. In all, 20 and 9 individual and virtual interviews, respectively, were conducted as part of the data gathering process. Around 42% of interviewees were women. Preparation: APOYO Consultoria.

⁸⁶ Cabe resaltar que las entrevistas virtuales fueron individuales o grupales en función a la convocatoria que realizaron los actores clave a sus equipos de trabajo según los objetivos de indagación.

ANNEX F: FIELD VISITS

The consulting team visited two rural communities (San Bartolomé and Carampoma) located in Lima's Chillón-Rímac-Lurín-Alto Mantaro (ChiRiLuMa) hydrographic basin. In all, sixty-six members of both communities participated.

Exhibit 34. Information gathering during field visits.

Community	Technique	N° of participants
San Bartolomé Rural Community (Day of visit: 05/01/2022)	Discussion meeting	58
	Individual interview	1
	Visit and observation	3 ^{1/}
Carampoma Rural Community (Day of visit: 05/02/2022)	Group interview	3
	Individual interview	1

1 / 1 The visit to, and observation of, the NI project (a plant nursery) included three NIWS Project team members; but they were not present during the discussion meeting and the interviews.

Preparation: APOYO Consultoría.

ANNEX G: RECOMMENDATION CO-CREATION WORKSHOP

The recommendation co-creation workshop was conducted on June 14 with the participation of twenty-five persons involved in NIWS Project implementation (Forest Trends, CONDESAN, SPDA), the consulting team, and the USAID-MELS team.

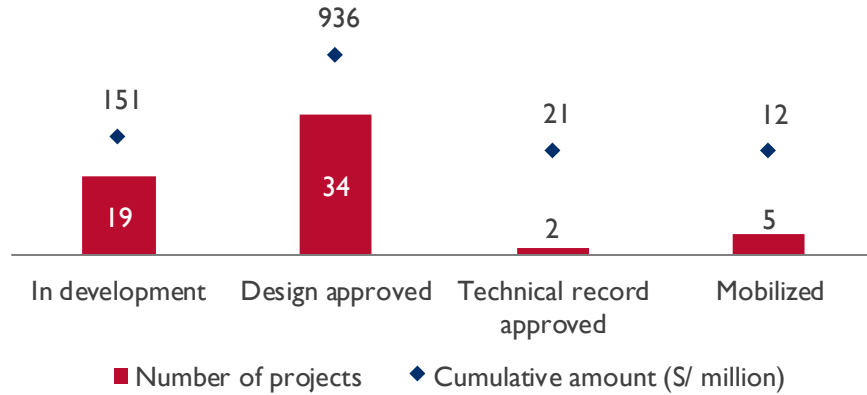
Exhibit 35, Participants in the recommendation co-creation workshop

N°	NAME AND SURNAME	ENTITY/ORGANIZATION	POSITION	GROUP
1		NIWS Project	FT – Lead, Integrated Solutions	3
2		USAID	Project Coordinator for USAID	3
3		APOYO Consultoría	Advisor	3
4		NIWS Project	CONDESAN – Research Lead for Regional Governments	1
5		APOYO Consultoría	Advisor	1
6		NIWS Project	FT – Lead, Communications	2
7		USAID	MEL – Environmental area	2
8		NIWS Project	FT – Chief of Party	1
9		NIWS Project	CONDESAN – Lead, Information for Decision-Making	2
10		APOYO Consultoría	Advisor	1
11		NIWS Project	FT – Deputy Chief of Party	2
12		APOYO Consultoría	Advisor	2
13		NIWS Project	SPDA – Lead, Enabling Conditions	1
14		MELS	Assessment Assistant	1
15		NIWS Project	FT – Lead, Crosscutting Issues	3
16		APOYO Consultoría	Advisor	2
17		Embassy of Canada	n/d	3
18		NIWS Project	FT – Lead, Sanitation	3
19		USAID	MEL – Programs Area	1
20		Canadian Embassy	n/d	1
21		APOYO Consultoría	Advisor	3
22		MELS	Responsible for the Assessment Component	3
23		NIWS Project	FT – Lead, Blended Finance	3
24		NIWS Project	FT – Technical Assistant	2
25		NIWS Project	CONDESAN	1

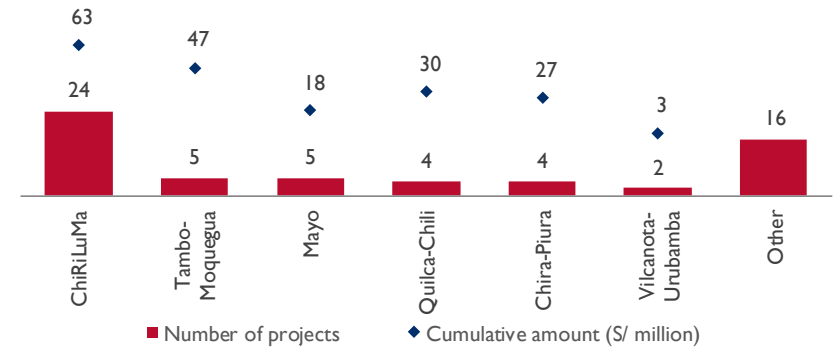
ANNEX H: CHARACTERISTICS OF INVESTMENT PROJECTS

Exhibit 36. Distribution of investment projects.

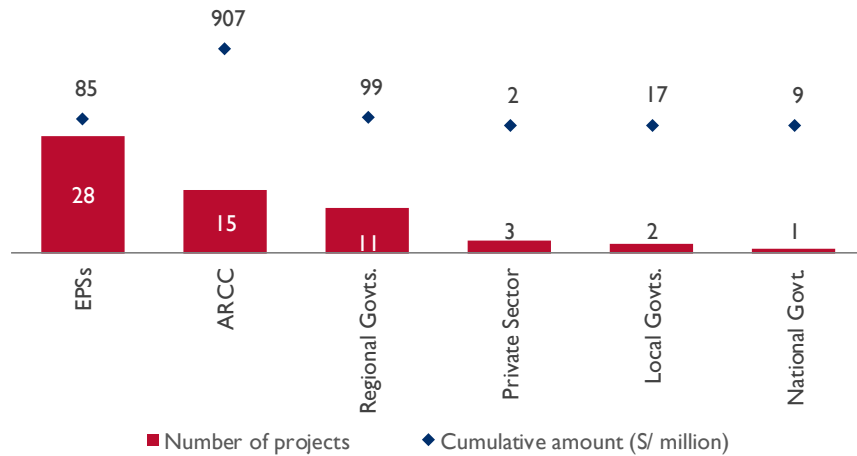
By state



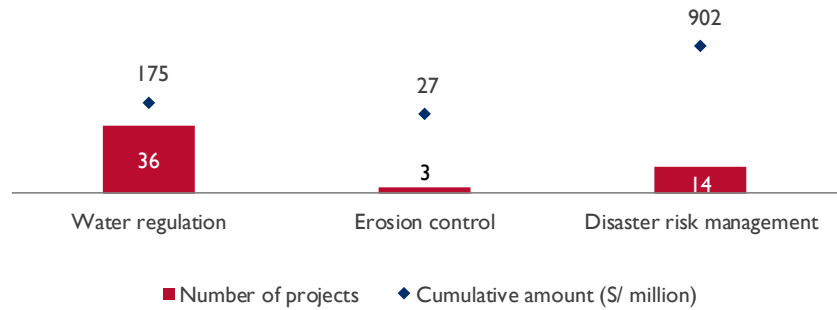
By intervened basin



By compensating entity



By type of ecosystem service



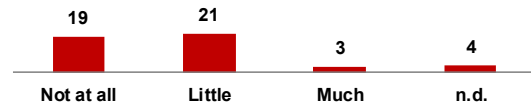
ANNEX I: FIELD SURVEY RESULTS

Exhibit 37. Results of survey conducted in the San Bartolome community.

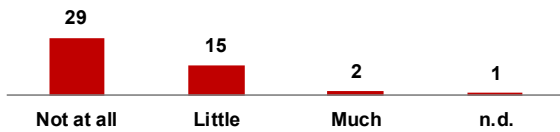
Question 1: Do you know the NIWS Project?



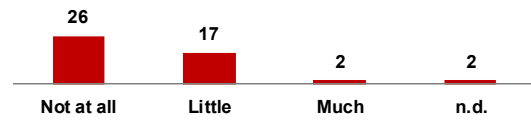
Question 2: In a scale from 1 to 3, how well do you know the SEDAPAL EPS?



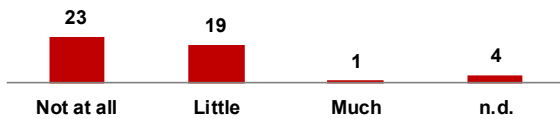
Question 3: In a scale from 1 to 3, how much has the community participated in the nursery's design?



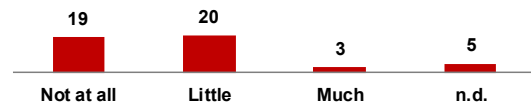
Question 4: In a scale from 1 to 3, how much has the community participated in the nursery's implementation?



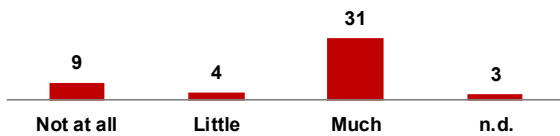
Question 5: In a scale from 1 to 3, how much has the community participated in the nursery's maintenance?



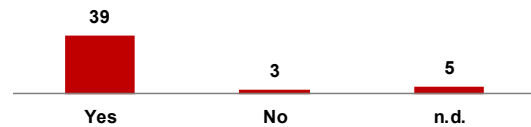
Question 6: In a scale from 1 to 3, to what extent have the community women been involved with the nursery project?



Question 7: In a scale from 1 to 3, to what extent has the nursery been beneficial?



Question 8: Is it in your interest to preserve the nursery in the future?



Source: Surveys conducted in the San Bartolomé community (47 surveys conducted).
Preparation: APOYO Consultoría

ANNEX J: CO-CREATION WORKSHOP RECOMMENDATIONS

OBJECTIVE I. CREATION OF A SUITABLE ENVIRONMENT FOR NI AND TEG

How to do it?	Who should do it?	When should it be done?
Generate a strategy to facilitate NI recognition despite high positions turnover within the public sector		
<ol style="list-style-type: none"> 1. The institutional structure of Peru’s main organizations should be strengthened. <ul style="list-style-type: none"> - Permanence of organization heads (SERFOR) to secure stability in entities related to environmental policy. 2. Continue promoting NI capacities. <ul style="list-style-type: none"> - Each entity should prioritize training of plant staff and permanent technicians (staff less likely to rotate). - Training of new professionals can be promoted by incorporating the NI specialist profile in SERVIR, thereby generating a higher demand for capacity building activities. 3. NI investment should be backed by the necessary legal instruments (governance). <ul style="list-style-type: none"> - NI should be included in management documents (e.g., POI) at the national, sectoral, and basin levels. - NI prioritization should be improved in each sector. Toward this end, the Government should 	<ol style="list-style-type: none"> 1. The NIWS Project may have an impact, depending on whether it is expanded. Other national entities like CEPLAN, CEPLAR, and MEF could contribute. At the local level, the newly elected authorities could also be considered. 2. The entity responsible for capacity building would be ENAP. Additionally, academia (Universidad Agraria, PUCP) may also contribute to capacity building. However, given the lower demand for these kinds of activities, it is unlikely that universities will agree to a co-financing arrangement. 3. Applies to actors mentioned in recommendation 1. 4. The NIWS Project (remaining lifespan) 	<ol style="list-style-type: none"> 1. It could be launched in 2023-I under the new subnational authorities, as long as the Project is not focused on closing. 2. Training of entities’ staff could start after consolidating information generated by the Project. Universities still cannot implement these activities, as demand is low, and therefore it is necessary to promote interest in them. 3. Peru’s National Water Resource Plan (September 2022) could be considered. 4. After consolidating information generated by the NIWS Project.

How to do it?	Who should do it?	When should it be done?
<p>act as cooperation counterpart (e.g., PCM, MEF).</p> <p>4. Adoption of tools designed by the Project can be promoted by institutionalizing them.</p> <ul style="list-style-type: none"> - Consolidate information generated by the Project on NI benefits, NI project implementation, and technical record formulation, among others. 		
<p>Design a sensitization strategy targeted specifically to Regional and Local Governments</p>		
<p>1. As Regional and Local Governments depend economically on national policies, it is necessary to begin MEF sensitization to promote NI inclusion and prioritization within the project portfolio.</p> <ul style="list-style-type: none"> - It is possible to consider an “avoided cost” strategy, i.e., convince MEF that NI project development can prevent higher costs due to lack of water security in the future. - Before designing strategies for each municipality, it is necessary to consider a diagnostic of their needs. In some municipalities gray infrastructure can be a priority in some municipalities, as the population may lack basic services (water and sanitation). <p>2. Along these lines, as a result from MEF sensitization, it could be possible to offer</p>	<p>1. The Project could approach MEF. However, authorities’ involvement in NI will depend on political will. This incidence could continue with other entities (e.g., MINAM) beyond the Project’s completion.</p> <ul style="list-style-type: none"> - The NIWS Project should consolidate evidence on NI benefits. <p>2. Applies to actors mentioned in recommendation 1.</p>	<p>1. Considering the Project’s envisaged duration, it cannot be responsible for MEF involvement, but could consolidate evidence to argue for the importance of NI at the end of the Project.</p> <p>2. Additionally, work on an incentives plan could be coordinated with the new authorities.</p>

How to do it?	Who should do it?	When should it be done?
<p>incentives (incentives plan) to Regional and Local Governments for NI project execution.</p>		
<p>Design an outreach or territorial presence strategy to involve communities across all NI project stages</p>		
<ol style="list-style-type: none"> 1. It is necessary to design a regulatory framework for involving communities in NI project execution. Multiple challenges remain in this respect. 2. At the community level, the strategy must consider conducting a diagnostic (phase 0) of communities and linking public investment to the communities' main activities (negotiation plans) <ul style="list-style-type: none"> - It can be envisaged to dedicate additional funds to communities' socioeconomic productive activities (in tandem with the PIP), so they can see benefits in the short run while the PIPs of NI projects are formulated. 	<ol style="list-style-type: none"> 1. In the short run, the NIWS Project cannot take charge. As there are no specific Government entities in charge of the matter, it could be assigned to MIDIS (the entity responsible for development issues). 2. Diagnostics could be performed by NI project implementers, although they could find difficulties in incorporating these guidelines into the ToCs of those already tendered 	<ol style="list-style-type: none"> 1. Given the Project's remaining lifespan, it cannot be implemented. 2. It could be incorporated into NI projects about to be launched; and could serve to guide future projects.

OBJECTIVE 2. TOOL DEVELOPMENT AND TECHNICAL ASSISTANCE

How to do it?	Who should do it?	When should it be done?
Complement efforts to generate knowledge with continuous communications campaigns		
<ol style="list-style-type: none"> 1. Necessary tools/capacities to expedite execution. <ul style="list-style-type: none"> - Technical specifications - Monitoring protocols 2. Adaptive management: <ol style="list-style-type: none"> 1. M&E systems (social and eco-hydrological) 2. Learn about, and improve, management tools and instruments 	<ol style="list-style-type: none"> 1. Audience: project managers (EPSs, Regional Governments, ARCC, advisors). 2. Not discussed. 	<ol style="list-style-type: none"> 1. Short term (2022 – 2023) 2. Medium term (2023)

OBJECTIVE 3. NI PROJECT DESIGN AND IMPLEMENTATION

How to do it?	Who should do it?	When should it be done?
Expedite physical execution of projects with mobilized funds		
<ol style="list-style-type: none"> 1. Strengthen technical accompaniment for projects' physical execution. <ul style="list-style-type: none"> - Analysis on how to be more efficient in contracting. - Strengthen NI-GRD-related investment management capacities, as well as instruments for NI-GRD project contracting, physical execution, and functioning. 	<ul style="list-style-type: none"> ▪ NIWS Project 	<ul style="list-style-type: none"> ▪ Short term: identify a group of projects that can be implemented in the short run (ARCC, sanitation, Oxl)

-
2. Institutionalization of NI-GRD project formulation, execution, and functioning through the competent authorities.
-

CROSSCUTTING OBJECTIVE. GENDER MAINSTREAMING

How to do it?	Who should do it?	When should it be done?
Continue and strengthen the design of a specific TEG strategy for reaching out to ANA about stereotypes and barriers identified.		
1. Strengthen MIMP (enhance effectiveness and staffing)	Not discussed	Not discussed
Strengthen TEG promotion strategies with a view to effective implementation within communities.		
1. Clarify TEG implementation in communities.	Not discussed	Not discussed
2. Gender strategy and plan for each project <ul style="list-style-type: none"> - Design of NI actions: training, technical assistance 		
3. TEG: <ul style="list-style-type: none"> - Publish, disseminate, and apply TEG guidelines for PIP – IN. - Promote TEG guidelines for MERESE (SUNASS), to be prioritized by EPSs. 		
4. Review implementation experiences to draw lessons and improve instruments.		

ANNEX K: CONFLICT OF INTEREST DECLARATION

Disclosure of Real or Potential Conflict of Interest for USAID MELS

Instructions:

Peru MELS of USAID project will be undertaken so that they are not subject to the perception or reality of biased measurement or reporting due to conflict of interest¹. For external evaluations, all evaluation team members will provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest relative to the project being evaluated².

MELS of USAID have a responsibility to maintain independence so that opinions, conclusions, judgments, and recommendations will be impartial and will be viewed as impartial by third parties. Evaluators and evaluation team members are to disclose all relevant facts regarding real or potential conflicts of interest that could lead reasonable third parties with knowledge of the relevant facts and circumstances to conclude that the evaluator or evaluation team member is not able to maintain independence and, thus, is not capable of exercising objective and impartial judgment on all issues associated with conducting and reporting the work. Operating Unit leadership, in close consultation with the Contracting Officer, will determine whether the real or potential conflict of interest is one that should disqualify an individual from the evaluation team or require recusal by that individual from evaluating certain aspects of the project(s).

In addition, if evaluation team members gain access to proprietary information of other companies in the process of conducting the evaluation, then they must agree with the other companies 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 furnished³.

Real or potential conflicts of interest may include, but are not limited to:

1. Immediate family or 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/material 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/material 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.

¹ USAID Evaluation Policy (p. 8); USAID Contract Information Bulletin 99-17; and Federal Acquisition Regulations (FAR) Part 9.5, Organizational Conflicts of Interest, and Subpart 3.10, Contractor Code of Business Ethics and Conduct.

² USAID Evaluation Policy (p. 11)


³ FAR 9.505-4(b)

RAÚL ANDRADE – TEAM LEADER

Disclosure of Conflict of Interest for USAID MELS Team Members

Name	Raúl Andrade
Title	Project Manager
Organization	APOYO Consultoría
Evaluation Position?	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team Member
Evaluation Award Number (contract or other instrument)	S-21-1019-001-001-Apoyo-01
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Natural Infrastructure for Water Sustainability
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 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	January 11, 2022

GUSTAVO SOLANO – ENVIRONMENT AND NATURAL INFRASTRUCTURE SPECIALIST

Disclosure of Conflict of Interest for USAID MELS Team Members

Name	Gustavo Solano
Title	Natural infrastructure specialist
Organization	APOYO Consultoría S.A.C
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	S-21-1019-001-001-Apoyo-01
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS) The Natural Infrastructure for Water Security Project (NIWS)
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> 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. 	

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Signature	
Date	January 12, 2022

GABRIELA LÓPEZ – PARTICIPATORY ECOSYSTEM MANAGEMENT; PROJECT EVALUATION AND SYSTEMATIZATION SPECIALIST

Disclosure of Conflict of Interest for USAID MELs Team Members

Name	Gabriela López Sotomayor
Title	Participatory management of ecosystems, evaluation and project systematization specialist
Organization	APOYO Consultoría S.A.C
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	S-21-1019-001-001-Apoyo-01
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS) The Natural Infrastructure for Water Security Project (NIWS)
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Signature	
Date	January 12, 2022

CRISTINA GLAVE – EVALUATION SPECIALIST

Disclosure of Conflict of Interest for USAID MELs Team Members

Name	Cristina Glave Barrantes
Title	Evaluation specialist
Organization	APOYO Consultoría S.A.C
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	S-21-1019-001-Apoyo-01
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS) The Natural Infrastructure for Water Security Project (NIWS)
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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Signature	
Date	January 11, 2022

MARÍA FERNANDA DELGADO – RESEARCH ASSISTANT

Disclosure of Conflict of Interest for USAID MELs Team Members

Name	María Fernanda Delgado Alva
Title	Research assistant
Organization	APOYO Consultoría S.A.C
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	S-21-1019-001-001-Apoyo-01
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS) The Natural Infrastructure for Water Security Project (NIWS)
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Signature	
Date	January 11, 2022

DIANA CASTAÑEDA – RESEARCH ASSISTANT

Disclosure of Conflict of Interest for USAID MELs Team Members

Name	Diana Andrea Castañeda Aliaga
Title	Research assistant
Organization	APOYO Consultoría S.A.C
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number (contract or other instrument)	S-21-1019-001-001-Apoyo-01
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	USAID/Peru Monitoring, Evaluation, and Learning for Sustainability (MELS) The Natural Infrastructure for Water Security Project (NIWS)
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