Evaluation of EU’s Cooperation with Bolivia
Final Report
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Consortium composed by
GFA Consulting Group GmbH, SEE - Société d'Etudes et d'Évaluations, Euréval SAS and
SIPU International AB
Leader of the Consortium: GFA Consulting Group GmbH
Contact Person: Moritz Lörcher
Moritz.Loercher@gfa-group.de

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Evaluation of the EU’s cooperation with Bolivia

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Authors / Evaluation Team
Carlos Calcopietro (Team Leader), Lida Patricia Rodríguez Ballesteros,
Thomas Otter, Diego Giacoman, Javier Gómez, Rita Gutiérrez Agramont,
Moritz Lörcher

The opinions expressed in this document represent the authors’ points of view
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The approved and official version of the report is the Spanish one

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Evaluation of the European Union’s co-operation with Bolivia 2007-2012

Country Level Evaluation

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1. MANDATE AND OBJECTIVES

Systematic and timely evaluation of its programmes and activities is a priority of the European Commission including legislation and other non-spending activities. Evaluation is key to account for the management of the allocated funds, for informing the decision making process and for promoting a lesson-learning culture throughout the organisation.

Of great importance is the focus on the outcomes and impact of European Union (EU) actions in the context of its evolving cooperation policy with an increasing emphasis on result-oriented approaches.

The evaluation of the European Union's co-operation with Bolivia is part of the 2013 evaluation programme as approved by the Development Commissioner.

The main objectives of the evaluation are:
- to provide the relevant external co-operation services of the European Union and the wider public with an overall independent assessment of the European Union's past and current cooperation and partnership relations with Bolivia
- to identify key lessons and to produce recommendations in order to mainly improve the current and future European Union's strategies, programmes and actions.

Therefore, the guiding question is to which extend the overall cooperation of the EU with Bolivia contributes to a change in the country’s development and to the welfare of its population while taking into account the political priorities defined by the country itself.

2. BACKGROUND

2.1. Context

Bolivia is a landlocked country located in the heart of South America (bordered by Brazil, Paraguay, Argentina, Chile and Peru). The historic capital is Sucre but the seat of government was changed to La Paz in 1898. The country is divided into 9 departments and 327 municipalities in which also original indigenous territories are recognised, all of these administrative units with different levels of autonomy in front of the central government. The new Political Constitution, approved in 2009, establishes Bolivia as a Plurinational State ruled by a presidential democracy with free elections, a two-chamber system, independence of powers and religious freedom.

The Bolivian population is estimated at 10 million and has a multi-ethnic composition. More than 50% of its population declare themselves as belonging to Aymara, Quechua, Guarani or other indigenous ethnicities while the Mestizos, mostly descendants from Europeans, form the other important group. The main language spoken is Spanish, although the Quechua, Aymara and Guarani languages are also common and all 4, as well as 34 other indigenous languages, are official.

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2 SEC(2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation"
3 COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"
Despite its wide held image, only one third of the country belongs to Andean highlands where several mountains above 6000 meters form the enormous Altiplano valley with an altitude of around 4000 meters. Two thirds of Bolivia’s 1 million square kilometres belong to the Brazilian shield (East), the Amazon basin (North) and the Chaco (South).

Its geography is highly variable, containing all major ecosystems and counting on immense natural resources and biodiversity. Bolivia has gained global attention for its “Law of the Rights of Mother Earth”, one of the unique laws in the world that accord nature the same rights as humans. The Andean Region of South America, was colonised by the Spanish empire from 1520. In 1825, the country reached independence and was named after liberator Simon Bolivar. Since independence and until national revolution in 1952, Bolivia was ruled by unstable and quickly changing republican governments which lost half of its territory in wars to Brazil, Chile and Paraguay.

Bolivia has been historically characterised by unstable governments usually accompanied by high degrees of social unrest, including the forced resignation of the last 2 presidents (Sanchez de Lozada 2003, Mesa Gisbert 2006). The overwhelming victory of former coca leaf producer Evo Morales party MAS (Movimiento al Socialismo) in December 2006 elections (54%) gave start to a profound “re-foundation of the State”. The Republic was renamed as Plurinational State of Bolivia and a series of structural changes took place (e.g. constitutional assembly 2009, regional autonomies, judicial elections), a turning back from former neo-liberal economic policies (nationalization of hydrocarbons and mining industries, subsidy based social policies, promotion of public investment), reorientation of external policies (close partnership with Venezuela and Cuba, expulsion of American ambassador 2008, withdrawal from 1961 Single Convention on Drugs), etc.

Bolivia is considered a medium-low income country with a yearly income per capita of approximately 2,300 dollars. While poverty and income inequality are still high, progress has been made to improve social inclusion and income distribution, as cash transfer programmes have been successful in reducing extreme poverty from about 38.2 per cent in 2005 to 24.3 per cent in 2011. The country has maintained strong performance in recent years with GDP growth consistently around 5% for the last 7 years. Real GDP grew 5.2 per cent in 2012 reflecting strong gas exports and public spending. This, plus lower international food prices, helped lower inflation to 4.5 per cent at end-2012. The current account surplus rose to 7.5 per cent of GDP in 2012, reflecting higher gas exports and a slowdown in imports. While net international reserves stood at almost US$14 billion (52 per cent of GDP), thus reducing macroeconomic vulnerability. Traditionally, Bolivia’s main drivers of economic growth have been hydrocarbons (mainly natural gas), minerals (tin, zinc, silver) and agriculture (soybeans, sunflowers, Brazil nuts, timber). Since 2008, construction, the financial sector, and real estate, have contributed to growth as savings were reduced and current consumption increased, mainly due to an unfavourable savings environment (negative real interest rates).

Finally, it is to mention that there are “rare earths” in Bolivia. The Bolivians want to process them further on their own.

2.2. Relations with the EU

Relations between the EU and Bolivia are conducted both bilaterally and also in the framework of regional cooperation between the EU and the Andean Community. These relations are governed by the regional Framework Cooperation Agreement of 1995, updated and strengthened with the regional Political Dialogue and Cooperation Agreement. In September 2011, an informal mechanism of High Level Policy Dialogue, which comprises political and economic discussions, was launched in La Paz, and its second edition of this annual High-Level Dialogue took place in Brussels in November 2012.
The EU’s priorities in Bolivia are to accompany the political transition process of democratization and rule of law, to support the fight against drug production and trafficking, to guarantee the access to drinking water and sanitation systems and to foster economically sustainable development.

The EU is Bolivia’s fifth main trade partner (626 M€ in 2010), and Bolivia enjoys privileged market access to the EU through the GSP plus Scheme. Between 2006 and 2011, European investments in Bolivia were more than 2 BS and concentrated in mining and hydrocarbons. European investments came from Spain, France, the Netherlands and UK. In 2011, European investments accounted for 65% of the total FDI in Bolivia, totalling a gross FDI of 666 MS.

The EU has delivered strong support to Bolivia’s democracy through election observation and assistance, demarches and by accompanying the national dialogue process that led to the new Constitution of 2009. Part of this support has been undertaken under the Instrument for Stability (IIS). Bolivia was selected in 2010 as the only "pilot country for democracy" in Latin America and a case study for what the “Council Conclusions on Democracy Support towards Increased Coherence and Efficiency” and the Agenda for Action (adopted on 18 November 2009) foresee.

2.3. Overview of the Cooperation EU/Bolivia

The cooperation between the EU and Bolivia comprise 4 different levels: the national level, the regional level (Andean Community), the continental level (Latin America) and thematic budget lines managed by the HQ of the EU.

Cooperation activities trace back to the 70s but have very much changed over time while the amount of aid has substantially increased. Until 1995 when a Delegation of the EC was established in La Paz, the activities were managed from Caracas (Venezuela) and later on from Lima (Peru).

In the recent past, the main features to recall are the evolution towards sector approaches, notably through sector budget support and relevant institutional capacity building, along with the stepping up of the Political Dialogue, both at national and regional level.

2.3.1. Legal framework of the EC cooperation with Bolivia

The 2007-2012 European cooperation with Bolivia is governed mainly by:

- the Treaty of the European Community (Articles 177,179 and 181);
- the regulation 1905/2006 “Financing instrument for development cooperation”;
- the European Consensus on development (2006);
- the EC communication: “a stronger partnership between the European Union and Latin America” (COM (2005)636);
- EU-Latin America/Caribbean (EU- LAC) Summits and related Declarations;
- EU-CAN (Andean community) political dialogue and cooperation agreement.
2.3.2. Cooperation at national level - Focal sectors during the period 2007-2013

Bolivia is the largest recipient of EU bilateral development cooperation in Latin America. This main aim is to reduce poverty. The total amount initially devoted to Bolivia for 2007-2013 was 234M€ and the three core areas of EU involvement are:

- the creation of economic opportunities through decent work (41%);
- the fight against illicit drug production and trafficking (Bolivia is the world's third producer of coca leaf)(33,5%);
- the sustainable management of resources (25,5%): actions relating to supply of drinking water and sanitation, efforts to combat global warming, protection of biodiversity and management of national parks.

These cooperation areas are set out in the EU’s Country Strategy Paper and were extended in the Mid-term Review. The EU has also been very active in the field of food security. Since 1997 and under the Food Security Thematic Programme, the EU has contributed with 124 M€ to strengthen Bolivia's capabilities in this field.

At the occasion of the Mid Term Review, it was observed that the implementation has been slower than expected. There were problems of implementation in focal area 1 (creation of economic opportunities) attributable to a high degree to the institutional weakness in the sector. It was been decided to shift funds to the other focal areas. An additional amount of 15M€ was devoted to Bolivia.

During the preceding programing period (2002-2006), the European Commission provided funds for fair access to social services (35%), food security and alternative rural development (15%), economic cooperation (5%) and transport infrastructure (45%). The main projects were PRAS-Pando and PRAS Santa Cruz (Water and Sanitation), APEMIN II (Economic Development - Mining areas) and FONADAL (Alternative Development) and the road construction project Santa Cruz – Puerto Suarez.

2.3.3. Cooperation at regional level

EU development funding for the Andean Community began in the 1970's, mainly to support regional economic integration (40%), social and economic cohesion (40%) and drug control (20%).

Bolivia participates in all sub-regional projects of the Andean Community (CAN). For 2007/2013, 50 M€ is allocated for sub-regional cooperation with the CAN.

During the preceding programing period (2002-2006), the EU provided funds for disaster prevention (17,2%), standardizing statistical systems (31,5%), technical assistance for trade (27%), involving civil society in the integration process (16,5%) and preventing synthetic drug abuse (8%).

2.3.4. Cooperation at continental level

Following the Guadalajara (2004) and Vienna (2006) declarations key identified priorities are Social cohesion, multilateralism and regional integration.

Several programmes were funded: EUROsociAL regional programme for social cohesion, OBREAL Observatory of relations between Europe and Latin America, EUROsolar, Euroclima, Urban - Urban policy co-ordination, AL-Invest enhancing commerce between SME, ALIS alliance for information society, ALFA Latin America academic training, RALCEA, twinning and technical interchanges in the field of water management, ERASMUS Mundus, ALBAN EU programme for High level scholarships for Latin America.

2.3.5. Budget lines and Crosscutting Issues

Development co-operation under thematic budget lines is an important part of on-going co-operation (about 27M €) covering different sectors: support to Human rights, food security, the environment, health, gender equality and decentralized cooperation, and it co-finances projects with Civil Society Organisations.
In terms of cross cutting issues first of all it has to be recalled that the European Consensus contains a specific chapter on mainstreaming cross-cutting issues; special reference is made to the promotion of Human rights, gender equality, democracy, good governance, children's rights, the rights of indigenous people, conflict prevention, environmental sustainability and combating HIV/AIDS. All of them are directly or indirectly addressed within the 2007-2013 CSP.

2.3.6. Instrument for Stability (IFS)

Under the IFS, 2 programmes have been carried out for a total EU contribution of 5 M€:

- Comprehensive study on the Legal Demand of the Coca Leaf in Bolivia;
- Promotion of Political Dialogue and Effective Democratic Institutions in Bolivia.

A new € 4 million programme is currently underway addressing socio-political conflict in the country. Projects took off between November and December 2012. One of the axes addresses access to Justice and independence of Justice. This axe is considered a pilot project for the Justice intervention in the 2014-2020 EU programmes in Bolivia.

2.3.7. Food Security – PASA

The EU has been supporting Food Security in Bolivia since 1997 within the framework of regulation N°1292/1996 o, Food Aid and the operations of support to food security. The actions supporting Food Security have been implemented under two decisions which derived in 5 protocols (PASA 1: 80 M€ - PASA 2: 34 M€). Under the Food Facility, a € 11 million sector budget support program has been ongoing until 2012.

2.4. An Evaluation of the EU cooperation with Bolivia (1996-2005) has been conducted in the year 2006. All the related reports are on the website of the Evaluation Unit:

http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/

2.5. More information on the relations and cooperation with Bolivia can be found on the website of EU Delegation in Bolivia and on the websites of DEVCO and EEAS

3. SCOPE

3.1. Legal, temporal and thematic scope

3.1.1. Legal scope

The overall engagement with Bolivia should be taken into consideration including agreements, the cooperation framework, political dialogue and any other official commitments. This concerns notably: Non-States Actors and Local Authorities (NSA), DCI, EIDHR, IIS and thematic programmes (ENRTP/environment and climate change, Food Security).

Changes in the European Union institutional set-up with the creation the European External Action Service (EEAS) should be taken into account.
3.1.2. Temporal scope and evaluation criteria

The evaluation covers the European Union's co-operation strategy with the country and its implementation during the period 2007-2012.

The evaluation will assess:

- the relevance and coherence\(^4\) of the European Union’s co-operation strategies for the period 2007-2013;
- the implementation of the European Union’s co-operation, focusing on impact, sustainability, effectiveness and efficiency for the period 2007-2012 and on intended effects for the period under the programming cycle 2007-2013;
- the consistency between programming and implementation;
- the value added\(^5\) of the European Union’s interventions (at both the strategic and implementation levels);
- the 3Cs: coordination and complementarity of the European Union's interventions with other donors' interventions (focusing on EU Member States); and coherence\(^6\) between the European Union’s interventions in the field of development cooperation and other European Union policies that are likely to affect the country.

3.1.3. Thematic scope

The evaluation should assess focal sectors and other important areas of European Union co-operation with the country.

The 3 main sectors of EU cooperation with the country are:

* The creation of economic opportunities through decent work;
* the fight against illicit drug production and trafficking;
* the sustainable management of natural resources (water, environment, watershed management)

In addition to the geographic instrument, the EU has the possibility of using its thematic instruments. In Bolivia, for the period 2007-2012 these include the Non-state Actors and Local Authorities, their aim being to promote the local economic development. The projects in this line do not result from a direct negotiation between a partner state and the EU but they are proposed by civil society organisations. The Evaluators should analyse the complementarity of this thematic instruments to the national cooperation programmes. It is also the case with the thematic line EIDHR as well as for funding from IFS.

At regional level, the main sectors of cooperation are the support to regional economic integration, the social and economic cohesion and the drug control.

Based on the evolving EU cooperation framework, political and policy dialogue should be taken into consideration.

\(^4\) For the definition of relevance and coherence as evaluation criterion see annex 5.
\(^5\) See annex 5.
\(^6\) This definition of coherence refers to its definition under the 3Cs (see annex 5).
The contractor should also consider whether the cross-cutting\(^7\) issues were taken into account in the programming documents and the extent to which they have been reflected in the implementation modalities.

Interventions funded by the European Commission Humanitarian Office (ECHO) and/or the European Investment Bank (EBI) are not part of the evaluation scope. However, coherence and complementarity between these interventions and the strategies evaluated must be examined and should be included in the conclusions and the recommendations.

Due to the fact that generation of decent work opportunities has been a major sector within the current cooperation framework and that it will not be a focal sector any more in the future framework 2014-2020, it is necessary that the evaluation looked at how recommendations in the area of Employment and Decent Work could be integrated in the future focal sectors. Some areas where the employment perspective could be considered are the “drugs” sector, e.g. promotion of alternative income generating opportunities targeting vulnerable groups, or interventions in areas such as agriculture, environment and rural development.

The Evaluators must evaluate the sector budget support operations. They will be guided by the Methodology for the evaluation of budget support operations as elaborated by the OECD/DAC Network on Development Evaluation in cooperation with the evaluation unit\(^8\).

For the focal sector 1 (creation of economic opportunities through decent work) and 2 (fight against illicit drug production and trafficking), only the Step One of the Methodology is to be conducted with a limited scope (EU funding only, limited number of key issues). The Step One covers the assessment of the inputs, direct outputs and induced outputs of budget support including the analysis of the causal relations between these three levels.

For the focal sector 3 (sustainable management of resources including water), the full BS methodology will be applied, taking also into account the Performance Assessment Framework (PAF) where existing. The assessment of this 3rd sector will be held jointly with SIDA, the Swedish cooperation, the other sole BS donor in this sector. To achieve this collaboration, the representative of the Swedish cooperation in Bolivia will be invited to each reference group meetings.

More details can be found on the Commission website:


In views of the envisaged joint programming exercise in 2016, it is also necessary that the evaluation reflects on the future relation between Commission/EEAS and MS cooperation. This could be done in the context of the standard EQ on coherence, complementarity and coordination.

4. METHODOLOGY AND DELIVERABLES

The overall methodological guidance to be used is available on the web page of the DG DEVCO Evaluation Unit under the following address:


The basic approach to the assignment consists of three main phases, which encompasses several methodological stages. Deliverables in the form of reports\(^9\) and slide presentations should be submitted at the end of the corresponding stages. The table below summarizes these links:

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\(^7\) Cross-cutting issues are those of the European Consensus on Development (Article 101): Human rights; Gender equality; Democracy; Good governance; Children's rights; Indigenous people's rights; Environment sustainability; Combating HIV/AIDS

\(^8\) Evaluating Budget Support – Methodological approach, OECD DAC Network on Development Evaluation
### Evaluation phases:

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<th>Methodological stages</th>
<th>Deliverables[^9]</th>
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<td>➤ Slide presentation&lt;br&gt;➤ Inception report</td>
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<tr>
<td></td>
<td>• Data collection&lt;br&gt;• Analysis</td>
<td>➤ Desk report</td>
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<td>2. <strong>Field phase</strong> (Mission in the country/region)</td>
<td>• Data collection&lt;br&gt;• Verification of the hypotheses</td>
<td>➤ Slide presentation</td>
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<tr>
<td>3. <strong>Synthesis phase</strong></td>
<td>• Analysis&lt;br&gt;• Judgements</td>
<td>➤ Draft final report&lt;br&gt;➤ Slide presentation adapted + minutes of the country/regional seminar&lt;br&gt;➤ Final report&lt;br&gt;➤ Quality control note</td>
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All reports will be written in English. Nevertheless, the draft final main report (presented during the seminar in Bolivia) and the final main report will be translated in Spanish. The reports must be written in Arial or Times New Roman minimum 11 and 12 respectively, single spacing. Inception and Desk reports will be delivered only electronically. The Draft Final and the Final report will also be delivered in hard copies. The Executive summaries in all languages required will be delivered separately in electronic form. The electronic versions of all documents need to be delivered in both editable and not editable format.

#### 4.1. The desk phase

The desk phase comprises two components: the Inception stage covering a presentation and the delivery of the Inception report and a second stage which ends with the production of the Desk report.

##### 4.1.1. Presentation of the Intervention Logic & Evaluation Questions (Inception meeting)

The assignment will start with the Team leader's mission to Brussels for a briefing session.

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[^9]: For each Report a draft version is to be presented. For all reports, the contractor may either accept or reject through a response sheet the comments provided by the Evaluation manager. In case of rejection the contractor must justify (in writing) the reasons for rejection. When the comment is accepted, a reference to the text in the report (where the relevant change has been made) has to be included in the response sheet.

[^10]: The contractors must provide, whenever requested and in any case at the end of the evaluation, the list of all document reviewed, data collected and databases built.
After that, the contractor shall prepare a *slide presentation* including logical diagram(s), the evaluation questions and when possible judgement criteria.

The main work consists in:

- Identifying and prioritizing the co-operation objectives as observed in relevant documents regarding the European Union’s co-operation with Bolivia and translate these specific objectives into intended results.
- Reconstructing the intervention logic of the EU in the framework of its co-operation with Bolivia. The reconstructed logic of the EU intervention will be shaped into one or more logical diagrams (objective/impact diagrams). The diagrams should be accompanied by a narrative explanation.
- Defining the Evaluation Questions. The logical diagram(s) will help to identify the main evaluation questions which are presented with explanatory comments.

More information on the main principles for drafting evaluation questions, on the evaluation criteria and key issues can be found in the annexes 5 and 6.

The contractor will carry out a preparatory visit to the field to discuss main issues with the EU Delegation and key beneficiaries. It may be carried out before drafting the diagrams and the evaluation questions or after the Inception meeting, in agreement (written ex-ante approval) with the Evaluation manager. This visit will not exceed one week. It will be quoted but the cost of the related inputs will not be eligible for payment if the visit does not take place. The related eligible costs will be revised if it is substantially modified (duration, number of experts etc.).

An inception meeting will be held with the reference group in Brussels to present via a *slide presentation*:

- The logical diagrams;
- The evaluation questions (and when possible, judgement criteria).

During that meeting an agreement on their content should be reached.

### 4.1.2. The Inception report

Taking into account the outcome of the Inception meeting, the contractor must deliver an *Inception report* which should contain the following elements:

- the national background/context (political, economic, social, etc.) and the cooperation context between the European Union and the partner country/region;
- a concise description of the European Union's cooperation rationale with Bolivia;
- the intervention logics (both faithful and logically reconstructed) of the European Union's cooperation with a narrative explanation;
- an inventory of spending and non-spending activities carried out by the EU during the period to be finalised in the desk report;
- the validated evaluation questions (upon validation by the Evaluation unit, the evaluation questions become contractually binding); a limited number of appropriate judgment criteria per evaluation question and a limited number of quantitative and/or qualitative indicators related to each judgment criterion;
- a proposal outlining suitable methods of collection and analysis of data and information, indicating any limitations;
- A detailed work plan for the next phases.

If necessary, the report will also suggest modifications to contractual provisions inter alia for the following points:

- the final composition of the evaluation team; and
• The final work plan and schedule.

4.1.3. The Desk report

Upon approval of the Inception report, the contractor will proceed to the last stage of the desk phase and will present a Desk report which should include at least the following elements:

• the agreed evaluation questions with judgement criteria and their corresponding quantitative and qualitative indicators;
• a first analysis and first elements of answer to each evaluation question and the assumptions to be tested in the field phase;
• Progress in the gathering of data. The complementary data required for analysis and for data collection during the field mission must be identified;
• the comprehensive list of EU activities finalised and a list of activities examined during the desk phase, bearing in mind that activities analysed in the desk phase must be representative;
• methodological design, including the evaluation tools to be applied in the field phase, and appropriate methods to analyse the information, indicating any limitations;
• a work plan for the field phase: a list with brief descriptions of activities for in-depth analysis in the field. The Evaluators must explain their representativeness and the value added of the planned visits.

The contractor will present and discuss the Desk report with the Reference group in a meeting in Brussels. The report will be finalised on the basis of the comments received.

The field mission cannot start without the authorisation of the Evaluation manager.

4.2. Field phase

The fieldwork shall be undertaken on the basis set out in the Desk report. The work plan and schedule of the mission will be agreed in advance (in principle at least three weeks before the mission starts). The duration of this mission will be one week.

If in the course of the fieldwork it appears necessary to substantially deviate from the agreed approach and/or schedule, the contractor must ask the approval of the Evaluation manager before any changes can be applied. At the conclusion of the field mission the contractor will present the preliminary findings of the evaluation:

(1) to the Delegation, during a de-briefing meeting; and
(2) to the Reference group in Brussels with the support of a slide presentation.

4.3. Synthesis phase

4.3.1. The Draft final report

The contractor will submit the Draft final report in conformity with the structure set out in annex 2. Comments received during de-briefing meetings with the Delegation and the Reference group must be taken into consideration.

The Draft final report will be discussed with the Reference group in Brussels.

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The representativeness must address the different dimensions (percentage of funds, sample size and choice – diversity, illustration of the chosen interventions ...).
Following the meeting with the Reference group, the contractor will make appropriate amendments to the Draft final report based on the consolidated comments sent by the Evaluation Manager.

4.3.2. The in-country seminar

The approved Draft final report will be presented at a seminar in La Paz, Bolivia using a slide presentation. The purpose of the seminar is to present the results, the conclusions and the preliminary recommendations of the evaluation to the national authorities, the Delegation and to all the main stakeholders (EU Member States, representatives of civil society organisations, other donors etc.). The seminar should be organized in March/April 2014.

For the seminar, 60 hard copies of the Spanish version of the main report (see annex 2 of the ToR) have to be produced and delivered to the EU Delegation (the exact number of reports and delivery date will be specified by the Evaluation manager). If the number in fine requested is different by at least 10%, the cost of the number requested will be eligible for payment. The electronic version of the report (including the annexes) will be provided to the Evaluation manager.

The contractor shall submit the minutes of the seminar. These minutes and the updated slide presentation will be included as an annex of the Final report. The seminar logistic aspects (room rental, catering etc.) may be contracted later, as part or not of the specific contract for the present evaluation. No such logistics costs are to be included in the offer.

4.3.3. The Final report

The contractor will prepare the Final report taking into account the comments expressed during the seminar. The Final report must be approved by the Evaluation manager before it is printed. The executive summary should be translated in Spanish and included into the Final main report. 50 hard copies of the Final main report (without annexes) as well as 2 copies of annexes must be sent to the Evaluation Unit. An electronic support (CD-ROM) should be added to each printed Final main report (PDF format). The Evaluation Unit will make a formal judgement on the quality of the evaluation in the "Quality Assessment Grid" (see annex 3) to be sent to the contractor before publication.

The final main report has also to be translated in Spanish and 30 hard copies of this report (without annexes) must be sent to the Evaluation Unit.

4.3.4. The Quality control note

The contractor shall submit a Quality control note explaining how quality control was addressed during the evaluation and how the Consortium has built on lessons learned from previous evaluations (maximum 5 pages).

5. RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION

The Evaluation Unit is responsible for the management and the supervision of the evaluation. The progress of the evaluation will be followed closely by a Reference Group consisting of members of all concerned services in the Commission and EEAS, as well as the EU Delegation in Bolivia and the Embassy of Bolivia in Belgium, under the Evaluation Unit’s chairmanship.

Its principal functions will be to:

- discuss draft reports produced by the evaluation team during meetings in Brussels;
- ensure the evaluation team has access to and consults all information sources and documentation on activities undertaken;
- discuss and comment on the quality of work done by the evaluation team;
- Provide feedback on the findings, conclusions and recommendations of the evaluation.
6 THE EVALUATION TEAM

The evaluation team as such is expected to possess expertise in:

- Evaluation methods and techniques in general\(^{13}\) and, if possible, of evaluation in the field of external relations and development cooperation.
- An experience in the country Bolivia will be an advantage;
- The following fields: Economic development (employment policies, private sector, small and medium enterprises, decent work), Security and drug issues, Sustainable Rural Development, Food Security, Water Resources Management including Water and sanitation services, Environment, Human Rights and Democracy, Education, Regional Integration. Expertise in trade and in alternatives to transformation of coca into drugs will be considered as an additional advantage;
- The following languages: English and Spanish (also fluently spoken).

The key skills are indicated in bold. In their absence, the 80 points threshold may not be reached.

It is expected that the team leader will be an expert of Category Senior.

The team composition should be justified and the team coordination should be clearly described. A breakdown of working days per expert should be provided.

Evaluators must be independent from the programmes/projects evaluated. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the Evaluation manager for further analysis and appropriate measures.

The team will have excellent writing and editing skills. The Contractor remains fully responsible for the quality of the report. Any report which does not meet the required quality will be rejected.

The Evaluation Unit strongly recommends that the evaluation team should include Consultants from the country or the region (notably, but not only, during the field phase) with an in-depth knowledge of key evaluation areas.

7 TIMING

The project implementation is due to start in September 2013. The expected duration is of 12 months. As part of the methodology, the framework contractor must fill-in the timetable in the Annex 4.

8 OFFER FOR THE EVALUATION

The offer will be itemised to allow the verification of the fees compliance with the Framework contract terms as well as, for items under h to k of the contractual price breakdown model, whether the prices quoted correspond to the market prices.

The total length of sections 2, 3 and 4 of the technical offer (Framework contract, Annexe 1, section 10.3. b) may not exceed 15 pages (font minimum Times New Roman 12 or Arial, 11).

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\(^{13}\) It is highly desirable that at least the team leader is fully familiar with the Commission's methodological approach

The offers evaluation criteria are:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total score for Organisation and methodology</td>
<td></td>
</tr>
<tr>
<td>Understanding of ToR</td>
<td>15</td>
</tr>
<tr>
<td>Organization of tasks including timing</td>
<td>10</td>
</tr>
<tr>
<td>Approach notably regarding the Budget Support component</td>
<td>25</td>
</tr>
<tr>
<td><strong>Sub Total</strong></td>
<td><strong>50</strong></td>
</tr>
<tr>
<td>Experts/ Expertise:</td>
<td></td>
</tr>
<tr>
<td>Team leader</td>
<td>15</td>
</tr>
<tr>
<td>Other experts</td>
<td>25</td>
</tr>
<tr>
<td>Expert for quality control</td>
<td>10</td>
</tr>
<tr>
<td><strong>Sub Total</strong></td>
<td><strong>50</strong></td>
</tr>
<tr>
<td><strong>Overall total score</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

9 ANNEXES

The contracting authority reserves the right to modify the annexes without prior notice.

Annex 1 – Indicative documentation to be consulted for the purpose of the evaluation by the selected contractor.

Annex 2 – Overall structure of the final report.


Annex 5 – Evaluation criteria and key issues.

Annex 6 – Principles regarding the drafting of evaluation.
ANNEXES

ANNEX 1: INDICATIVE DOCUMENTATION TO BE CONSULTED FOR THE PURPOSE OF THE EVALUATION BY THE SELECTED CONTRACTOR

General documentation

- Communications of the European Union; and
- Various regulations.

Country/Region

- CRIS\textsuperscript{13} (information on the projects), ROM\textsuperscript{14} and other databases concerning the financed projects, engagements, payments, etc.;
- EU Cooperation strategies (CSP/RSP);
- Conclusions of the Mid-term Review and corresponding ROM reports;
- Key government planning and policy documents (sector policies, plans and strategies of focal areas);
- Projects evaluation reports and disbursement dossiers;
- Relevant documentation provided by the local authorities and other local partners, etc.;
- Other donors and OECD/DAC documentation.

The following will be provided to the selected contractor:

- Access to the information contained in the ROM system for an evaluation;
- Template for the cover page.

\textsuperscript{13} Common RELEX Information System
\textsuperscript{14} Results Oriented Monitoring
ANNEX 2: OVERALL STRUCTURE OF THE FINAL REPORT

The overall layout of the Final report is:

- Executive summary (1);
- Context of the evaluation and methodology;
- Evaluation questions and their answers (findings);
- Conclusions (2); and
- Recommendations (3).

Length: the final main report may not exceed 70 pages excluding annexes. Each annex must be referenced in the main text. Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

(1) Executive summary

The executive summary of the evaluation report may not exceed 5 pages (3,000 words). It should be structured as follows:

a) 1 paragraph explaining the objectives and the challenges of the evaluation;
b) 1 paragraph explaining the context in which the evaluation takes place;
c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the number of projects visited, number of interviews completed, number of questionnaires sent, number of focus groups conducted, etc.);
d) The general conclusions related to sectorial and transversal issues on one hand, and the overarching conclusion(s) (for example on poverty reduction) on the other hand;
e) 3 to 5 main conclusions should be listed and classified in order of importance; and
f) 3 to 5 main recommendations should be listed according to their importance and priority. The recommendations have to be linked to the 3 to 5 main conclusions.

The chapters on conclusions and recommendations should be drafted taking the following issues into consideration:

(2) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the evaluation criteria.
- The general conclusions related to sectorial and transversal issues and the overarching conclusion(s) (for example on poverty reduction).
- Specific conclusions on each financial instrument indicated in the ToR section "3.1.1. Legal scopes". These conclusions will focus on effectiveness, efficiency, added value, complementarity and synergies with other financial instruments.
- The chapter on conclusions must enable to identify lessons learnt, both positive and negative.
(3) Recommendations

- Recommendations should be substantiated by the conclusions.
- Recommendations have to be grouped in clusters (groups) and presented in order of importance and priority within these clusters.
- Recommendations have to be realistic and operational.
- The possible conditions of implementation (who? when? how?) have to be specified and key steps/action points should be detailed when possible.

Annexes (non exhaustive)

- National background;
- Methodological approach;
- Information matrix;
- Monograph, case studies;
- List of documents consulted;
- List of institutions and persons met;
- People interviewed;
- Results of the focus group, expert panel, etc.;
- Slide presentations in the country/regional seminar and the seminar minutes.

EDITING

The Final report must:

- be consistent, concise and clear;
- be well balanced between argumentation, tables and graphs;
- be free of linguistic errors;
- include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
- Contain a summary (in several linguistic versions when required).
- Be typed in single spacing and printed double sided, in DIN-A-4 format.
- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout).
- Reports must be glued or stapled; plastic spirals are not acceptable.
- The contractor is responsible for the quality of translations and their conformity with the original text.
### ANNEX 3 - QUALITY ASSESSMENT GRID

<table>
<thead>
<tr>
<th>Concerning these criteria, the evaluation report is:</th>
<th>Unacceptable</th>
<th>Poor</th>
<th>Good</th>
<th>Very good</th>
<th>Excellent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Meeting needs: Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?</td>
<td></td>
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<tr>
<td>2. Relevant scope: Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?</td>
<td></td>
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<tr>
<td>3. Defensible design: Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?</td>
<td></td>
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<tr>
<td>4. Reliable data: To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?</td>
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<tr>
<td>5. Sound data analysis: Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?</td>
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<tr>
<td>6. Credible findings: Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?</td>
<td></td>
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<tr>
<td>7. Validity of the conclusions: Does the report provide clear conclusions? Are conclusions based on credible results?</td>
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<tr>
<td>8. Usefulness of the recommendations: Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?</td>
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<tr>
<td>9. Clearly reported: Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?</td>
<td></td>
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<tr>
<td>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</td>
<td></td>
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</tbody>
</table>
ANNEX 4 – TIMING
To be filled by the contractors and submitted as part of the methodology

<table>
<thead>
<tr>
<th>Evaluation Phases and Stages</th>
<th>Notes and Reports</th>
<th>Dates</th>
<th>Meetings/Communications</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk phase</td>
<td></td>
<td></td>
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<tr>
<td>Structuring stage</td>
<td></td>
<td></td>
<td>Briefing session in Brussels</td>
</tr>
<tr>
<td>Slide presentation</td>
<td></td>
<td></td>
<td>RG Meeting</td>
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<tr>
<td>Draft Inception report</td>
<td></td>
<td></td>
<td>RG meeting</td>
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<tr>
<td>Final Inception report</td>
<td></td>
<td></td>
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<tr>
<td>Desk study</td>
<td>Draft Desk report</td>
<td></td>
<td>RG Meeting</td>
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<tr>
<td>Final Desk report</td>
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<tr>
<td>Field phase</td>
<td></td>
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<td>De-briefing meeting with the Delegation</td>
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<tr>
<td>Synthesis phase (seminar in the country/region)</td>
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<td>RG Meeting</td>
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<tr>
<td>1st Draft final report</td>
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<td>RG Meeting</td>
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<tr>
<td>2nd Draft final report</td>
<td>Presentation + Minutes</td>
<td></td>
<td>Seminar in Bolivia</td>
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<tr>
<td>Final report + other deliverables</td>
<td></td>
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</tbody>
</table>

RG: Reference Group
ANNEX 5: EVALUATION CRITERIA AND KEY ISSUES

(1) Definitions of the five OECD-DAC evaluation criteria can be found at the following address:
http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/daccriteriaforevaluatingdevelopmentassistance.htm

(2) Relevance: the extent to which an intervention’s objectives are pertinent to needs, problems and issues to be addressed. 35

(3) "Coherence" is used in two different contexts: as an evaluation criterion and as part of the 3Cs (key issues).

i. The definitions of coherence as evaluation criteria:
Coherence36: the extent to which the intervention logic is not contradictory; the intervention does not contradict other intervention with similar objectives

ii. Provisions regarding the 3Cs (key issues):

Development cooperation is a shared competence between the European Community and the Member States. The EU competence on development cooperation was established in law by the adoption of the Maastricht Treaty in 1992. To guide its practical implementation the Maastricht Treaty established three specific requirements: coordination, complementarity and coherence – the “three Cs”. These commitments are reaffirmed in the “European Consensus for Development”37. The legal provisions with regard to the 3Cs remain largely unchanged in the Lisbon Treaty. They offer basic definitions of the various concepts involved as can be seen in the box below.

<table>
<thead>
<tr>
<th>Lisbon Treaty</th>
</tr>
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<tbody>
<tr>
<td><strong>Art. 208 (ex Art. 177 TEC)</strong></td>
</tr>
<tr>
<td>1. “Union policy in the field of development cooperation shall be conducted within the framework of the principles and objectives of the Union's external action. The Union's development cooperation policy and that of the Member States complement and reinforce each other. Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries.”</td>
</tr>
</tbody>
</table>

37 (2006/C 46/01)
Art. 210 (ex Art. 180 TEC)
1. "In order to promote the complementarity and efficiency of their action, the Union shall coordinate their policies on development cooperation and shall consult each other on their aid programmes, including in international organisations and during international conferences. They may undertake joint action. Member States shall contribute if necessary to the implementation of Community aid programmes.

2. The Commission may take any useful initiative to promote the coordination referred to in paragraph 1."

Coordination: In EC policy documents the distinction is made between three levels of coordination: (i) policy coordination; (ii) operational coordination and (iii) coordination in international forums.

Complementarity: The obligation to ensure complementarity is a logical outcome of the fact that development cooperation is a shared competence between the EC and the Member States. Over time, the concept was linked to a better distribution of roles between the Commission and the Member States on the base of their respective comparative advantages. This interpretation is also the basis for the Code of Conduct on Complementarity (2007) emphasizing the need for a „division of labour“ (DOL) between the various European actors in delivering aid.

Coherence: One such typology distinguishes between (i) coherence/incoherence of European development policy itself, (ii) coherence/incoherence with the partner country's/region's policies; and (iii) coherence/incoherence between development co-operation policies and policies in other fields.¹⁸

(4) Value added of the European Union's interventions: The criterion is closely related to the principle of subsidiarity and relates to the fact that an activity/operation financed/implemented through the Commission should generate a particular benefit.

There are practical elements that illustrate possible aspects of the criterion:

1) The European Union has a particular capacity, for example experience in regional integration, above that of EU Member States.

2) The European Union has a particular mandate within the framework of the '3Cs' and can draw Member States to a greater joint effort.

3) The European Union's cooperation is guided by a common political agenda embracing all EU Member States.

¹⁸ In recent years, the concept of „policy coherence for development“ (PCD) has gained momentum, in the European Consensus (2005) PCD was defined as "ensuring that the EU takes account of the objectives of development cooperation in all policies that it implements which are likely to affect developing countries, and that these policies support development objectives.” (par. 9).
ANNEX 6: PRINCIPLES REGARDING THE DRAFTING OF EVALUATION QUESTIONS

Main principles to follow when preparing evaluations questions (EQ)

1. Limit the total number of EQ to 10 for each evaluation.

2. In each evaluation, more than half of EQ should cover specific actions and look at the chain of results.
   - Avoid too many questions on areas such as cross cutting issues, 3Cs and other key issues, which should be covered as far as possible in a transversal way, introducing for example specific judgement criteria in some EQs.

3. Within the chain of results, the EQs should focus at the levels of results (outcomes) and specific impacts.
   - Avoid EQs limited to outputs or aiming at global impact levels.
   - In the answer to EQs, the analysis should cover the chain of results preceding the level chosen (outcomes or specific impacts).

4. EQ should be focused and addressing only one level in the chain of results.
   - Avoid vague questions where follow-up questions are needed (questions à tirets).
   - Avoid questions dealing with various levels of results (for example looking at outcomes and specific impacts in the same EQ).

5. The 7 evaluation criteria should not be present in the wording of the EQ.

6. General concepts such as sustainable development, governance, reinforcement, etc. should be avoided.

7. Each key word of the question must be addressed in the answer.
   - Check if all words are useful.
   - Check that the answer cannot be “yes” or “no”.
   - Check that the questions include a word calling for a judgement.

8. Every EQ must be accompanied by a limited number of judgement criteria; some of them dealing with cross cutting and some key issues (see point 2 above).

9. A short explanatory comment should specify the meaning and the scope of the question.
### Annex 2 – Bolivia’s Economic Statistics

<table>
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<tbody>
<tr>
<td></td>
<td>Jan.-Aug.</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total Revenues</td>
<td>19,850.7</td>
<td>24,368.1</td>
<td>35,859.7</td>
<td>44,929.7</td>
<td>58,394.5</td>
<td>56,693.3</td>
<td>61,572.4</td>
<td>75,614.6</td>
<td>87,990.0</td>
<td>68,291.9</td>
</tr>
<tr>
<td>Current Revenues</td>
<td>17,954.2</td>
<td>22,650.5</td>
<td>34,121.6</td>
<td>43,197.4</td>
<td>56,857.6</td>
<td>55,243.7</td>
<td>59,994.9</td>
<td>74,240.1</td>
<td>86,736.8</td>
<td>67,699.8</td>
</tr>
<tr>
<td>Tax Revenues</td>
<td>10,800.0</td>
<td>12,433.9</td>
<td>14,812.2</td>
<td>16,800.9</td>
<td>21,385.9</td>
<td>19,708.5</td>
<td>23,018.5</td>
<td>29,433.5</td>
<td>34,199.1</td>
<td>27,888.7</td>
</tr>
<tr>
<td>Domestic Income</td>
<td>10,057.4</td>
<td>11,529.6</td>
<td>13,506.7</td>
<td>15,167.4</td>
<td>19,365.6</td>
<td>17,980.7</td>
<td>20,676.6</td>
<td>26,144.2</td>
<td>30,914.1</td>
<td>25,541.4</td>
</tr>
<tr>
<td>Customs Income</td>
<td>659.6</td>
<td>784.2</td>
<td>897.8</td>
<td>1,019.5</td>
<td>1,332.1</td>
<td>1,178.9</td>
<td>1,544.9</td>
<td>2,095.9</td>
<td>2,317.0</td>
<td>1,727.3</td>
</tr>
<tr>
<td>Mining Royalties</td>
<td>83.0</td>
<td>120.1</td>
<td>407.6</td>
<td>542.1</td>
<td>688.2</td>
<td>548.9</td>
<td>795.0</td>
<td>1,193.4</td>
<td>967.0</td>
<td>620.0</td>
</tr>
<tr>
<td>Hydrocarbon fuel taxes</td>
<td>3,479.9</td>
<td>6,904.7</td>
<td>11,935.8</td>
<td>7,782.1</td>
<td>2,580.4</td>
<td>1,847.3</td>
<td>2,252.8</td>
<td>2,432.2</td>
<td>2,447.9</td>
<td>1,932.8</td>
</tr>
<tr>
<td>Sale of Hydrocarbon fuels</td>
<td>1,189.9</td>
<td>618.2</td>
<td>3,956.8</td>
<td>13,235.3</td>
<td>26,332.8</td>
<td>25,325.3</td>
<td>26,392.9</td>
<td>30,830.1</td>
<td>39,560.6</td>
<td>29,156.4</td>
</tr>
<tr>
<td>Sale of Other Companies</td>
<td>224.8</td>
<td>207.3</td>
<td>264.4</td>
<td>1,803.8</td>
<td>2,390.3</td>
<td>2,335.7</td>
<td>3,465.6</td>
<td>5,248.6</td>
<td>5,939.3</td>
<td>3,946.8</td>
</tr>
<tr>
<td>Current Transfers</td>
<td>612.6</td>
<td>679.2</td>
<td>749.4</td>
<td>811.0</td>
<td>998.1</td>
<td>1,262.1</td>
<td>1,312.6</td>
<td>1,514.9</td>
<td>1,770.6</td>
<td>1,342.4</td>
</tr>
<tr>
<td>Other Current Income</td>
<td>1,647.0</td>
<td>1,807.2</td>
<td>2,403.1</td>
<td>2,764.3</td>
<td>3,170.0</td>
<td>4,764.8</td>
<td>3,552.5</td>
<td>4,780.8</td>
<td>3,366.3</td>
<td>3,432.8</td>
</tr>
<tr>
<td>Capital Income</td>
<td>1,896.5</td>
<td>1,717.6</td>
<td>1,738.1</td>
<td>1,732.3</td>
<td>1,536.9</td>
<td>1,449.6</td>
<td>1,577.5</td>
<td>1,374.5</td>
<td>1,253.2</td>
<td>592.1</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>23,710.4</td>
<td>26,088.3</td>
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### Deposits in Foreign Banks

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### Domestic Financing

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### Quasi-fiscal Bcb

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### Net Credit

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### Net Credit Financial System (3)

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**NOTES:**

1. Foreign currency accounts were converted at the exchange rate fixed for each year.
2. Includes the emission of TGN sovereign bonds on October 29, 2012.
3. Including the Rest of the Banking System, non-current deposits and placement of titles in Mutuals and in the National Housing Fund. Starting in 2001, titles placed with Investment Funds Management Societies, Stock market Agents and other Financial Agents are included, which previously were registered as “Other Domestic Financing”. Furthermore, beginning in 1996, it does not include the “public officer check”.
4. Including floating debt, fiscal certificates, etc. Beginning in 1997, bonds issued by AFP. (P) Preliminary.
### DEUDA EXTERNA PÚBLICA DE CORTO, MEDIANO Y LARGO PLAZO

#### AL 30 DE SEPTIEMBRE DE 2013

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**FUENTE:** BANCO CENTRAL DE BOLIVIA - GERENCIA DE OPERACIONES INTERNACIONALES - SUBGERENCIA DE OPERACIONES EXTERNAS - DEPARTAMENTO DE DEUDA EXTERNA

**ELABORACIÓN:** BANCO CENTRAL DE BOLIVIA

**NOTAS:**
1. De esta importe, $us 31,2 millones se pagó con cargo a compensación de deudas con PDVSA
2. De esta importe, $us 500 millones corresponden a la segunda emisión de bonos soberanos colocados bajo par (Valor de adquisición $us455 979,000, valor descontado $us11 030,000)

Col. 5 = 1+2+3+4
Col. 8 = 3-3-4
Fecha de reporte: 07-10-2013
### DEUDA EXTERNA PÚBLICA DE CORTO, MEDIANO Y LARGO PLAZO

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**FUENTE:** BANCO CENTRAL DE BOLIVIA - GERENCIA DE OPERACIONES INTERNACIONALES - SUBGERENCIA DE OPERACIONES EXTERNAS - DEPARTAMENTO DE DEUDA EXTERNA

**ELABORACIÓN:** BANCO CENTRAL DE BOLIVIA

**NOTAS:**

(1) De esta importe, $us 31,9 millones se pagó con cargo a compensación de deudas con PDVSA

(2) De este importe, $us 500 millones corresponden a la segunda emisión de bonos soberanos colocados bajo par (Valor de adquisición $us468,979,000, valor descontado $us11,030,000)

Col. 6 = 1-3+5
Col. 8 = 2-3-4
Fecha de reporte: 07-10-2013
## PROMEDIO DEL TIPO DE CAMBIO OFICIAL Y PARALELO

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### Fuente:
Banco Central de Bolivia - Departamento de Operaciones Internacionales y Asesoría de Política Económica

### Elaboración:
Banco Central de Bolivia – Asesoría de Política Económica

### Notas:
(1) El promedio mensual corresponde a las cotizaciones de todos los días del mes y el promedio anual, los promedios mensuales. Tipo de cambio ajuste al día siguiente al Banco del Estado.

(2) Hasta mayo 2010, desde mayo 2010, promedio de tasas de cambio efectivas y preferencia pendientes por el mismo de operación, reportados por el Sistema Intereses.
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FUENTE: INSTITUTO NACIONAL DE ESTADÍSTICA
ELABORACIÓN: BANCO CENTRAL DE BOLIVIA - ASesorÍA DE POLÍTICA ECONÓMICA
NOTAS: *Dato del 2013, no consta esta serie en base a los observadores mensuales obtenidas por el INE
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#### ANEXOS

#### Evaluación de la Cooperación de la UE con Bolivia 2007-2013
## Exportación de Hidrocarburos

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**FUENTE:** INSTITUTO NACIONAL DE ESTADÍSTICA.
**ELABORACIÓN:** BANCO CENTRAL DE BOLIVIA - ASORERÍA DE POLÍTICA ECONÓMICA - SECTOR EXTERNO.
**NOTA:** (p) Cifras preliminares.
### Recaudación de Impuestos Internos por Fuente de Ingreso

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**TRANSMISIÓN GRATUITA DE BIENES (TGI)**
- Efectivo: 5,447
- Valores: 9,611

**RENTA PRESUNTA DE EMPRESAS (RPE)**
- Efectivo: 0
- Valores: 0

**CONSUMO ESPECÍFICO MERCADO INTERNO (CMEI)**
- Efectivo: 432,668
- Valores: 607,535

**CONSUMO ESPECÍFICO IMPORTACIONES (CMI)**
- Efectivo: 279,044
- Valores: 448,868

**VALOR AGREGADO MERCADO INTERNO (VAMI)**
- Efectivo: 153,214
- Valores: 299,081

**VALOR AGREGADO IMPORTACIONES (VAMI)**
- Efectivo: 125,244
- Valores: 211,567

**REGIMEN COMPLEMENTARIO IVA (RCIVA)**
- Efectivo: 115,000
- Valores: 207,830

**REGIMEN COMPLEMENTARIO IVA (RCIVA)**
- Efectivo: 8,543
- Valores: 10,721

**TRANSACCIONES (IT)**
- Efectivo: 2,197,104
- Valores: 3,208,706

**UTILIDADES MINERAS (UMI)**
- Efectivo: 73,005
- Valores: 165,158

**VAJES AL EXTERIOR (VAJES)**
- Efectivo: 17,504
- Valores: 31,648

**REGIMEN TRIBUTARIO SIMPLIFICADO (RTS)**
- Efectivo: 7,801
- Valores: 4,398

**REGIMEN TRIBUTARIO INTENSO (RTI)**
- Efectivo: 338
- Valores: 112

**PROPIEDAD RURAL (PRR)**
- Efectivo: 4,006
- Valores: 5,046

**REGIMEN AGROCULTURAL UNIFICADO (RAU)**
- Efectivo: 791,965
- Valores: 31,996

**IMPUESTO AL JUEGO Y PARTICIPACIONES EN JUEGOS**
- Efectivo: 166,958
- Valores: 351,250

**IMPUESTO A LOS JUEGOS y DERIVADOS (JED)**
- Efectivo: 38,167
- Valores: 31,556

**IMPUESTO A LAS UTILIDADES DE LAS EMPRESAS (UUE)**
- Efectivo: 128,818
- Valores: 349,865

**IMPUESTO A LAS UTILIDADES DE LAS EMPRESAS (UUE)**
- Efectivo: 1,261,125
- Valores: 1,766,935

**IMPUESTO A LAS TRANSACCIONES FINANCIERAS**
- Efectivo: 178,713
- Valores: 284,094

**IMPUESTO A LAS TRANSACCIONES FINANCIERAS**
- Efectivo: 313,667
- Valores: 623,573

**IMPUESTO A LA VENTA DE MONEDA EXTRANJERA**
- Efectivo: 0
- Valores: 0

**CONCEPTOS VARIOS**
- Efectivo: 62,734
- Valores: 150,730

**EJES-REFINERÍAS**
- Efectivo: 62,732
- Valores: 146,227

**Fuentes:**
- Servicio de Impuestos Nacionales (SIN)
### Tasas de crecimiento del producto interno bruto

#### Por rama de actividad

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**Fuente:** INSTITUTO NACIONAL DE ESTADÍSTICA

**Elaboración:** BANCO CENTRAL DE BOLIVIA - ASESORÍA DE POLÍTICA ECONÓMICA - ÁREA DE INVESTIGACIONES

**Nota:** (p) Preliminar
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**FUENTE**: INSTITUTO NACIONAL DE ESTADÍSTICA  
**ELABORACIÓN**: BANCO CENTRAL DE BOLIVIA - ASESORÍA DE POLÍTICA ECONÓMICA - ÁREA DE INVESTIGACIONES  
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**FUENTE:** INSTITUTO NACIONAL DE ESTADÍSTICA

**ELABORACIÓN:** BANCO CENTRAL DE BOLIVIA - ASESORÍA DE POLÍTICA ECONÓMICA - ÁREA DE INVESTIGACIONES

**NOTAS:** IPSFL = Instituciones Privadas Sin Fines de Lucro

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Annex 3 –  Bibliography Consulted for Project

1. Program in Support of Sustainable Economic Development of Impoverished Areas in Western Bolivia – D-005816
   1. Convenio de Financiación
   2. Adenda N°1
   3. Adenda N°2
   4. Marco Lógico
   5. Financial Summary Sheet
   7. Project Synopsis (PS) – 2005
   8. Response Sheet (RS) – 2005
  11. Response Sheet (RS) - 2006
  13. Project Synopsis (PS) – 2007
  15. Background Conclusion Sheet (BCS) - 2008
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  19. Background Conclusion Sheet (BCS) - 2009
  20. Project Synopsis (PS) – 2009
  22. Informe de Auditoría

1a. Mid-Term Evaluation of the program in support of sustainable development of impoverished areas of Western Bolivia (APEMIN II) - 2007 / 142-919
   1. Adenda N°1
   2. Contrato
   3. Contrato – Evaluación Medio Termino
   4. Evaluación Medio Termino – Informe Final

  1. Convenio de Financiación
  2. Adenda N°1
  3. Adenda N°2
  4. Adenda N°3
  5. Budgetary Impact Sheet
  6. Financial Summary Sheet
  7. Plan Operativo Global
13. Plan Operativo Anual - corregido - 2006
15. Plan Operativo Anual - corregido - 2008
17. Plan Operativo Anual - corregido - 2010
18. Plan Operativo Anual - 2011
20. Project Synopsis (PS) – 2006
22. Project Synopsis (PS) – 2007
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25. Project Synopsis (PS) – 2009
27. Monitoring Report (MR) - 2010
28. Background Conclusion Sheet (BCS) – 2010
29. Project Synopsis (PS) – 2010
30. Response Sheet (RS) – 2010
31. Monitoring Report (MR) - 2012
32. Background Conclusion Sheet (BCS) – 2012
33. Project Synopsis (PS) – 2012
34. Response Sheet (RS) – 2012
35. Informe Trimestral Nº1 – 2008
36. Informe Trimestral Nº2 - 2008

   1. Informe Final de Auditoría

   1. Oferta del Consorcio IDC
   2. Evaluación de medio término - Informe Final
   3. Asistencia Técnica – Informe Final
3. **EUROSOLAR – DCI-ALA/2006/17223**

   1. Convenio de Financiación
   2. Adenda N° 1
   3. Adenda N°2
   4. Disposiciones Técnicas y Administrativas (DTA)
   5. Ficha de acción
   6. Budgetary impact fiche
   7. Nota de transmisión
   9. Background Conclusion Sheet (BCS) – 2008
   11. Response Sheet (RS) - 2008
   13. Background Conclusion Sheet (BCS) – 2009
   15. Response Sheet (RS) - 2009
   17. Background Conclusion Sheet (BCS) - 2011
   18. Project Synopsis (PS) – 2011


   1. Decisión de la Comisión

4a. **Poverty reduction in Northern Potosí: worm-farming and local comprehensive management between local institutions and indigenous organizations – 2007/134-058**

   1. Contrato de Subvención
   2. Descripción de la Acción
   3. Marco Lógico
   4. Ficha de Identificación Financiera
   5. Presupuesto Financiero
   6. Calculo de los Pagos Contractuales
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   12. Project Synopsis (PS) – 2010
   13. Response Sheet (RS) – 2010
   14. Respuesta a las Observaciones y Recomendaciones en el Informe de Monitoreo
4b. **Sustainability of production and economic diversification systems for indigenous families of the “ayllus” of Salinas de García Mendoza, Llica and Tahua – 2007/134-100**

1. Adenda N°1
2. Condiciones Particulares
3. Descripción de la Acción
4. Condiciones Generales
5. Presupuesto
6. Marco Lógico
7. MR+PS+bcs 08
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12. Background Conclusion Sheet (BCS) – 2008
13. Project Synopsis (PS) – 2008
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18. Background Conclusion Sheet (BCS) – 2010
19. Project Synopsis (PS) – 2010
20. Response Sheet (RS) – 2010
22. Background Conclusion Sheet (BCS) – 2012
23. Project Synopsis (PS) – 2012

4c. **For work with dignity: support to female organizations in sub-urban and rural areas of the Department of Chuquisaca (Bolivia) – 2007/134-145**

1. Adenda N°1
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4. Presupuesto Financiero
5. Marco Lógico
7. Background Conclusion Sheet (BCS) – 2009
8. Project Synopsis (PS) – 2009
10. Monitoring Report (MR) - 2010
11. Background Conclusion Sheet (BCS) – 2010
12. Project Synopsis (PS) – 2010
13. Response Sheet (RS) – 2010
4d. **Sustainable Agricultural Development for the Local Economic Development of Bolivia’s Lowlands – 2007/134-201**

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3. Ficha de Identificación Bancaria
4. Presupuesto Financiero
5. Monitoring Report (MR) - 2010
6. Background Conclusion Sheet (BCS) – 2010
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11. Project Synopsis (PS) – 2012
12. Response Sheet (RS) – 2012
13. Respuesta a las observaciones y recomendaciones del Informe de monitoreo - 2010

4e. **Peasant Life. Solidarity Economy as sustainable rural development factor for Bolivia’s Peasant Economic Organizations – 2007/134-204**

1. Contrato de Subvención
2. Adenda N°1
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23. Auditoria de Cierre - Informe Final - 2009
24. Auditoria de Cierre - Informe Final - 2010
4f. **Implementation of Communitarian and Municipal Health systems in health networks of extreme poverty rural areas of Potosi, Bolivia – 2007/134-327**

1. Adenda N°2
2. Descripción de la Acción
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4g. **Increase of capacities and opportunities of counterparts of Bolivian Peasant Economic Organizations (OECAs) to generate income, employment and social inclusion in rural areas – 2007/135-151**

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2. Condiciones Generales
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4h. Inter-institutional coordination and insertion of small producers and SMEs in markets for Regional Economic Development of the Bolivian Chaco in Chuquisaca – 2007/135-382

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28. Respuesta al Monitoreo - 2010
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5. Support to social control of coca leaf production DCI/2007/19010

1. Convenio de Financiación
2. Adenda Nº1
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4. Ficha Acción
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12. Response Sheet (RS) - 2009

   1. Convenio de Financiación
   2. Adenda N°1
   3. Ficha de acción
   4. Ficha de impacto presupuestario
   5. Monitoring Report (MR) - 2010
   6. Background Conclusion Sheet (BCS) – 2010
   7. Project Synopsis (PS) – 2010
   8. Response Sheet (RS) - 2010
   9. Nota al MR

   1. Annual Action Plan
   2. Ficha Acción
   3. Ficha de Impacto presupuestario
   4. New Budget

8. AL-INVEST IV – DCI-ALA/2007/019-165
   1. Decisión
   2. Annual Action Plan
   3. Ficha Acción
   4. Ficha de impacto presupuestario

8a. Institutional articulation model for the internalization of SMEs in the Andean region - CAINCO – DCI-ALA/2008/164-094
   1. Contrato
   2. Condiciones Generales
   3. Condiciones Particulares
   4. Derogación
   5. Adenda I
   6. Adenda I - Analytical breakdown – Corrección
   7. Adenda IV
   8. Adenda IV – Budget
   9. Descripción de la Acción
   10. Marco Lógico
   11. Guía
   12. Carta al Beneficiario
   13. Comprobación del gasto
   14. Presupuesto de la acción
15. Garantía Bancaria  
16. Garantía  
17. Solicitud de liberación de Garantía  
18. Reducción de Garantía  
19. Nota de visa  
20. Procedimientos de celebración  
21. Informe Descriptivo Intermedio.

   1. Convenio de Financiación  
   2. Condiciones particulares  
   3. Disposiciones Técnicas y Administrativas (DTA)  
   4. Terms of Reference  
   5. Adenda N°1  
   6. Ficha de acción  
   7. Ficha de identificación  
   8. Budgetary Impact Fiche  
   9. Indicators


10a. **Eco-friendly coffee in Santa Cruz – Bolivia DCI/2008/170-344**  
   1. Contrato de Subvención  
   2. Adenda N°1  
   3. Descripción de la Acción  
   4. Presupuesto de la Acción

10b. **Quality and tourism awareness development – Municipality of La Paz, port of entry of Bolivia’s tourism – DCI/2008/170-362**  
   1. Contrato de Subvención  
   2. Adenda N°1  
   3. Adenda N°2  
   4. Descripción de la Acción  
   5. Presupuesto de la Acción  
   6. Marco Lógico  
   7. Monitoring Report (MR) - 2010  
   8. Background Conclusion Sheet (BCS) – 2010  
   9. Project Synopsis (PS) – 2010  
   10. Response Sheet (RS) – 2010
11. **Support to the Andean Community in its fight against Illegal Drugs (AAP 2008) – PRADICAN – DCI-ALA/2008/19670**

   1. Convenio de Financiación
   2. Adenda N°1
   3. Ficha de identificación
   4. Ficha de acción
   5. Budgetary impact fiche
   6. Auditoría Financiera Final Proyecto
   7. Monitoring Report (MR) - 2011
   8. Background Conclusion Sheet (BCS) - 2011
   9. Project Synopsis (PS) – 2011
   10. Response Sheet (RS) - 2011
   11. Comentarios su MR

12. **Program in support of the Productive Development with Employment with Dignity Sector Plan – ALA/DCI/2009/019-774**

   1. Convenio de Financiación
   2. Adenda n° 1 - Convenio de Financiación
   3. Solicitud de Adenda N°1
   4. Ficha de Acción
   5. Marco Lógico
   6. Budget Breakdown
   7. Budgetary Impact Sheet
   8. Financial summary Sheet
   9. Memorandum to the Commission
   10. Memorandum to the DCI Committee
   12. Background Conclusion Sheet (BCS) - 2012
   13. Project Synopsis (PS) – 2012
   14. Response Sheet (RS) - 2012
   15. Conclusiones sobre Misión de Monitoreo Externo - Informe Técnico.
   16. Evaluación medio término
   17. Informe de Misión de formulación

12a. **'Productive Development with Employment with Dignity' – Short-term International Technical Assistance in support of PRO-BOLIVIA - 2010/258-489**

   1. Adenda N°1
   2. Adenda N°2
   3. Adenda N°3
   4. Términos de Referencia
   5. Ficha de Identificación Financiera
13. **Global commitment for in-country calls for proposals -Objective 1- PVD projects - Non State Actors - AAP 2008**  
**DCI/2008/020-081**


13a. **Publication in the media of the Call for the “Development Non-State Actors and Local Officials” throughout the entire national territory – DCI/2009/200-030**

1. Adenda N°1

13b. **Welcome! Rural tourism, local public policies and sustainability; agreement-action process between local actors to fight poverty in 4 Bolivian departments – DCI/2009/227-639**

1. Contrato de Subvención  
2. Descripción de la Acción  
3. Marco Lógico  
4. Presupuestos Financieros  
5. Informe Descriptivo


1. Contrato de Subvención  
2. Descripción de la Acción  
3. Condiciones Generales  
4. Presupuesto de la Acción  
5. Marco Lógico  
6. Presupuesto Financiero

13d. **Commercial competitiveness of selected products certified under the rule of origin of Center and North Chuquisaca in conventional and alternative markets – DCI/2009-227645**

1. Contrato de Subvención  
2. Adenda N°2  
3. Adenda N°3  
4. Descripción de la Acción  
5. Condiciones Generales  
6. Presupuesto de la Acción  
7. Marco Lógico  
8. Presupuesto Financiero  
10. Background Conclusion Sheet (BCS) – 2011  
11. Project Synopsis (PS) – 2011  
12. Response Sheet (RS) – 2011
13e. Local economic development, employment with dignity and wilderness resources in the Chiquitanía – DCI/2009/227-647

1. Contrato de Subvención
2. Adenda N°2
3. Adenda N°4
4. Descripción de la Acción
5. Marco Lógico
6. Presupuesto Financiero
7. Presupuesto Financiero - modificado

13f. Promotion of participation of visually impaired people in economic and social development and processes – DCI/2009/227-821

1. Contrato de Subvención
2. Adenda N°1
3. Adenda N°2
4. Descripción de la Acción
5. Condiciones Generales
6. Presupuesto de la Acción
7. Marco Lógico
8. Presupuesto Financiero
9. Presupuesto Financiero - modificado


1. Adenda N°1
2. Adenda N°3
3. Disposiciones Técnicas y Administrativas (DTA)
4. Ficha de identificación
5. Ficha de acción
6. Anexos ficha de acción
7. Marco lógico
8. Budgetary impact fiche
10. Background Conclusion Sheet (BCS) - 2012
11. Project Synopsis (PS) – 2012
12. Response Sheet (RS) – 2012
13. Comentarios su MR


1. Project Summary

1. Framework Contract
2. Adenda N°1
3. Términos de Referencia
4. Anexo I - Términos de Referencia
5. Anexo II - Términos de Referencia
6. Anexo III - Términos de Referencia
7. Budget
8. Informe Pre-Final
9. Informe Final


16a. Training of trainers in “Project cycle’s management’ 2009/219-852

1. Adenda N°1


1. Contrato de Subvención
2. Descripción de la Acción
3. Marco Lógico
4. Presupuesto Financiero
5. Presupuesto Financiero - modificado
7. Background Conclusion Sheet (BCS) – 2012
8. Project Synopsis (PS) – 2012

16c. Strengthening of local capacities through the validation of successful agro-forestry experiences that contribute to the local sustainable development of small rural producers in communities of Bolivia’s Amazonia – DCI/2009-227820

1. Contrato de Subvención
2. Adenda N°3
3. Condiciones Generales
4. Presupuesto de la Acción
5. Descripción de la Acción
6. Marco Lógico
7. Presupuesto Financiero
8. Presupuesto Financiero - modificado
10. Background Conclusion Sheet (BCS) – 2011
11. Project Synopsis (PS) – 2011
12. Response Sheet (RS) – 2011
14. Background Conclusion Sheet (BCS) – 2012
15. Project Synopsis (PS) – 2012

16d. Consolidation of public-private articulation alternatives in municipalities part of the Northern Chuquisaca association of municipalities, preserving the sustainable life means of men and women with a gender and environmental approach - DCI/2009/227-823

1. Contrato de Subvención
2. Adenda N°1
3. Descripción de la Acción
4. Marco Lógico
5. Presupuesto Financiero
6. Presupuesto Financiero – modificado

16e. Strengthening of the empowerment and economic autonomy of men and women from El Alto for local development – DCI-2009/229-339

1. Contrato de Subvención
2. Adenda N°1
3. Descripción de la Acción
4. Marco Lógico
5. Presupuesto Financiero

17. Project: Program for the sustainable management of the natural resources of lake Poopó’s basin – DCI-ALA/2009/021-614

1. Convenio de Financiación
2. Decisión de la Comisión - draft
3. Adenda n° 1 - Convenio de Financiación
4. Solicitud de Adenda n° 1
5. Adenda n° 2 - Convenio de Financiación
6. Solicitud de Adenda n° 2
7. Nota explicativa - Adenda n° 2
8. Solicitud uso imprevistos
9. Nota explicativa - Solicitud uso imprevistos
10. Disposiciones Técnicas y Administrativas (DTA)
11. Fiche de identificación
12. Ficha de Acción
13. Marco Lógico
14. Budgetary impact fiche
15. Memorandum to the Decision Committee
17. Background Conclusion Sheet (BCS) - 2011
18. Project Synopsis (PS) – 2011
19. Response Sheet (RS) - 2011
21. Background Conclusion Sheet (BCS) - 2012
22. Project Synopsis (PS) – 2012
23. Response Sheet (RS) – 2012

   1. Contrato
   2. Contrato - Adenda N°1
   3. Términos de Referencia
   4. Informe Final
   5. Manual de Procedimiento - Anexo al Informe

   1. Contrato de Servicios
   2. Adenda N°1
   3. Adenda N°2
   4. Adenda N°3

   1. Contrato

17d. *Budget for Full Execution Program N°1 – DCI-ALA/2010/266-490*
   1. Presupuesto Programa 1
   2. Presupuesto Programa 2 – parte 2
   3. Presupuesto Programa 2 – parte 3
   4. Adenda N° 1 - Presupuesto Programa 1
   5. Adenda N° 1 - Presupuesto Programa 2
   6. Adenda N° 2 - Presupuesto Programa 1
   7. Adenda N° 2 - Presupuesto Programa 2
   8. Adenda N° 3 - Presupuesto Programa 2
   9. Anexos Adenda n° 1 - Presupuesto Programa 1
  10. Anexos Adenda n° 2 - Presupuesto Programa 2
  11. Anexos Adenda n° 3 - Presupuesto Programa 2
17e. **Financial audit of all Program Budgets of the Program for the Sustainable Management of the Natural Resources of lake Poopó’s Basin**

*DCI-ALA/2011/275-452*

1. Framework Contract – Audit
2. Informe Final

17f. **Mid-term evaluation of the Poopó Project, Bolivia - DCI-ALA/2012/301-887**

1. Contrato
2. Términos de Referencia
3. Oferta Ganadora

18. **Project in support of the work conditions and generation of employment in Bolivia’s mining zones- EMPLEOMIN – DCI-ALA/2009/021-615**

1. Convenio de Financiación
2. Adenda
3. Disposiciones Técnicas y Administrativas (DTA)
4. Ficha de Acción
5. Marco Lógico
6. Budgetary Impact Fiche
7. Memorandum to DCI Committee
9. Background Conclusion Sheet (BCS) - 2011
10. Project Synopsis (PS) – 2011
11. Response Sheet (RS) - 2011
12. Monitoring Report (MR) - 2013
13. Background Conclusion Sheet (BCS) - 2013
14. Project Synopsis (PS) – 2013
15. Response Sheet (RS) – 2013
16. Informe Cuatrimestral_Junio-Septiembre_2011
17. Informe Semestral_Enero-Junio_2012
18. Informe Trimestral_Abril-Junio_2013
19. Informe Trimestral_Enero-Marzo_2013
20. Informe Trimestral_Julio-Septiembre_2012
21. Informe Trimestral_Julio-Septiembre_2013
22. Informe Trimestral_Octubre-Diciembre_2011
23. Informe Trimestral_Octubre-Diciembre_2012
24. Informe _Versión Final _ Enero 2014

18a. **Final Evaluation of the APEMIN II Program – DCI-ALA/2010/246-654**

1. Contrato
2. Adenda N°1
3. Evaluación Final
   1. Convenio de Financiación
   2. Adenda N°1
   3. Adenda N°3
   4. Ficha Identificación
   5. Ficha Acción
   6. Marco Lógico
   7. Budgetary Impact Fiche
   9. Background Conclusion Sheet (BCS) - 2012
   10. Project Synopsis (PS) – 2012
   11. Response Sheet (RS) - 2012
   12. Monitoring Report (MR) - 2013
   13. Background Conclusion Sheet (BCS) - 2013
   14. Project Synopsis (PS) – 2013
   15. Response Sheet (RS) – 2013

   1. Convenio de Financiación
   2. Disposiciones Técnicas y Administrativas (DTA)
   3. Ficha de acción
   4. Ficha de identificación
   5. Budgetary impact fiche
   6. Gender Equality Screening
   7. Environmental Screening
   8. Sector Budget Support Road Map
   10. Background Conclusion Sheet (BCS) - 2013
   11. Project Synopsis (PS) – 2013
   12. Response Sheet (RS) – 2013
   13. Informe SWAP
   14. Marco de Evaluación
   15. Enfoque Programático Rural

   1. Convenio de Financiación
   2. Adenda Nº1
   3. Adenda Nº2
   4. Adenda Nº3
   5. Ficha Acción
   6. Fichas Indicadores
   7. Proof of PASA I Balance Transfer
8. Gestión de las finanzas públicas - Informe
9. Informe Macroeconómico
10. Informe de política fiscal y macroeconómica
11. Seguimiento de la Gestión de las Finanzas Publicas – Report
12. Informe de política sectorial último disponible PASA
13. Project Synopsis (PS) – 2010

   1. Contrato de Servicios
   2. Adenda N°1
   3. Adenda N°2

21b. Project to Update VAM mapping - DCI-FOOD/2012/289-215
   1. Acuerdo de Contribución
   2. Adenda N°2

22. Program to support the sustainable preservation of biodiversity – PACSBIO – DCI-ALA/2011/022-834
   1. Convenio de Financiación
   2. Ficha de identificación
   3. Ficha de acción
   4. Plan Estratégico Institucional
   5. Budgetary impact fiche
   6. Gender Screening
   7. Perfil Ambiental Bolivia
   8. SBS Road Map
   9. Indicadores PACSBIO
   10. Indicadores matriz de evaluación de desempeño
   11. Análisis Ambiental Estratégico
   12. Análisis de la política sectorial
   14. Background Conclusion Sheet (BCS) - 2013
   15. Project Synopsis (PS) – 2013
   17. PACSBio MR Final
   18. Progreso de la política sectorial - Reporte 2012
   19. Informe – Elegibilidad Macroeconómica
   20. Informe – Seguimiento de la Gestión de las Finanzas Publicas

22a. Technical Assistance for the Sustainable Preservation of Biodiversity (PACSBIO) under the budget support modality – DCI-ALA/2012/300698
1. Contrato de Servicios

**22b. Implementation of an Observatory of Protected Areas in Bolivia – DCI-ALA/2012/310-872**

1. Acuerdo Administrativo


1. Project Summary


1. Framework Contract
2. Informe Final


1. Convenio de Financiación
2. Convenio PAMEF
3. Adenda
4. Fiche Identificación
5. Ficha Acción
6. Budgetary Impact Fiche
7. Gender Equality Screening
8. Technical Cooperation/Capacity Development (TC/CD) Grid
10. Background Conclusion Sheet (BCS)
11. Project Synopsis (PS)
12. Análisis de Política y Estrategia Social
13. Reporte Elegibilidad
14. Informe Anual GFP
15. Informe Avance Política

**25. Support to School Food Program in Bolivia- DCI-FOOD/2006/023-917**

1. Acuerdo de Contribución
2. Adenda N° 2
3. Adenda N°3
4. Propuesta Financiera
5. Ficha de Acción

**25a. Support to School Food Program in Bolivia – DCI-FOOD/2006/129589**

1. Acuerdo de Contribución
2. Condiciones Generales
3. Adenda N°2
4. Adenda N°3
5. Ficha de Identificación
6. Descripción de la Acción
7. Presupuesto Financiero
# Annex 4 – List of people interviewed or contacted during Inception, Desk and Field Phases

**EUROPEAN UNION**

<table>
<thead>
<tr>
<th>Name</th>
<th>Post / Institution</th>
<th>Phone nº</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Torlot</td>
<td>Ambassador and Head of Bolivia’s Delegation</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Tim.Torlot@eeas.europa.eu">Tim.Torlot@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Francisco García-García</td>
<td>Head of Cooperation – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Francisco.GARCIA@eeas.europa.eu">Francisco.GARCIA@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Juan Planas</td>
<td>Head of Economic and Thematic Lines Cooperation Section – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Juan.planas@eeas.europa.eu">Juan.planas@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Nicolaus Hansmann</td>
<td>Cooperation Section – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Nicolaus.Hansmann@eeas.europa.eu">Nicolaus.Hansmann@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Jerome Rihouey</td>
<td>Cooperation Section – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Jerome.rihouey@eeas.europa.eu">Jerome.rihouey@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Luca Citarella</td>
<td>Cooperation Section – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Luca.citarella@eeas.europa.eu">Luca.citarella@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Franco Mendizábal Llano</td>
<td>Budget Support, GFP and Macro-economy – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Franco.mendizabal@eeas.europa.eu">Franco.mendizabal@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Roderic L. McKenzie</td>
<td>Cooperation Section – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Roderic.lewis.mckenzie@eeas.europa.eu">Roderic.lewis.mckenzie@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Emmanuel Hondrat</td>
<td>Program Officer – Comprehensive Development with Coca and Food Security – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Emmanuel.Hondrat@eeas.europa.eu">Emmanuel.Hondrat@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Alejandro Díz</td>
<td>Program Officer - EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Alejandro.Diz@eeas.europa.org">Alejandro.Diz@eeas.europa.org</a></td>
</tr>
<tr>
<td>Mónica Rodriguez</td>
<td>Program Officer, Thematic Lines – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Monica.Rodriguez@eeas.europa.eu">Monica.Rodriguez@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Martina Pino</td>
<td>Program officer, Thematic Lines – EU’s Delegation in Bolivia</td>
<td>+591 2 2782244</td>
<td><a href="mailto:Martina.Pino@eeas.europa.eu">Martina.Pino@eeas.europa.eu</a></td>
</tr>
<tr>
<td>María Horno-Comet</td>
<td>Head of Finances and Contracts – EU’s Delegation in Bolivia</td>
<td></td>
<td>Marí<a href="mailto:a.HORNO-COMET@eeas.europa.eu">a.HORNO-COMET@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Florian Lütticken</td>
<td>ALINVEST Manager – EuropeAid Cooperation Office DEVCO G2 – Regional Programmes Latin America, the Caribbean and OCTs</td>
<td>+32 2 29 55280</td>
<td><a href="mailto:Florian.LUETTICKEN@ec.europa.eu">Florian.LUETTICKEN@ec.europa.eu</a></td>
</tr>
<tr>
<td>Jorge Pablo Torrealba</td>
<td>ECHO Quito (focal point for Bolivia)</td>
<td>+593 2 250 16 78 / 79 / 80 ext 52</td>
<td><a href="mailto:Jorge.Torrealba@echofield.eu">Jorge.Torrealba@echofield.eu</a></td>
</tr>
<tr>
<td>Víctor Velarde</td>
<td>EU’s Delegation in Peru</td>
<td></td>
<td>Ví<a href="mailto:ctor.VELARDE@eeas.europa.eu">ctor.VELARDE@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Cristina Chueca-Roemer</td>
<td>EU’s Delegation in Peru</td>
<td></td>
<td><a href="mailto:Cristina.CHUECA-ROEMER@eeas.europa.eu">Cristina.CHUECA-ROEMER@eeas.europa.eu</a></td>
</tr>
<tr>
<td>Jürgen Lovasz</td>
<td>Evaluation Unit – DEVCO</td>
<td>+32 2 2969189</td>
<td><a href="mailto:Juergen.lovasz@ec.europa.eu">Juergen.lovasz@ec.europa.eu</a></td>
</tr>
<tr>
<td>Claudio Salinas</td>
<td>Head of Section – Latin-America 1 and Budget Support – DEVCO-G1</td>
<td>+32 2 2996823</td>
<td><a href="mailto:Claudio.salinas@ec.europa.eu">Claudio.salinas@ec.europa.eu</a></td>
</tr>
<tr>
<td>Galina Karamalakova</td>
<td>Officer in charge of Bolivia – Latin-America 1 and Budget Support – DEVCO-G1</td>
<td>+32 2 2996823</td>
<td><a href="mailto:Galina.karamalakova@ec.europa.eu">Galina.karamalakova@ec.europa.eu</a></td>
</tr>
<tr>
<td>Francisco López Menchero</td>
<td>Officer in charge of Budget Support – Latin-America 1 and Budget Support – DEVCO-G1</td>
<td>+32 2 2996823</td>
<td><a href="mailto:Francisco.Lopez-Menchero@ec.europa.eu">Francisco.Lopez-Menchero@ec.europa.eu</a></td>
</tr>
<tr>
<td>Bertrand Jolas</td>
<td>Commerce Unit – DEVCO</td>
<td></td>
<td><a href="mailto:Bertrand.JOLAS@ec.europa.eu">Bertrand.JOLAS@ec.europa.eu</a></td>
</tr>
<tr>
<td>Reinhard Junghanns</td>
<td>Budget Support Unit – DEVCO</td>
<td></td>
<td><a href="mailto:Reinhard.JUNGHANNS@ec.europa.eu">Reinhard.JUNGHANNS@ec.europa.eu</a></td>
</tr>
<tr>
<td>Antonio Rodríguez de</td>
<td>Andean Countries Section – EEAS</td>
<td>+32 2 5842098</td>
<td>Antonio.rodriguez-de-</td>
</tr>
</tbody>
</table>
### International Cooperation

<table>
<thead>
<tr>
<th>Name</th>
<th>Post / Institution</th>
<th>Phone nº</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sergio Martín-Moreno Llansó</td>
<td>General Coordinator of the Spanish International Cooperation Agency for Development (AECID)</td>
<td>+591 2 211 65 95</td>
<td><a href="mailto:aecid@aecid.bo">aecid@aecid.bo</a></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><a href="mailto:sergio.martin-moreno@aecid.bo">sergio.martin-moreno@aecid.bo</a></td>
</tr>
<tr>
<td>Africa Sanchis Salá</td>
<td>Officer in charge of AECID’s Assistance Effectiveness Unit (AECID) – Embassy of Spain in Bolivia</td>
<td>+591-2- 243 35 15 ext. 231</td>
<td><a href="mailto:africasanchis@aecid.bo">africasanchis@aecid.bo</a></td>
</tr>
<tr>
<td>Jens Busma</td>
<td>Head of German Cooperation – Coordination Advisor of donors, governance and water</td>
<td>+591 2 2440066 int 510</td>
<td><a href="mailto:Wz-1@lapa.diplo.de">Wz-1@lapa.diplo.de</a></td>
</tr>
<tr>
<td>Félix Longobardi</td>
<td>Head of Cooperation – Embassy of Italy in Bolivia</td>
<td></td>
<td><a href="mailto:eddyblasquez@utlamerica.com">eddyblasquez@utlamerica.com</a></td>
</tr>
<tr>
<td>Antonino de Leo</td>
<td>Representative in – UNODC</td>
<td>+591 720 04817</td>
<td><a href="mailto:Antonino.deleo@UNODC.org">Antonino.deleo@UNODC.org</a></td>
</tr>
<tr>
<td>Hernán Benchaya</td>
<td>Technical Assistance (TA) PACSBIO – Program in Support of the Sustainable Preservation of Biodiversity</td>
<td>+591 2 2432047</td>
<td><a href="mailto:hbenchaya@eptisa.com">hbenchaya@eptisa.com</a></td>
</tr>
<tr>
<td>Sergio Torres</td>
<td>WFP Program Director, Bolivia</td>
<td>+59167011749</td>
<td><a href="mailto:Sergio.torres@wfp.org">Sergio.torres@wfp.org</a></td>
</tr>
<tr>
<td>Rolando Mirabel</td>
<td>JATI EMPLEOMIN</td>
<td>+591 52 46956 / 79396742</td>
<td><a href="mailto:Mirabel.empleomin@gmail.com">Mirabel.empleomin@gmail.com</a></td>
</tr>
<tr>
<td>León Merlot</td>
<td>TA PACSBIO Program</td>
<td>+591 2 2432047</td>
<td></td>
</tr>
<tr>
<td>Paolo Roggeri</td>
<td>Coordinator DOPA-PACSBIO</td>
<td>+393481411405</td>
<td><a href="mailto:paolo.roggeri@jrc.ec.europa.eu">paolo.roggeri@jrc.ec.europa.eu</a></td>
</tr>
<tr>
<td>Rodrigo Tarquino</td>
<td>DOPA-PACSBIO</td>
<td>+59179691953</td>
<td><a href="mailto:rodrigo.tarquino@gmail.com">rodrigo.tarquino@gmail.com</a></td>
</tr>
<tr>
<td>Holger Utermohlen</td>
<td>TA lake Poopó Project</td>
<td>+591 7896931355</td>
<td><a href="mailto:Makis_oikonomou@yahoo.com">Makis_oikonomou@yahoo.com</a></td>
</tr>
<tr>
<td>Makis Oikonomou</td>
<td>TA PASAP</td>
<td>+591 76294301</td>
<td></td>
</tr>
<tr>
<td>Sergio Urioste</td>
<td>TA PAPS II</td>
<td>+591 76294301</td>
<td></td>
</tr>
<tr>
<td>Frédéric Urfer</td>
<td>TA CONALTID</td>
<td>+591 2 24386017</td>
<td><a href="mailto:urferfrederick@gmail.com">urferfrederick@gmail.com</a></td>
</tr>
<tr>
<td>Franz Rojas</td>
<td>TA MMAyA Comprehensive Plan</td>
<td>+5917896931355</td>
<td></td>
</tr>
<tr>
<td>Has Willet</td>
<td>Consultant – Comprehensive Plan</td>
<td>+591 78931355</td>
<td></td>
</tr>
<tr>
<td>Prem-Jai Vidaurre</td>
<td>Inter-American Development Plan</td>
<td>+591 70695947</td>
<td></td>
</tr>
<tr>
<td>Thomas Bodenschatz</td>
<td>Cooperation section – Embassy of Germany in Bolivia</td>
<td>+591 76294301</td>
<td></td>
</tr>
<tr>
<td>Roland Provot</td>
<td>Head of Cooperation – Embassy of Belgium in Bolivia</td>
<td>+591 76294301</td>
<td></td>
</tr>
<tr>
<td>Lars-Henrik Worsor</td>
<td>Head of Cooperation – Embassy of Denmark in Bolivia</td>
<td>+591 76294301</td>
<td></td>
</tr>
<tr>
<td>Eva Ohlsson</td>
<td>Head of Cooperation – Embassy of Sweden in Bolivia</td>
<td>+591 76294301</td>
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</tr>
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## Government of Bolivia

<table>
<thead>
<tr>
<th>Name</th>
<th>Post / Institution</th>
<th>Phone nº</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Harley Rodríguez</td>
<td>Vice-Minister of Public Investment and Foreign Financing – VIPFE</td>
<td>+591 2 2189000</td>
<td><a href="mailto:Harley.rodriguez@vipfe.gob.bo">Harley.rodriguez@vipfe.gob.bo</a></td>
</tr>
<tr>
<td>Myragliha Giles Castillo</td>
<td>General Director of Foreign Financing Management – VIPFE</td>
<td>+591 2 2391062</td>
<td><a href="mailto:Myragliha.giles@vipfe.gob.bo">Myragliha.giles@vipfe.gob.bo</a></td>
</tr>
<tr>
<td>Stephanie Bellot Kalteis</td>
<td>Head of Foreign Financing Unit– VIPFE</td>
<td>+591 2 2189000</td>
<td><a href="mailto:Stephanie.bellot@vipfe.gob.bo">Stephanie.bellot@vipfe.gob.bo</a></td>
</tr>
<tr>
<td>José Pedro Ureña</td>
<td>Financing Operating Unit– VIPFE</td>
<td>+591 2 2189000</td>
<td><a href="mailto:Jose.urena@vipfe.gob.bo">Jose.urena@vipfe.gob.bo</a></td>
</tr>
<tr>
<td>Ana Verónica Ramos Morales</td>
<td>General Manager – Productive Development Bank (BDP)</td>
<td>+591 2 2157171</td>
<td><a href="mailto:Veronica.ramos@bdp.com.bo">Veronica.ramos@bdp.com.bo</a></td>
</tr>
<tr>
<td>Sergio Cusicanqui</td>
<td>General Manager of Public Credit – Ministry of Economy and Public Finance – PAMEFF, Program in Support of the Improvement of the Financial and Fiscal environment of MSMEs (APS)</td>
<td>+591 2 2203434</td>
<td><a href="mailto:Sergio.Cusicanqui@economiafinanzas.gob.bo">Sergio.Cusicanqui@economiafinanzas.gob.bo</a></td>
</tr>
<tr>
<td>Gumersindo Pucho Mamani</td>
<td>Vice-Ministry of Coca and Comprehensive Development</td>
<td>+591 673 33210</td>
<td><a href="mailto:g.pucho@vcdigob.bo">g.pucho@vcdigob.bo</a></td>
</tr>
<tr>
<td>Nelson Delgadillo</td>
<td>Coordinator – Vice-Ministry of Comprehensive Development with Coca</td>
<td>+ 591 720 09594</td>
<td><a href="mailto:cocainelson@hotmail.com">cocainelson@hotmail.com</a></td>
</tr>
<tr>
<td>Jesús Sáenz</td>
<td>Head of Unit of the Vice-Ministry of Coca and Comprehensive Development</td>
<td>+ 591 775 25220</td>
<td><a href="mailto:jesus.sanchez@yahoo.es">jesus.sanchez@yahoo.es</a></td>
</tr>
<tr>
<td>Luis Luna</td>
<td>Advisor – Ministry of Mining and Metallurgy</td>
<td>+59170619007</td>
<td></td>
</tr>
<tr>
<td>Ibert Lugones</td>
<td>General Director - Agricultural Production</td>
<td>+59170111625</td>
<td></td>
</tr>
<tr>
<td>Kery Prado</td>
<td>Proex (ex Produce)</td>
<td>+591 2 2146687</td>
<td><a href="mailto:kery.antonio@yahoo.com">kery.antonio@yahoo.com</a></td>
</tr>
<tr>
<td>Eduardo Ortiz</td>
<td>POOPO’s National Coordinator – Sustainable Management of the natural resources of lake Poopó’s basin – Oruro program</td>
<td>+591 2 5253863 /67202579</td>
<td><a href="mailto:eortiz@cuencapospo.com">eortiz@cuencapospo.com</a></td>
</tr>
<tr>
<td>Carlos René Ortúñio Yáñez</td>
<td>Vice-Ministry of Water Resources and Risk</td>
<td></td>
<td><a href="mailto:carlos.ortuno@riegobolivia.org">carlos.ortuno@riegobolivia.org</a></td>
</tr>
<tr>
<td>Roberto Salvatierra Zapata</td>
<td>Vice-Minister of Environment, Biodiversity, Climate Change and Forestry Management and Development</td>
<td>+591 2 2146382</td>
<td><a href="mailto:rsalvatierra8@gmail.com">rsalvatierra8@gmail.com</a></td>
</tr>
<tr>
<td>Fernando Ponce de León</td>
<td>Advisor – Vice-Ministry of Environment</td>
<td>+591 72007573</td>
<td><a href="mailto:Fernando.ponceleleon@gmail.com">Fernando.ponceleleon@gmail.com</a></td>
</tr>
<tr>
<td>Vladimir Requena</td>
<td>Monitoring and Evaluation Technician - SERNAP</td>
<td>+59172038892</td>
<td></td>
</tr>
<tr>
<td>Héctor Nina</td>
<td>Bio-commerce management professional – Directorate General of Biodiversity-VMA</td>
<td>+591 72015216</td>
<td><a href="mailto:hector_nch@yahoo.es">hector_nch@yahoo.es</a></td>
</tr>
<tr>
<td>Leonor Caliconde</td>
<td>Administrative – financial professional – Directorate General of Biodiversity -VMA</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emma Quiroga</td>
<td>Director of SENASBA</td>
<td>+591 72039322</td>
<td><a href="mailto:emma.quiroga@senasba.gob.bo">emma.quiroga@senasba.gob.bo</a></td>
</tr>
<tr>
<td>Lorena Ferreyra</td>
<td>Planning Manager - SENASBA</td>
<td>+591 72270429</td>
<td><a href="mailto:lorena.ferreyra@senasba.gob.bo">lorena.ferreyra@senasba.gob.bo</a></td>
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## Local Authorities / Civil Society / Private Sector

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<td><strong>Civil society organizations and local governments - Tropic of Cochabamba</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monica Montellano</td>
<td>VMA Office</td>
<td>+591 70587350</td>
<td><a href="mailto:Monica.montellano.pdf@gmail.com">Monica.montellano.pdf@gmail.com</a></td>
</tr>
<tr>
<td>Marco Antonio Pérez</td>
<td>Planning Directorate - MMayA</td>
<td>+591 79504442</td>
<td><a href="mailto:marant.pr@hotmail.com">marant.pr@hotmail.com</a></td>
</tr>
<tr>
<td>Pamela Flores Ayaviri</td>
<td>VMA</td>
<td>+591 60405665</td>
<td><a href="mailto:fazapamela@gmail.com">fazapamela@gmail.com</a></td>
</tr>
<tr>
<td>Juan Carlos Zurita</td>
<td>VMA</td>
<td>+591 79561007</td>
<td><a href="mailto:jcarloszurita@gmail.com">jcarloszurita@gmail.com</a></td>
</tr>
<tr>
<td>Vladimir Requena</td>
<td>SERNAP</td>
<td>+591 72038892</td>
<td><a href="mailto:vladiero@gmail.com">vladiero@gmail.com</a></td>
</tr>
<tr>
<td>Eduardo Durán</td>
<td>SERNAP</td>
<td>+591 68226382</td>
<td><a href="mailto:Ediduran@gmail.com">Ediduran@gmail.com</a></td>
</tr>
<tr>
<td>Miguel Murillo</td>
<td>General Manager of Planning MDrYT (ex PASA)</td>
<td>+591 2 2111076 / 71292751</td>
<td><a href="mailto:murilloillanes@gmail.com">murilloillanes@gmail.com</a></td>
</tr>
<tr>
<td>Gustavo Clavijo</td>
<td>Head of Quinoa Program - MDrYT</td>
<td>+591 79396742</td>
<td></td>
</tr>
<tr>
<td>Eraln Oropeza</td>
<td>FONADAL</td>
<td>+ 591 712 40006</td>
<td><a href="mailto:info@fonadal.gob.bo">info@fonadal.gob.bo</a></td>
</tr>
<tr>
<td>Luis Fernando Baudoin Olea</td>
<td>Vice-Minister of Domestic Commerce and Exports – Ministry of Productive Development and Plural Economy</td>
<td>+591 2 2372057</td>
<td><a href="mailto:Luis.baudoin@produccion.gob.bo">Luis.baudoin@produccion.gob.bo</a></td>
</tr>
<tr>
<td>Marco Antonio Ibáñez Pérez</td>
<td>Director - PROEX</td>
<td>+591 2 2372057</td>
<td></td>
</tr>
<tr>
<td>Gilmar Johnny Arciénega Toranzo</td>
<td>Advances Manager - PROEX</td>
<td>+591 2 2372057</td>
<td><a href="mailto:gijat@hotmail.com">gijat@hotmail.com</a></td>
</tr>
<tr>
<td>Luis Pereira</td>
<td>Director - INE</td>
<td></td>
<td><a href="mailto:lpereira@ine.gob.bo">lpereira@ine.gob.bo</a></td>
</tr>
<tr>
<td>Edwin Rojas</td>
<td>Vice-Minister of Treasury and Public Credit</td>
<td>+591 2 203328 / 70560416</td>
<td><a href="mailto:edwin.rojas@economiafinanzas.gob.bo">edwin.rojas@economiafinanzas.gob.bo</a></td>
</tr>
<tr>
<td>René Ernesto Fernandez Revollo</td>
<td>Ambassador of Bolivia in Belgium</td>
<td>+32 2 627 00 10</td>
<td><a href="mailto:info@embajadadebolivia.eu">info@embajadadebolivia.eu</a></td>
</tr>
<tr>
<td>Lucía Aliaga</td>
<td>Trade Attaché – Embassy of Bolivia before the EU - Brussels</td>
<td>+32 2 6270010</td>
<td><a href="mailto:Lucia.aliaga@embajadadebolivia.eu">Lucia.aliaga@embajadadebolivia.eu</a></td>
</tr>
<tr>
<td>Luis Rojas Martínez</td>
<td>First Secretary – Embassy of Bolivia before the EU - Brussels</td>
<td></td>
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<tr>
<td>Magda Quispe</td>
<td>Executive Secretary - Confederación Campesina de Yungas de La Paz (COFECAY)</td>
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<tr>
<td>Clemente Condoriano</td>
<td>Mayor - Irupana</td>
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<tr>
<td>David Aro</td>
<td>Councilwoman - Irupana</td>
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<td>Ramiro Arias</td>
<td>Councilwoman - Iruptana</td>
<td></td>
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<tr>
<td>Lucia Yanarico</td>
<td>Councilman - Iruptana</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Civil Society / Local Authorities

- **Rimer Agreda**: President of the Association of Municipalities of the Tropic of Cochabamba (MMTC)
- **Feliciano Mamani**: Mayor - Villa Tunari
- **Victor Cadima**: Manager - MMTC
- **Miguel Soto**: Councilman - Villa Tunari
- **Servanda Muñoz**: Executive – Carrasco Tropic Women’s Federation
- **Severo Delgado**: Executive - Federación Centrales Unidas.
- **Cristina Condori**: Councilwoman - Shinahota
- **Florinda Alvarez**: Councilwoman - Shinahota.
- **Victor Hugo Castro**: Responsible for DEL FONADAL

- **Magda Quispe**: Executive Secretary - Confederación Campesina de Yungas de La Paz (COFECAY)
- **Clemente Condoriano**: Mayor - Irupana
- **David Aro**: Councilwoman - Irupana
- **Ramiro Arias**: Councilman - Irupana
- **Lucia Yanarico**: Councilman - Irupana
<table>
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<tr>
<th>Name</th>
<th>Post / Institution</th>
<th>Phone nº</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jorge Mariaca Peláez</td>
<td>Technical Coordinator – Association of Municipalities of Northern Tropical La Paz</td>
<td>+591 2 2112145</td>
<td><a href="mailto:jmariaca@nortepaceno.org">jmariaca@nortepaceno.org</a></td>
</tr>
<tr>
<td>Víctor Yapu</td>
<td>Practical Solutions – Representative Bolivia’s Office</td>
<td>+591 2 2119345</td>
<td><a href="mailto:vyapu@solucionespracticas.org.bo">vyapu@solucionespracticas.org.bo</a></td>
</tr>
<tr>
<td>Raúl Espinoza Trujillo</td>
<td>Ayuda en Acción – Project Officer, Head of Risks and Humanitarian Aid</td>
<td>+591 2 2421068</td>
<td><a href="mailto:respinoza@ayudaenaccion.org">respinoza@ayudaenaccion.org</a></td>
</tr>
<tr>
<td>Aurelio Danna</td>
<td>Legal Officer – Mondo Mlal Project – Bolivia</td>
<td>+591 67456599</td>
<td><a href="mailto:bolivia.danna@mlal.org">bolivia.danna@mlal.org</a></td>
</tr>
<tr>
<td>Eduardo Forno</td>
<td>Adjunct Coordinator CONGI – Coordinating Body of Non-governmental International Organizations</td>
<td>591-22797700</td>
<td><a href="mailto:eforno@conservation.org">eforno@conservation.org</a></td>
</tr>
<tr>
<td>René Van Der Poel,</td>
<td>Delegate of CONGI – Coordinating Body of Non-governmental International Organizations</td>
<td></td>
<td><a href="mailto:rvanderpoel@oxfam.org">rvanderpoel@oxfam.org</a></td>
</tr>
<tr>
<td>Jorge Abastoflor</td>
<td>Executive Secretary CONGI – Coordinating Body of Non-governmental International Organizations</td>
<td>591-72079548</td>
<td><a href="mailto:jabastoflor@congi.org">jabastoflor@congi.org</a></td>
</tr>
<tr>
<td>Sara Metais</td>
<td>Director - Agronomists and Veterinarians without Borders (NGO)</td>
<td>+59170150123</td>
<td></td>
</tr>
<tr>
<td>Matías Honnen</td>
<td>General Manager - Hiller Electric Santa Cruz (Empresa)</td>
<td>+59133522520</td>
<td></td>
</tr>
<tr>
<td>Boris Branisa</td>
<td>General Manager - INESAD (ThinkTank)</td>
<td>+59122146069</td>
<td><a href="mailto:bbranisa@inesad.edu.bo">bbranisa@inesad.edu.bo</a></td>
</tr>
<tr>
<td>Julio Silva</td>
<td>General Manager - Cluster Al-Invest CAINCO Santa Cruz (professional group)</td>
<td>+59133334555</td>
<td></td>
</tr>
<tr>
<td>Juan Manuel Santomé Calleja</td>
<td>Assistant Manager - ROM Team Latin-America – EPTISA</td>
<td></td>
<td><a href="mailto:jxantome@eptisa.com">jxantome@eptisa.com</a></td>
</tr>
<tr>
<td>César Martín Mon</td>
<td>ROM Coordinator – Latin-America – EPTISA</td>
<td></td>
<td><a href="mailto:cmartinmon@eptisa.com">cmartinmon@eptisa.com</a></td>
</tr>
<tr>
<td>Roberto Canessa</td>
<td>ROM Consultant – Budget Support – EPTISA</td>
<td></td>
<td><a href="mailto:r.canessa@tiscali.it">r.canessa@tiscali.it</a></td>
</tr>
<tr>
<td>Giovanni Caprio</td>
<td>Consultant – Macroeconomist – ROM EPTISA</td>
<td>+1 613 7465056 +41 79 3523805</td>
<td><a href="mailto:Giovanni@caprio.com">Giovanni@caprio.com</a></td>
</tr>
</tbody>
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Other

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<thead>
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<th>Name</th>
<th>Post / Institution</th>
<th>Phone nº</th>
<th>E-mail</th>
</tr>
</thead>
</table>

Matías Honnen
General Manager - Hiller Electric Santa Cruz (Empresa)
+59133522520

Boris Branisa
General Manager - INESAD (ThinkTank)
+59122146069 bbranisa@inesad.edu.bo

Julio Silva
General Manager - Cluster Al-Invest CAINCO Santa Cruz (professional group)
+59133334555

Juan Manuel Santomé Calleja
Assistant Manager - ROM Team Latin-America – EPTISA
jxantome@eptisa.com

César Martín Mon
ROM Coordinator – Latin-America – EPTISA
cmartinmon@eptisa.com

Roberto Canessa
ROM Consultant – Budget Support – EPTISA
r.canessa@tiscali.it

Giovanni Caprio
Consultant – Macroeconomist – ROM EPTISA
+1 613 7465056 +41 79 3523805 Giovanni@caprio.com
## Annex 5 – List of EC interventions – ALA-DCI budgeting line

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<td>Administrative support 2009 - ATA DCI Thematic Programmes - Directorate F</td>
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<td>2009</td>
<td>ADM-MULTI/2009/021-205</td>
<td>Administrative support 2009 - ATA DCI Thematic Programmes - Directorate F</td>
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<td>2011</td>
<td>ADM-MULTI/2011/023-034</td>
<td>Administrative Support 2011 - ATA DCI Thematic Programmes NSA &amp; LA.</td>
<td>1,450,000.00</td>
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### Annex 6 – EC’s interventions in Bolivia financed through “thematic lines”

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### Annex 7 – EC’s interventions in Bolivia financed through ECHO between 2007 and 2013

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<td>Epidemic</td>
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<td>€ 17,186.00</td>
<td>ECHO Contribution to DREF - IFRC</td>
<td>IFRC-FICR</td>
<td>2011</td>
<td>Health and Medical</td>
</tr>
<tr>
<td>Floods</td>
<td>ECHO/DRF/BUD/20 10/03021</td>
<td>€ 200,000.00</td>
<td>Emergency response to the dengue outbreak in Peru and Bolivia</td>
<td>PAHO</td>
<td>2011</td>
<td>Health and Medical</td>
</tr>
<tr>
<td>Epidemic</td>
<td>ECHO/DRF/BUD/20 10/01011</td>
<td>€ 175,000.00</td>
<td>Building resilience to natural disasters in the Municipality of La Paz? Bolivia</td>
<td>OXFAM - UK</td>
<td>2011</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 11/91004</td>
<td>€ 850,000.00</td>
<td>Preparedness and risk reduction in response to extreme climate events and water supply problems in vulnerable communities of the Peruvian - Bolivian highlands.</td>
<td>FAO</td>
<td>2011</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 11/91008</td>
<td>€ 450,000.00</td>
<td>Resilient communities prepared to cope with floods, droughts and forest fires in the tropical regions of Bolivia</td>
<td>SAVE THE CHILDREN - NLD</td>
<td>2011</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 11/91022</td>
<td>€ 820,000.00</td>
<td>Strengthened Disaster Risk Reduction in South America through greater fostering of the Hyogo Framework for Action priorities for action at the local, national and regional levels</td>
<td>UN - ISDR</td>
<td>2011</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 11/91012</td>
<td>€ 110,000.00</td>
<td>Building resilient communities by making health networks safe from disasters in South America</td>
<td>PAHO</td>
<td>2011</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DP</td>
<td>ECHO/- AM/BUD/2011/910 02</td>
<td>€ 2,000,000.00</td>
<td>Heñói - Increasing local resilience to drought, building on successful strategies to protect and strengthen traditional livelihoods and food security conditions of vulnerable families in the Bolivian Chaco</td>
<td>ACH- ESP</td>
<td>2011</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>Disaster type</td>
<td>Contract Number</td>
<td>Contribution from ECHO</td>
<td>Contract title</td>
<td>Partner short name</td>
<td>Statistical year</td>
<td>Primary aid type</td>
</tr>
<tr>
<td>---------------</td>
<td>-----------------</td>
<td>------------------------</td>
<td>----------------</td>
<td>-------------------</td>
<td>------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>Cold Wave</td>
<td>ECHO/DRF/BUD/20 10/03028</td>
<td>€ 200,000.00</td>
<td>Humanitarian aid through emergency and recovery assistance to vulnerable communities affected by snow storms and cold temperatures in Potosí, Bolivia.</td>
<td>FAO</td>
<td>2011</td>
<td>Food</td>
</tr>
<tr>
<td>Floods</td>
<td>ECHO/DRF/BUD/20 12/92005</td>
<td>€ 200,000.00</td>
<td>Humanitarian aid through emergency and recovery assistance to vulnerable communities affected by flooding in Oruro, Bolivia.</td>
<td>FAO</td>
<td>2012</td>
<td>Food</td>
</tr>
<tr>
<td>Floods</td>
<td>ECHO/-SM/BUD/2012/91004</td>
<td>€ 360,000.00</td>
<td>Humanitarian assistance and livelihood support to vulnerable communities affected by adverse hazards in the Departments of Oruro and Cochabamba - Bolivia.</td>
<td>FAO</td>
<td>2012</td>
<td>Food</td>
</tr>
<tr>
<td>Floods</td>
<td>ECHO/-SM/BUD/2012/91005</td>
<td>€ 220,600.00</td>
<td>Humanitarian assistance and nutritional support to vulnerable communities affected by floods in the Altiplano area of Bolivia.</td>
<td>COOPI</td>
<td>2012</td>
<td>Food</td>
</tr>
<tr>
<td>Floods</td>
<td>ECHO/DRF/BUD/20 13/91001</td>
<td>€ 146,267.00</td>
<td>ECHO Contribution to DREF - IFRC MDRBO008</td>
<td>IFRC-FICR</td>
<td>2013</td>
<td>Food</td>
</tr>
<tr>
<td>Floods</td>
<td>ECHO/DRF/BUD/20 13/92002</td>
<td>€ 300,000.00</td>
<td>Emergency humanitarian aid for livelihood recovery / productive rehabilitation of farming communities in the San Juan del Oro River basin.</td>
<td>GERMAN AGRO ACTION</td>
<td>2013</td>
<td>Water / Sanitation</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 13/93004</td>
<td>€ 850,000.00</td>
<td>Building urban resilience to natural hazards in the metropolitan areas of La Paz and El Alto.</td>
<td>OXFAM - UK</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 13/93013</td>
<td>€ 450,000.00</td>
<td>Multi-country approach to strengthen effective disaster risk management capacities of public institutions, authorities, and civil society in Bolivia, Brazil, Ecuador and Peru (summary of 4 country proposals).</td>
<td>CARE NEDERLAND (FORMER DRA)</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/20 13/93009</td>
<td>€ 500,000.00</td>
<td>Building resilience in the livelihoods of family farming communities of Bolivia and Colombia.</td>
<td>FAO</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>Disaster type</td>
<td>Contract Number</td>
<td>Contribution from ECHO</td>
<td>Contract title</td>
<td>Partner short name</td>
<td>Statistical year</td>
<td>Primary aid type</td>
</tr>
<tr>
<td>---------------</td>
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</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/2013/93001</td>
<td>€ 65,000.00</td>
<td>Strengthened Disaster Risk Reduction in South America through greater fostering of the Hyogo Framework for Action priorities for action at the local, national and regional levels 2013-2014</td>
<td>UN - ISDR</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/2013/93012</td>
<td>€ 27,500.00</td>
<td>Knowledge Management: Improving decision making processes for local risk reduction and resilience through better knowledge and awareness and effective, validated and innovative tools and methodologies</td>
<td>IFRC-FICR</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DIPECHO</td>
<td>ECHO/DIP/BUD/2013/93008</td>
<td>€ 45,000.00</td>
<td>Perspectives on HFA implementation in South America: advocacy on risk reduction policies at local level</td>
<td>PA_05</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
<tr>
<td>DP</td>
<td>ECHO/-/AM/BUD/2013/91002</td>
<td>€ 1,500,000.00</td>
<td>Geñoi - Consolidating local resilience to drought, on the basis of successful strategies to protect and strengthen traditional livelihoods and food security conditions of vulnerable families in the Bolivian Chaco. Phase II</td>
<td>ACH- ESP</td>
<td>2013</td>
<td>Disaster preparedness</td>
</tr>
</tbody>
</table>

**TOTAL 2007 / 2013** | **19,492,103.56** |
Annex 8 – Evaluation Matrixes with Collected Data – Final Version

<table>
<thead>
<tr>
<th>EQ 1</th>
<th>Strategic alignment and flexibility</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?</td>
</tr>
</tbody>
</table>

**DAC evaluation criteria:** Relevance  
**Additional key aspects:** Coherence, Principles of the Declaration of Paris

**Rationale:**
The 2005 European Consensus establishes as primary objective of the cooperation for Development, the eradication of poverty within a sustainable development context, as well as the fulfillment of the Millennium Development Goal (MDGs); and highlights the importance of the promotion of good governance, human rights and democracy to achieve fair and equitable globalization. The 2006-2010 National Development Plan and the 2025 Patriotic Agenda are also aimed at poverty reduction and the creation of a more inclusive society. Bolivia suffers high levels of poverty and social exclusion particularly affecting the indigenous population, women and children.

Within the framework of EU-Bolivia relations, policies, strategies and a whole set of actions have been designed reflecting national necessities and priorities and taking into account local reality. This work meets the country's changing necessities, where the identification of priority axes is in tune with national commitments, in consonance with the principles of the Declaration of Paris and answering to economic, social and political development processes. In addition to consultation with official and governmental channels, civil society appreciates and positively values strategy actions. The question looks to find out if these assumptions have held true.

### Evaluation Criteria

<table>
<thead>
<tr>
<th>EC 1.1: EU's support strategy is in line with national necessities and priorities as established by the 2006-10/201-15 National Development Plans (PND), and the 2025 Patriotic Agenda of Bolivia.</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.1.1.1 Degree of participation on the part of government and civil society institutions in the process of identifying priorities and defining interventions</td>
</tr>
<tr>
<td>I.1.1.2 Programming and formulation documents and agreements explicitly show how proposed intervention address challenges identified at political level and in selected work areas</td>
</tr>
<tr>
<td>I.1.1.3 Use on part of the EU of indicators of national development plans and strategies for EU's intervention sectors</td>
</tr>
<tr>
<td>I.1.1.4 Financial resources allocated and implementation modalities are appropriate to meet objectives</td>
</tr>
<tr>
<td>I.1.1.5 Main interested parties at local, regional and/or national level confirm the response consistency and capacity of EU's support to national priorities</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EC 1.2: EU's support strategy has adapted to political changes (Constitution, autonomies) and in relation to economic structure (more State presence in the economy).</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.1.2.1 EU’s priorities and objectives are redefined as a function of timely events, specific needs and new priorities agreed upon through political dialogue</td>
</tr>
<tr>
<td>I.1.2.2 Degree of participation of national strategic development actors in the formulation of the adjustment of EU’s sector support strategies (if adjustments have taken place)</td>
</tr>
<tr>
<td>I.1.2.3 EU’s strategy is adapted to the financial and programming terms of the country’s changing necessities</td>
</tr>
<tr>
<td>I.1.2.4 Main interested parties at local, regional and/or national level value the desired/expected flexibility of the EU in comparison with flexibility effectively achieved.</td>
</tr>
</tbody>
</table>

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1 Alignment with development strategies, institutions and procedures for beneficiary countries, Harmonization, Ownership, Management for Results and mutual accountability
| EQ 1 | **Strategic alignment and flexibility**  
To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time? |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Information sources:</strong></td>
<td><strong>Methods:</strong></td>
</tr>
<tr>
<td>• GoB’s global and sector documents</td>
<td>• Documentary analysis</td>
</tr>
<tr>
<td>• EC’s CSP and NIP for the 2007-2013 period</td>
<td>• Interview analysis</td>
</tr>
<tr>
<td>• EUD’s AMPs</td>
<td>• Inventory analysis</td>
</tr>
<tr>
<td>• EUD’s EAMRs</td>
<td></td>
</tr>
<tr>
<td>• Inventory of EU’s financial commitments (bilateral level under programmable and non-programmable assistance)</td>
<td></td>
</tr>
<tr>
<td>• Financing agreements, action fiches, monitoring reports evaluations, etc.</td>
<td></td>
</tr>
<tr>
<td>• Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level</td>
<td></td>
</tr>
<tr>
<td>• Additional external studies and reports</td>
<td></td>
</tr>
<tr>
<td>• Field visits</td>
<td></td>
</tr>
</tbody>
</table>

**EC 1.1:**  
EU’s support strategy is in line with national necessities and priorities as established by the 2006-10/201-15 National Development Plans (PND), and the 2025 Patriotic Agenda of Bolivia.

**1.1.1.1 Degree of participation on the part of government and civil society institutions in the process of identifying priorities and defining interventions**

According to reports of intervention formulation missions, processes related to identifying priorities and defining interventions take place with high participation on the part of government institutions and are agreed on together with civil society in so far as the interventions within the framework of governmental policies requires it. In subsectors such as PNC (National Basin Plan), Protected Areas and PNDIC (Comprehensive Development with Coca National Plan), where civil society plays a shared policy management role, its participation is higher. The degree of participation starting at formulation seems to contribute to improving accountability processes, above all within the framework of budget support to government policies, which include indicators where social participation is part of the goals and these goals have been reached by the first generation of budget support (programs). According to these same reports, high program ownership can be observed on part of government institutions; interest and coherence between program design and government policies, which look in cross-cutting fashion for the institutional strengthening of sectors, as well as for high participation on part of civil society within the framework of policies.

In this sense, EC’s assistance to Bolivia, within the framework of the European Instrument for Democracy and Human Rights, has been an important tool in support of activities and the strengthening of civil society with respect to the protection and promotion of human rights. Other instruments contributing to this purpose are URBAL and AL-Invest, in addition to the strengthening performed through these programs of MSMEs (sector 1), productive organizations and trade unions (sector 2), Basin Management Organisms and within the framework of Shared Management of protected areas. It is recognized that CSOs’ projects in Bolivia can help most vulnerable populations through well-organized interventions, above all at local level, and with respect to health, human rights, local economic development, environmental and food security concerns. This fact can be verified by looking at the participation of civil society in the definition of programs identified and formulated during the evaluation period.

During the field phase, the processes for the formulation of project approach interventions were researched, highlighting that the insertion of Bolivian institutional framework is very relevant, and if management units are not direct institutions, parallel units tend to be created to the existing institutional framework, such as the cases of Poopol and Empleomin.
### EQ 1: Strategic alignment and flexibility

#### To what extent have the objectives of EU's development cooperation in Bolivia responded to Bolivia's development priorities and its evolution in time?

<table>
<thead>
<tr>
<th>I.1.1.2 Programming and formulation documents and agreements explicitly show how proposed intervention address challenges identified at political level and in selected work areas</th>
</tr>
</thead>
</table>

In particular programming and formulation documents and agreements (specifically in the TAPs through objectives, outcomes and corresponding indicators), explicitly show how proposed intervention address challenges identified at political level and in selected work areas. This process has been improved within the framework of interventions under the SBS modality because it requires an analysis of sector policy based on sector information and previously performed diagnostics.

The following are the main challenges to each sector:

**Sector 1:**

Promote the development and formalization of MSMEs from the financial and fiscal environment to create employment and improve income. The financial system should provide support to the development of the productive sector generator of income and employment, within the framework of a plural economy, and become a support of the country's productive and industrial transformation based on the strengthening of productive units: micro, small and medium size enterprises as well as community organizations.

**Sector 2:**

Food security: Contribute to government actions to reduce the impact of food price rises on most vulnerable populations, strengthening the productive and institutional capacities of the agricultural sector and reinforcing government’s actions aimed at stimulating the production of basic food staples, consumption of local families and markets. Increase the capacities of families and communitarian associations with respect to food production, looking to make agriculture a source of decent income for the producer.

PNDIC: Consolidate the Comprehensive Development sector policy and its institutional framework, interrelating it with similar sectors, socially shared with social actors and institutions working in the coca leaf production problematic, and agreed on jointly with the international community, under the principles of national sovereignty and dignity. Technical and administrative strengthening of sectors and social actors related to the coca leaf production issue for them to demand in sustainable and coherent fashion and with capacity the execution of actions and initiatives.

**Sector 3:**

Strengthen the organization and technical capacities of local actors for sustainable and comprehensive basin management; reinforce an institutional framework favorable (actors and their legislation and regulations) to the sustainable management of Water Resources and Natural Resources and consolidate the sustainable management of cross-border basins, as well as the sustainable management of cross-border ecosystems.

Strengthen the national system of protected areas, promoting shared management and the economic and social role played by communities living in protected areas as per the national regulation framework.

For supported sectors is important to point out the existence of diagnostics identifying existing challenges at the political level and in selected work areas, developed within the framework of previously EU financed programs and the inclusion in EU's program designs of other complementary diagnostics developed by other Member States and other donors used as reference in the design of interventions. Given the relevance of the strengthening of institutional frameworks and formulation, implementation, monitoring and evaluation capacities, the EU has included technical assistance support in most programs. It has been noted that based on final reports or the systematization of technical assistance of the PNDIC I and PNC I, this assistance can be more or less tailor-made because areas with improvement potential are specifically known, applying different high-impact modalities and conductive to more ownership, as well as flexibility to respond to a demand based on the sector's necessities. This measure will permit a more successful addressing at institutional capacities which remains a challenge in Bolivia.

Within this same context, we point out the challenges and risks concerning sector policy reports, which should be monitored within the framework of policy dialogue processes. Some of these are closely related to the quality of PEFs, monitoring system, sector financial sustainability and the articulation with sub-national levels, at inter-

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2 When we talk about capacity development, classic TA includes training and final user studies; impact will be increased if TA activities are focus more on training trainers and provide coaching to the processes used by national officers, generating more ownership.
**EQ 1**

**Strategic alignment and flexibility**

To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?

<table>
<thead>
<tr>
<th>Sector level and civil society. In more detail these are:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sector 1:</strong></td>
</tr>
<tr>
<td>PAMEFF</td>
</tr>
<tr>
<td>- There are limitations to the scope of BDP SAM actions in relation to the coverage of financial institutions.</td>
</tr>
<tr>
<td>- Problems have also been identified with loan repayment because of clients refusing to pay, something that is being worked on in the financial education program.</td>
</tr>
<tr>
<td><strong>Sector 2:</strong></td>
</tr>
<tr>
<td>Food security</td>
</tr>
<tr>
<td>- Insufficient financial resources to implement Law.</td>
</tr>
<tr>
<td>- Lesser participation on part of grassroots communitarian organizations.</td>
</tr>
<tr>
<td>- Climate change effects.</td>
</tr>
<tr>
<td>- Lack of involvement on part of autonomous governments (prefectures and/or municipalities)</td>
</tr>
<tr>
<td>- Difficulties with inter-ministry coordination.</td>
</tr>
<tr>
<td>PNDI / ENDI</td>
</tr>
<tr>
<td>- Installation and consolidation of active management by the VCDI.</td>
</tr>
<tr>
<td>- Creation of a performance Evaluation Framework (PEF) of sector policy.</td>
</tr>
<tr>
<td>- Development and consolidation of productive programs in areas covered by ENDI.</td>
</tr>
<tr>
<td>- Strengthening of programming and management capacities of municipal governments.</td>
</tr>
<tr>
<td>- Sustained progress of the sector toward sustainability through the gradual increase of internal contributions from the different sources of the TGN.</td>
</tr>
<tr>
<td><strong>Sector 3:</strong></td>
</tr>
<tr>
<td>PNC II</td>
</tr>
<tr>
<td>- Consolidation of PEF II with indicators and goals that show a qualitative lead, incorporating at least one or two impact indicators.</td>
</tr>
<tr>
<td>- Definition of a sector articulation and coordination space within the framework of the LMAD, including necessary regulations at MMAyA’s level so that departments and municipalities can participate actively in this space. At VRHR’s level, promotion of sub-sector articulation spaces within departmental and local environments, where decisions made are relevant to local levels. In the national environment, the VRHR will continue consolidating alliances in support of this policy.</td>
</tr>
<tr>
<td>- Progress toward the subsector’s financial sustainability through the articulation with other sectors and subsectors within the framework of a comprehensive management of water resources that permits showing its impacts.</td>
</tr>
<tr>
<td>- Keeping the leadership of the VRHR over the political dialogue with cooperation (entities), as well as with sub-national levels and civil society.</td>
</tr>
<tr>
<td>- Validation and use of management instruments constructed during the PNC I, as well as its socialization at department and municipality levels.</td>
</tr>
<tr>
<td>- Continue with the work toward the strengthening of the capacities of sub-national levels through strategic alliances between different government levels, civil society and academia.</td>
</tr>
<tr>
<td>- Progress on issues incorporated to the GIRH such as: gender, water risk management and climate change.</td>
</tr>
<tr>
<td>- Promotion of a focalized and comprehensive intervention within the framework of a close relationship between environment sub-sectors.</td>
</tr>
<tr>
<td>- Consolidation of a comprehensive information system for the GIRH in close collaboration with the DGP, other vice-ministries, academia and other sectors.</td>
</tr>
<tr>
<td>PASAP</td>
</tr>
<tr>
<td>- Consolidation of a strategy that meets the challenges posed by the Second pillar in route to 2025, “Universalization and socialization of all basic services, with sovereignty to “Live Well” because a large portion of the population still does not have access to them”.</td>
</tr>
<tr>
<td>- Development and implementation of a sector on-line information system.</td>
</tr>
<tr>
<td>- Strategies to achieve universal coverage (2025).</td>
</tr>
<tr>
<td>- Analysis of the pertinence of implementing storm drainage/sanitation drainage.</td>
</tr>
<tr>
<td>- Concretize the outcome of the period to adapt Annex A-2 of RMCH – Law 1333.</td>
</tr>
</tbody>
</table>
### EQ 1

#### Strategic alignment and flexibility

To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?

- Update pending sector regulations (MICSA, etc.).
- Update Basic Sanitation Sector Development Plan.
- Based on the results of the population and housing Census, analyze goals for PEF indicators. Update PEF.
- Annual evaluation of objectives programmed in the Sector Plan.
- Strengthen integration and coordination mechanisms with sub-national governments (governorates and municipalities).

#### I.1.1.3 Use on part of the EU of indicators of local development plans and strategies for EU intervention sectors

Indicators shown in programming and formulation documents and agreements coincide with the indicators of plans and policy strategies of supported sectors. The EU has even contributed to generating or consolidating national development plans and strategies in intervention sectors, as well as to establishing and improving performance evaluation frameworks, which going from being first more process and output type, to becoming during a second generation budget support outcome indicators, in some cases leaving impact still pending measurement.

**Sector 1:**

The following are the main indicators part of the PEF of sector policy as well as PAMEFF’s that will make possible developing a robust financial system and income redistribution through the democratization of loans for strategic sectors of the economy:

- Number of jobs generated for men and women based on the allocation of BDP resources, as per the loan application form.
- Percentage of women and men receiving financing resulting from the implementation of innovative mechanisms and instruments of the placed portfolio.
- Clients financed by the BDP who have received non-financial services.
- Percentage of women receiving BDP financing to perform productive activities.
- The BDP services directly a larger number of clients, knowledgeable of their necessities and problematic and monitoring its intervention.

**Sector 2:**

Food security: During the 2011 term, through a cooperation and coordination process between the Ministry of Rural Development and Land and the European Union, the first version of the Performance Evaluation Framework (PEF) of the Food Security and Sovereignty Policy (PSSA) was developed, effort that joined the institutional strengthening processes generated based on Financing Agreement DCI-FOOD/2009/22002. This first version consisted of a battery of 10 indicators aimed at measuring the effects and impacts of the implementation of sector policies, mainly related to the production of strategic food staples. Each indicator has a baseline and quantitative goals for the 2011-2015 period.

**PNDIC**

- Actions executed in coordination with other sectors.
- Actions executed coordinated between sub-national levels (National Government, prefectures and municipalities).
- The VCDI submits a proposal for the regulation of the Executive Power Organization Law (LOPE), based on the new institutional framework of the sector, approved and implemented.
- 2006-2010 Comprehensive Development with Coca Plan approved by the highest corresponding body (CONALTID).
- Regular meetings held of the Sector Coordination Group.
- Evaluation and Monitoring missions jointly programmed between the VCDI and the Sector Coordination Group.
- Financial resources captured and channeled toward the implementation of the 2006-2010 PNDIC.
- Fund tenders performed in intervention areas of the sector policy.
- Quality requests for financial resources formally submitted for the execution of projects on part of national/sub-national institutions and other social actors.
- Supported initiatives in intervention areas timely aimed at gender equity, participation of young people and vulnerable groups, conflict prevention and mitigation.
- Executed projects timely aimed at the prevention and mitigation of environmental impacts.
- Projects executed in expulsing areas, aimed at the timely reduction of temporary and definite migration

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**EQ 1**

**Strategic alignment and flexibility**

To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?

- to coca leaf producing areas.
  - Improved Unsatisfied Basic Needs Index of sector policy intervention areas.
  - Decrease in the % of population below the poverty line in intervention areas.
  - Rationalized coca leaf production areas in producing areas.
  - Reduced coca leaf crops in National Parks.

**Sector 3:**

**PNC**

The following are PNC 1 indicators, which fully coincide with EU’s budget support actions:

| Indicator 1: | N° of GIRH/MIC projects under execution and/or concluded. |
| Indicator 2: | N° of projects related to the management of mining basins, water quality and natural risk management under execution and/or concluded. |
| Indicator 3: | N° of Basin Directorate Plans (PDC) under execution and/or concluded. |
| Indicator 4: | N° Pedagogic Basin projects under execution and/or concluded. |
| Indicator 5: | N° de Basin Management Organisms (OGC) composed of trained leaders and actors. |
| Indicator 6: | PNC management systems and instruments developed, implemented and consolidated. |
| Indicator 7: | N° of municipalities and governorships with technical-strategic and operational capacities, including administrative, for the accompaniment of investments in GIRH/MIC. |
| Indicator 8: | N° of strategy proposals agreed on for the management of cross-border basins, based on information and understanding of available experiences and others to be developed. |

**PASAP**

- The following PASAP indicators come from the Basic Sanitation Development Sector Plan:
  - "Incremento interanual de conexiones de agua potable convencionales y con medidas de adaptación al cambio climático"*
  - "Inter-annual increase of sanitation connections with conventional systems and climate change adaptation measures in peri-urban areas"*
  - "Number of sanitary drain systems equipped with sewage treatment plants"*
  - "Number of EPSAS operational sustainable in peri-urban areas"*
  - "Number of SENASBA’s annual TA interventions in EPSAs in places with more than 10000 inhabitants."*

| EQ 1 | Strategic alignment and flexibility | To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time? |

PACSBIO

| PACSBio Indicators (variable stages) |

<table>
<thead>
<tr>
<th>Outcomes</th>
<th>Indicators</th>
<th>Definition and PEF equivalency indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>OC1</td>
<td>Nº 1</td>
<td>Representativeness of eco-regions included in SBS with SNAP’s management (at different autonomy levels) maintained or increased (PEF: Indicator 28)</td>
</tr>
<tr>
<td></td>
<td>Nº 2</td>
<td>SBS actions have contributed to the preservation of threatened species in the country (PEF: Indicator 28)</td>
</tr>
<tr>
<td></td>
<td>Nº 3</td>
<td>Protection and surveillance systems updated within the framework of Shared Management under implementation (PEF: Indicator 7)</td>
</tr>
<tr>
<td>OC2</td>
<td>Nº 4</td>
<td>SBS management plans updated or developed and implemented within the framework of Shared Management (PEF: Indicator 23)</td>
</tr>
<tr>
<td>OC3</td>
<td>Nº 5</td>
<td>Instruments and structures that strengthen social participation and decision making with shared responsibility, within the framework of Shared Management, generated and implemented (PEF: Indicator 16)</td>
</tr>
<tr>
<td>OC4</td>
<td>Nº 6</td>
<td>Increase in the contribution of the TGN to SERNAP’s budget (PEF. Indicator 25)</td>
</tr>
<tr>
<td>O5</td>
<td>Nº 7</td>
<td>Increase of the contribution of SBS’ own resources from different sources (SISCO, natural resources management, fiduciary funds, etc.) to SERNAP’s budget. (PEF: Indicator 26)</td>
</tr>
<tr>
<td></td>
<td>Nº 8</td>
<td>Sustainable productive projects implemented within the framework of the Strategy to take advantage of renewable human resources in SBS. (PEF: Indicator 12)</td>
</tr>
</tbody>
</table>

PACSBIO’s outcomes as well as indicators are derived from a sector policy and its indicator matrix which is much broader. According to intervention formulation documents, indicators are taken or designed within the framework of the construction of Performance Evaluation Frameworks (PEFs) of policies, processes the EU has contributed to, recording their evolution in the second generation of policies and PEF, and having national actors, and in some cases civil society, as protagonists. At the level of project approach interventions in sectors with policies and sector indicators, it has been observed in the case of the Poopó project that the Logical Framework has been adapted in order for the project to contribute in direct and linking fashion to the policy’s objectives and indicators at PNC level.

1.1.1.4 Financial resources allocated and implementation modalities are appropriate to meet objectives.

A large portion of EU’s ODA financial resources are implemented in Bolivia, by the EUD, through the SBS modality (64%, see table below), under project approach (32%) and stability instrument (4%). Between March 2008 and April 2009, SBS (programs) were signed for Comprehensive Development with Coca policies and the National Basin Plan and since then, the SBS modality is the option selected the most by the EU:
**EQ 1**

**Strategic alignment and flexibility**

**To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?**

<table>
<thead>
<tr>
<th>Decision Number</th>
<th>Title</th>
<th>Commission Decision date</th>
<th>Currency</th>
<th>Allocated</th>
<th>Modalidad</th>
<th>Sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI-ALA/2009/021-615</td>
<td>Support of employment generation in the mining areas of Bolivia (EMPLEOMIN)</td>
<td>09/11/2009</td>
<td>EUR</td>
<td>10.000.000,00</td>
<td>Proyecto</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2009/019-774</td>
<td>Support to the Sector Plan “Productive development with decent work”</td>
<td>09/11/2009</td>
<td>EUR</td>
<td>12.000.000,00</td>
<td>Proyecto</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2010/022-125</td>
<td>Diversification and Increase of Exports Support Project</td>
<td>10/11/2010</td>
<td>EUR</td>
<td>13.000.000,00</td>
<td>Proyecto</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2010/021-936</td>
<td>Programa de Institucionalización del Consejo Nacional de Lucha contra el Tráfico Ilícito de Drogas (CONALTID)</td>
<td>10/11/2010</td>
<td>EUR</td>
<td>9.000.000,00</td>
<td>Proyecto</td>
<td>2</td>
</tr>
<tr>
<td>DCI-ALA/2007/019-010</td>
<td>Apoyo al Control Social de la Producción de Drogas</td>
<td>26/10/2007</td>
<td>EUR</td>
<td>10.000.000,00</td>
<td>Proyecto</td>
<td>2</td>
</tr>
<tr>
<td>DCI-ALA/2011/022-861</td>
<td>Support programme for the improvement of the financial and fiscal environment of small business (PAMEFF)</td>
<td>29/08/2011</td>
<td>EUR</td>
<td>35.000.000,00</td>
<td>APS</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2012/024-095</td>
<td>Programa de Apoyo al Plan Sectorial de Desarrollo de Saneamiento Básico – Áreas Rurales</td>
<td>01/08/2012</td>
<td>EUR</td>
<td>24.000.000,00</td>
<td>APS</td>
<td>3</td>
</tr>
<tr>
<td>DCI-FOOD/2009/022-002</td>
<td>Programa de Apoyo al Plan Nacional de Desarrollo Integral con Coca</td>
<td>12/12/2008</td>
<td>EUR</td>
<td>19.000.000,00</td>
<td>APS</td>
<td>3</td>
</tr>
<tr>
<td>DCI-ALA/2011/022-834</td>
<td>PROGRAMA DE APOYO AL SISTEMA NACIONAL DE ÁREAS PROTEGIDAS EN BOLIVIA</td>
<td>09/12/2009</td>
<td>EUR</td>
<td>11.750.000,00</td>
<td>APS</td>
<td>SA</td>
</tr>
<tr>
<td>DCI-ALA/2007/019-027</td>
<td>Apoyo al Plan de Desarrollo Integral con Coca</td>
<td>26/10/2007</td>
<td>EUR</td>
<td>26.000.000,00</td>
<td>APS</td>
<td>2</td>
</tr>
<tr>
<td>DCI-ALA/2008/019-306</td>
<td>Apoyo Sectorial al Plan Nacional de Cuenca</td>
<td>12/12/2008</td>
<td>EUR</td>
<td>19.000.000,00</td>
<td>APS</td>
<td>3</td>
</tr>
<tr>
<td>IFS-RRM/2007/019-663</td>
<td>Estudio Integral de la Hoja de la Coca en Bolivia</td>
<td>17/04/2007</td>
<td>EUR</td>
<td>1.000.000,00</td>
<td>IFS</td>
<td></td>
</tr>
<tr>
<td>IFS-RRM/2012/024-442</td>
<td>Support to addressing socio-political conflict in Bolivia</td>
<td>02/08/2012</td>
<td>EUR</td>
<td>4.000.000,00</td>
<td>IFS</td>
<td></td>
</tr>
<tr>
<td>IFS-RRM/2009/021-873</td>
<td>&quot;Promotion of Political Dialogue and Effective Democratic Institutions in Bolivia&quot;</td>
<td>05/10/2009</td>
<td>EUR</td>
<td>4.000.000,00</td>
<td>IFS</td>
<td></td>
</tr>
</tbody>
</table>

In sector 1, 50% of the funds were implemented under SBS and 50% under project approach (PA); in sector 2, 45% under SBS and 55% under project approach (PA); in sector 3, 89% under SBS and 12% under project approach. This situation resulted in important progress made in SBS application areas with respect to policy formulation and policy dialogue frameworks (still showing major weaknesses with respect to institutional capacities). In sectors 1 and 2, where both modalities were combined (SBS and PA), better outcomes were achieved in terms of institutional strengthening (PROBOLIVIA and FONADAL), while in sector 3, this area did not show relevant effects. It is worth mentioning that in sector 2, the use of the PA modality in support of public policy innovations (social control) and institutional framework construction (CONALTID) has been successful in this sense.

Next we provide greater details of programs by implementation modality:

The SBS modality is perceived as being appropriate and well valued at the level of national actors and the donor community aligned around this same instrument or basket funds. These resources have high disbursement percentage (96% for concluded ones) and show high alignment with national policies promoting harmonization between donors; in particular in sector 3, Environment and Water, where other Member States have become

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3 Indicated percentages are based on available documentation, which does not include the evolution of recent programs such as the PAP’S II.
To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?

aligned, within the framework of basket funds, with sector PEFs. Even the IDB and Sweden have co-financed budget supports, the first one within the framework of the PNC 2, and the latter within the framework of the water and sanitation subsector. This modality constitutes a contribution to policy implementation, based on which TGE resource leveraging has been achieved for the same purpose, which is why it is noted that it has promoted more financing to achieve objectives under the ownership principle.

The program budget modality has shown a much slower disbursement level and subjected to European regulations, making this modality less attractive to local actors because they first have to understand these regulations, harmonize their own regulations with the European to reach a contract and achieve the disbursement of funds. Disbursement delays cause most actions to be performed toward the end of the operational duration of agreements, delaying implementation. Nevertheless, this modality is mostly implemented in sector support cases in which there is no well-defined sector policy, at the sub-national level (specifically in the Department of Oruro) where specific capacities must be developed, and in support of innovative action lines such as the case of Social Control and CONALTID.

At the level of agreements under the project approach, adjustments have been made mostly with respect to the duration or extension of the operational phase, corroborating the existing difficulties found at the start of these projects to execute funds under the program budget modality and for budget adjustments. The indicator of question 2 shows details of the addendums performed and changes made within the framework of the following: 1) Social control (duration of operational and closing phases), 2) Empleomin (budget), 3) Productive Development (national contribution and TAPs), 4) PROEX (duration of operation phase, organization and budget, 5) Poopó (budget).

Keeping in mind that SBS supports public policies already designed with budget allocations at national level, it makes sense for most ODA funds to be executed under this modality, leaving thus approximately one-third for more focalized action lines requiring the development of specific capacities; or to support timely pilot actions requiring more direct interventions. Based on programmed objectives and each modality’s application, the selected modality is deemed to be congruent. With respect to the amount of resources (furnished), given the importance of ODA resources, these are considerate as appropriate.

I.1.1.5 Main interested parties at local, regional and/or national level confirm the response consistency and capacity of EU’s support to national priorities

According to the National Evaluation of the Declaration of Paris, Phase 2 Bolivia4, “The major added value of the donor community to the development of Bolivia within the framework of the Declaration of Paris can be observed in its capacity to adapt to structural changes taking place in the country since 2006. Donor-driven practices have decreased substantially in the country, probably not because of the Declaration per se, but due to better fiscal capacities and institutional improvements introduced in Bolivia, which allow it to be more selective about the cooperation it receives, exercising the sovereignty principle. As a result, a number of cooperation bodies that traditionally supported strategic areas such as institutional framework, justice and governance have left at the request of the GoB.” Another important source of additional certification is OECD’s 2010 survey on progress made on commitments assumed under the Declaration of Paris, which reveals that Bolivia has made progress in areas related to the alignment of national priorities, use of national public financial systems and planning for management for results.

Within this context, this evaluation of the response capacity of EU’s assistance would be ratified in so far as EU’s support continues to be valued by the government of Bolivia because of its high alignment level with the priorities of Bolivia’s policies and regulations, which will be verified during the field phase by means of interviews of governmental actors, civil society and EUD’s staff. During the desk analysis phase, interviews were held at the Vice-Ministry of Planning and Foreign Financing (VIPFE), as well as at the MMAyA and MEF, ratifying that, in particular, the SBS instrument is well valued and (these actors) want to receive the conclusions of this evaluation to promote this modality with other donors.

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<table>
<thead>
<tr>
<th>EQ 1</th>
<th><strong>Strategic alignment and flexibility</strong>  To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia’s development priorities and its evolution in time?</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC 1.2:</td>
<td>EU’s support strategy has adapted to political changes (Constitution, autonomies) to economic structure changes (more State presence in the economy)</td>
</tr>
<tr>
<td>I.1.2.1</td>
<td>EU’s priorities and objectives are redefined as a function of timely events, specific needs and new priorities agreed upon through political dialogue.</td>
</tr>
</tbody>
</table>

At country level, the highest level forum for political dialogue level is known as High Level Dialogue (HLD) which meets once a year at ministerial level and covers all issues concerning the political relation between the EU and Bolivia, including cooperation. From this HLD 5 technical-level work groups are derived which count on the participation of representatives of the government, EU Member States and EU’s Delegation in Bolivia. These work groups cover political aspects concerning the following issues: Democracy and Human Rights; Development Cooperation: Environment/Climate Change; Drugs/Fight against Drug Trafficking and Trade. These groups meet during the year and prepare the different issues to be addressed at the annual HLD. Furthermore, in September 2011, an informal high-level political dialogue mechanism was put to work in La Paz to debate political and economic issues. In November 2012, the second edition of this dialogue took place in Brussels.

On the other hand, policy dialogue at sector level takes place within the framework of formal mechanisms that enable prioritizing, evaluating and monitoring policies, as well as necessities that may be permanently inferred from this analysis. EU’s priorities and objectives have been redefined as a function of these political and technical dialogue spaces and of Bolivia’s specific necessities as ratified up to now by MEFP, MMAYA and VIPFE officers. This capacity of redefining priorities by the EU is valued by the Government. During the field phase the evaluation of perceptions may be expanded to the level of other sector 2 officers as well as to civil society. Within the framework policy dialogue spaces, we will verify how and in which way the EU has redefined or redesigned its dialogue strategies so that they may be in consonance with the specific necessities of actors and new priorities agreed upon in these spaces.

Between the first and second generation of PEFs, we can also observe the adjustment of EU’s strategy for sectors 2 and 3; under a new SBS for ENDIC and the PNC II. The EU contributed within the framework of these new support actions to sector policy dialogue, which enabled redefining new strategies based on lessons learned and taking into account the advances made within the framework of prior support actions, and also new challenges. Within this context we observe high participation on part of strategic actors at VCDI and VRHR level and sector heads together with their Directorates of Planning, as well as of civil society actors.

I.1.2.2 Degree of participation of national strategic development actors in the formulation of the adjustment of EU’s sector support strategies (if adjustments have taken place)

This indicator is answered based on interviews with actors participating in the adjustment of EU’s sector support strategies, such as the heads of SBS (actions), sector heads and other donors, showing the high degree of participation, and coverage at national and local level, on the part of national development strategic actors in the formulation and adjustment of EU’s sector support strategies.

I.1.2.3 EU’s strategy is adapted to the financial and programming terms of the country’s changing necessities

According to the National Evaluation of the Declaration of Paris, Phase 2 Bolivia5, “The major added value of the donor community to the development of Bolivia within the framework of the Declaration of Paris can be observed in its capacity to adapt to structural changes taking place in the country since 2006. Donor-driven practices have decreased substantially in the country, probably not because of the Declaration per se, but due to better fiscal capacities and institutional improvements introduced in Bolivia, which allow it to be more selective about the cooperation it receives, exercising the sovereignty principle. As a result, a number of cooperation bodies that traditionally supported strategic areas such as institutional framework, justice and governance have left at the request of the GoB.” Another important source of additional certification is OECD’s 2010 survey on progress made on commitments assumed under the Declaration of Paris, which reveals that Bolivia has made progress in areas related to the alignment of national priorities, use of national public financial systems and planning for management for results.

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**EQ 1**

**Strategic alignment and flexibility**

To what extent have the objectives of EU’s development cooperation in Bolivia responded to Bolivia's development priorities and its evolution in time?

Within this context, this evaluation of the response capacity of EU’s assistance would be ratified in so far as EU’s support continues to be valued by the government of Bolivia because of its high alignment level with the priorities of Bolivia’s policies and regulations, as well as its capacity response to national needs, in particular the SBS instrument, according to interviews held at the Vice-Ministry of Planning and Foreign Financing (VIPFE), as well as at the MMAyA and MEFP up to office phase.

The CSP did not foresee the use of SBS as a modality, but efforts made by the Government and EU’s support managed to have part of programming and most of the PIN 2 developed under this modality. Furthermore, as explained in the CSP, Evo Morales’ government committed itself to the principles of the Declaration of Paris (Alignment and Harmonization), establishing coordination groups headed by the government with cooperation (bodies). The EU supported this process through the definition of a roadmap and timely, in the training of officers and other donors on SBS approaches as ODA’s financing modalities. This process favored the application of instruments such as SBS, basket funds or policy-based loans.

The UE showed flexibility and capacity to adapt to the country’s structural changes taking place during the evaluating period, applying SBS as a modality that permits and promotes assistance harmonization and alignment with national budgetary systems, as well with public policies. Bolivia made considerable progress in the development of these policies favoring the application of the SBS instrument.

The implementation of NIP1’ cooperation was slower than programmed because of institutional instability and weakness. Therefore, out of 134M€ allocated, only 93M€ were committed, 50% under the SBS modality. Main problems took place in sector 1, while in sector 3 all funds were committed, so the decision was made to transfer the funds from sector 1 to sector 3, reflecting the priorities and necessities of the government of Bolivia, and contributing to fulfilling the millennium goals in the area of drinking water and basic sanitation. In this sense, the EU showed capacity to adapt to not only the country’s situation but to the each sector’s conditions.

### I.1.2.4 Main interested parties at local, regional and/or national level value the desired/expected flexibility of the EU in comparison with flexibility effectively achieved

During the field mission, the evaluation at local as well as regional level was researched with respect to flexibility effectively achieved by the EU within the framework of adjustments made to agreements under a project approach, reaching a high level of satisfaction with EU's flexibility during the implementation of agreements. However, recommendations were made centered on the simplification of the regulations of the modalities applied in the country by the EU.

The main adjustments made at programming level had to do with the reduction of sector 1’s budget allocation, as mentioned in the previous indicator, increasing sector 3’s allocation as a result of sector 1’s lower execution rate and its perceived institutional instability and weakness.

With respect to SBS actions, adjustments were made primarily to disbursement schedules and terms, to respond to the schedules of the national budget and changes in sector priorities. Changes have been made within the framework of these SBS actions in this sense: 1) PAMEFF (indicator adjustment), 2) PAPS1 (disbursement schedule and terms), 3) PNC1 (disbursement terms), 4) PASA (schedule, disbursement terms and budget).

Monitoring these changes, TA provided to PAPS1 (PNDIC) recommended for the future that the disbursement schedule should be interpreted as being indicative and that it should be able to be adjusted based on the national budget cycle without the need of addendums, because addendums take considerable time. At the level of the goals of the terms of disbursements, the new agreement format stipulates that “...under duly justified circumstances, the Beneficiary may submit a request to the European Union Delegation in Bolivia to change these goals and indicators. Changes made to goals and indicators may be authorize by letter exchange between both parties.” This incorporates a mechanism that enables more flexibility in the future and it is recommended for it also to be applied at the level of disbursement schedules.
EQ 2

### Appropriateness of Execution Instruments and Mechanisms

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

### DAC evaluation criteria: Relevance, efficiency, effectiveness and sustainability

### Other key aspects: 3Cs, Declaration of Paris

### Rationale:

The EU has at its disposal an array of geographical (bi-regional, sub-regional and bi-lateral programs) and thematic (environment, sustainable management of natural resources (ENRTP), cooperation with non-state actors (NSAs), stability instrument, etc.) instruments within the framework of development cooperation. Furthermore, it applies different assistance modalities, including sector budget support. The EC has agreed in principle to channel its assistance through budget support mechanisms whenever possible. Budget support is consistent with EU's commitments, in virtue of the Declaration of Paris, to aim for Harmonization and Alignment to reduce transaction costs and increase assistance effectiveness.

This question mainly covers intervention efficiency and is centered on the link between the selection of financing instruments and assistance modality and its appropriateness with respect to: i) outputs, outcomes and impacts expected from intervention and ii) the specific policy, the institutional capacity and human resources at intervention level. The extent to which dialogue and coordination between the EC and beneficiary structures, EU’s Delegation in Bolivia and the EC in Brussels, have influenced the quality of the identification and design of interventions and thus their potential sustainability.

All financing instruments (geographical and thematic), assistance modalities (SBS, project approach, grants), as well as main implementation mechanisms will be taken into account. Efficiency is measured at general cooperation level (appropriateness of combination of instruments and mechanisms used to meet EC's general cooperation objectives for Bolivia) at sector and at individual intervention level.

The question will also analyze the internal coherence of CE's support interventions, in particular to see if programmed objectives have been articulated to promote synergies to reach a global outcome.

### Evaluation Criteria

#### EC 2.1:

Selected assistance modalities (and execution mechanisms) and their combination, facilitate the achievement of programmed goals, at general cooperation level as well as at, in particular, the sector environment level.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC 2.1.1</td>
<td>I.2.1.1 Evidence showing that different assistance modality options were analyzed during programming phase</td>
</tr>
<tr>
<td>EC 2.1.2</td>
<td>I.2.1.2 Evidence in programming documents showing that the selection of assistance modalities and their combination takes into account programmed outcomes and impacts, at general cooperation level and in particular, at sector level</td>
</tr>
<tr>
<td>EC 2.1.3</td>
<td>I.2.1.3 Evidence showing that the selection of assistance modalities and their combination has been the most appropriate to achieve programmed intermediate and global goals on time (as reflected in ROM, evaluation and other types of reports)</td>
</tr>
<tr>
<td></td>
<td>• Project/program modality (TA in particular) to strengthen individual and institutional capacities</td>
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<td></td>
<td>• SBS in support of public policy implementation</td>
</tr>
<tr>
<td>EC 2.1.4</td>
<td>I.2.1.4 Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm the role that the selection of assistance modalities and their combinations has played in the achieving or not programmed outcomes and impacts.</td>
</tr>
</tbody>
</table>

#### EC 2.2:

Selected assistance modalities (and their application mechanisms) and their combination take into account the capacities of Bolivian institutions.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC 2.2.1</td>
<td>I.2.2.1 Evidence showing that EU’s intervention modalities in Bolivia are framed within a coherent institutional development strategy</td>
</tr>
<tr>
<td>EC 2.2.2</td>
<td>I.2.2.2 Evidence showing that institutional strengthening (capacity generation and development) offered by the EU, takes into consideration the absorption necessities and capacities of Bolivian counterparts, ensuring conditions for full local ownership and on-time implementation</td>
</tr>
<tr>
<td></td>
<td>I.2.2.3 Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm that assistance modalities and intervention mechanisms take into consideration the capacities of</td>
</tr>
<tr>
<td>EQ 2</td>
<td>Appropriateness of Execution Instruments and Mechanisms</td>
</tr>
<tr>
<td>------</td>
<td>------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>beneficiary institutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.3.1 Evidence, if any, of the degree of importance of limitations related to management and procedures (for the beneficiary and the EUD) of assistance modalities</td>
</tr>
<tr>
<td>1.2.3.2 Contracting and payment rate by assistance modality, and perception on the part of beneficiaries and the EUD about its influence on outcomes</td>
</tr>
<tr>
<td>1.2.3.3 Evidence showing that the selection of assistance modalities and their combination enables empowerment at political and implementation level</td>
</tr>
<tr>
<td>1.2.3.4 Evidence of intervention efficiency and effectiveness based on ROM and evaluation reports</td>
</tr>
<tr>
<td>1.2.3.5 Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm or refute correlation between assistance modalities and the achievement of outcomes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EC 2.3: Selected assistance modalities have facilitated the achievement of sustainable outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.3.1 Evidence, if any, of the degree of importance of limitations related to management and procedures (for the beneficiary and the EUD) of assistance modalities</td>
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</tr>
<tr>
<td>1.2.3.5 Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm or refute correlation between assistance modalities and the achievement of outcomes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EC 2.4: The Commission has looked for global coherence among its development interventions in Bolivia</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.4.1 EU’s Delegation degree of participation in the identification, viability analysis, monitoring and evaluation of bi-regional programs operating in Bolivia</td>
</tr>
<tr>
<td>1.2.4.2 Evidence of the search for complementarity between EU’s interventions at national, sub-regional and regional levels financed under programmable (ALA and DCI-ALA) and non-programmable assistance (thematic budget lines)</td>
</tr>
<tr>
<td>1.2.4.3 Evidence of effective interaction between the aforementioned programs</td>
</tr>
<tr>
<td>1.2.4.4 Evidence of internal dialogue spaces (in the EC and EUD and between them) to improve policy coherence between sectors</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Information sources:</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ RSP (for Latin-America and Andean Community) &amp; EC’s CSP and NIP and PIR (for LA and CAN) for the 2007-2013 period</td>
</tr>
<tr>
<td>▪ EUD’s AMPs</td>
</tr>
<tr>
<td>▪ EUD’s EAMRs</td>
</tr>
<tr>
<td>▪ Inventory of EU’s financial commitments (bilateral level under programmable and non-programmable assistance)</td>
</tr>
<tr>
<td>▪ Financing agreements, action fiches, monitoring reports evaluations, etc.</td>
</tr>
<tr>
<td>▪ Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level.</td>
</tr>
<tr>
<td>▪ Additional external studies and reports</td>
</tr>
<tr>
<td>▪ Field visits</td>
</tr>
</tbody>
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<tr>
<th>Methods:</th>
</tr>
</thead>
<tbody>
<tr>
<td>▪ Documentary analysis</td>
</tr>
<tr>
<td>▪ Analysis of selected interventions</td>
</tr>
<tr>
<td>▪ Interview analysis</td>
</tr>
<tr>
<td>▪ Inventory analysis</td>
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</tbody>
</table>
To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

Selected assistance modalities (and execution mechanisms) and their combination, facilitate the achievement of programmed goals, at general cooperation level as well as at, in particular, the sector environment level

It is worth noting that EUD’s cooperation section made clear that although the CSP makes some mention of the possibility of applying different modalities, during the programming phase normally the modalities to apply are not established, and that it is during the identification and formulation of assistance (projects) when different assistance modality options are analyzed.

The CSP placed special emphasis on the possibility of supporting the application of the National Development Plan through some type of general budget support. However, at the moment of writing up this document, it was considered that all the necessary conditions were not given for this type of support. It was established as necessary for the government of Bolivia to define a medium-term budgetary framework, as well a system of indicators and monitoring and evaluation mechanisms to ensure the availability of clear information concerning execution mechanisms proposed by the Government to achieve the goals of the national Development Plan, in addition to clear descriptions how the impact on poverty reduction and social cohesion will be measured, which could be used as performance indicators.

However, if the conditions are given during the first period of the NIP 1 for the previous use of the general budget support instrument, assistance could be reoriented in consensus with national authorities. The mid-term review of the CSP (MTR (2011-2013)) established that the government of Bolivia was attempting to improve the terms of budget support and requested the World Bank a PEFA evaluation. In March 2008 and April 2009, SBS agreements were signed for Comprehensive Development with Coca policies and the National Basin Plan which made progress on eligibility terms: they had policy documents with indicators, and the government of Bolivia made important progress with respect to Public Finance Management. Starting then, the SBS modality has been the options selected the most as shown by the table of programs and projects under EQ1 (indicator 1.4).

In sector 1, 50% of the funds were implemented under SBS and 50% under project approach (PA); in sector 2, 45% under SBS and 55% under project approach (PA); in sector 3, 88% under SBS and 12% under project approach (PA). In sectors 1 and 2 both modalities (SBS and PA) were combined, obtaining better results in terms of institutional strengthening (PROBOLIVIA and FONADAL), while in sector 3, this area has shown no relevant effects. It is worth noting that in sector 2 the use of the PA modality to provide support to public policy innovations (social control) and institutional framework construction (CONALTID), which has required an intervention under project approach logic, has been successful in this sense.

These policy and dialogue frameworks and timely advances with respect to the eligibility terms of the SBS modality were analyzed for the identification and formulation of programs (based on available documents) and EU’s sector strategy for each case (also corroborated during the field mission through interviews with actors), to define their combination to achieve each sector’s programmed objectives.

These decisions were not made based on the recommendations and analysis performed during the programming phase, but on timely advances made on the eligibility terms of the SBS modality, as confirmed during the field mission.
Next we present impacts and outcomes programmed within the framework of each assistance modality by sector, based on action fiches and TAPs of interventions. These SBS interventions aim to address those challenges identified at cooperation level as well as at the level of supported policies and in selected work areas. This process has improved within the framework of interventions under the SBS modality, because these interventions require a sector policy analysis based on the sector’s information and previously performed diagnostics. In the case of budget programs, emphasis is placed on the regional level through the promotion of decentralization and strengthening of local public management and of civil society organizations, as well as on dealing with timely problems at geographical area level, such as the case of the Department of Oruro where sensitive problems have arisen at environmental level in the mining sector. Thus, this department is focalized on sectors 1 and 3, looking for a complementary intervention. Sector 2 uses the Project Approach modality, over all to strengthen timely institutional capacities and innovative policy action lines (CONALTID and Social Control).

The following are the main challenges to each sector:

**Sector 1 SBS:** Promotion of the development and formalization of MSMEs from the financial and fiscal environment to create employment and improve income. The financial system must support the development of the productive sector, generator of income and employment, within the framework of plural economy, becoming a support of the country’s productive and industrial transformation based on the strengthening of productive units: micro, small and medium-size enterprises as well as communitarian organizations.

**Sector 1 Project Approach** (focalized on mining areas):
Contribute to the economic, social and environmental development of Bolivia’s mining areas, promoting employment with social responsibility and environmental criteria. Expected results are at the level of productivity, increase of institutional capacities to promote employment and increase the professional qualifications of miners.

**Sector 1 Project Approach** (focalized on MSEs for productive development): Implant the productive and employment quality of MSEs in prioritized sectors through the improvement of entrepreneurship, the promotion of productive development and institutional strengthening. Programmed outcomes refer to the improvement of the organization and business management capacity of productive units in prioritized sectors; implementation of Technology and Innovation Centers in prioritized sectors, strengthening of intermediate professional organizations and of the institutional capacity of sector Ministries and Development Agencies.

**Sector 2:**
Food security: Contribute to government actions to reduce the impact of food price rises on most vulnerable populations, strengthening the productive and institutional capacities of the agricultural sector and reinforcing government's actions aimed at stimulating the production of basic food staples, consumption of local families and markets. Increase the capacities of families and communitarian associations with respect to food production, looking to make agriculture a source of decent income for the producer.

PNDIC: Consolidate the Comprehensive Development sector policy and its institutional framework, interrelating it with similar sectors, socially shared with social actors and institutions working in the coca leaf production problematic, and agreed on jointly with the international community, under the principles of national sovereignty and dignity. Technical and administrative strengthening of sectors and social actors related to the coca leaf production issue for them to demand in sustainable and coherent fashion and with capacity the execution of actions and initiatives.

**Sector 2 Project Approach** (CONALTID focalized on generating an institutional framework and innovative action lines):
Objectives: To generate a legal and institutional framework that answers to the mandates of the CPE and Bolivian public policies concerning coca leaf and controlled substances; to contribute to the fight against drug production, traffic and use based on peaceful agreement, democratic participation and full exercise of human rights promoting the comprehensive development of communities producers of coca leaf; and, to strengthen the CONALTID to lead the execution and monitoring of the ELNyRHC, communication, compliance with international agreements.
EQ 2 Appropriateness of Execution Instruments and Mechanisms

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

commitments and coherence in the cross-cutting application of the fight against drug trafficking.

Programmed Outcomes: The permanent secretariat of the CONALTID consolidated with hierarchy and sufficient resources to guarantee strategic planning, management of grant application forms, Bolivia’s coordination and participation in international events; policy applied through the cross-cutting incorporation of the ELNyRHC by competent governmental entities in their sector plans, sub-sector or territorial, as well as of with competent institutions at regional and global level; identification, financing, execution and evaluation of concrete and innovative actions that make operational the implementation of the ELNyRHC; Comprehensive Drug and Crime Information System, operated by the Bolivian Drug Observatory, enabling the monitoring and evaluation of the ELNyRHC and other related sector plans, generating useful reports for CONALTID; Design and implementation of one communication and visibility strategy vis-à-vis national and international institutions, based on SIISDD and capture of experiences.

Social control (focalized on institutional and organizational strengthening, as well as on innovative social control mechanisms per se).

2.2 Programmed outcomes (PO)

- PO1: There are records and titling of plots of coca leaf producers as support to Social Control mechanisms to be defined.
- PO2: There is a comprehensive system of geo-referenced information issuing objective and periodic information on the status of coca crops in producing areas.
- PO3: There is a comprehensive plan to communicate and disseminate the social control strategy at organization level as well as with respect to public opinion.
- PO4: Participating trade unions (Federations) strengthened, developing conflict management capacities for the design and application of Social Control Mechanism.
- PO5: Participating social organizations with equipped with sufficient infrastructure, equipment and technology for the comprehensive management of the Social Control Project.

General goal

To provide support to the government of Bolivia for the implementation of coherent policies related to the fight against drug trafficking, based on a set of actions executed within the framework of the “Strategy of the Fight against Drug Trafficking and Revalorization of Coca Leaf”, supported and agreed on jointly with producer organizations to regulate the production of coca leaf in the country, through Social Control mechanisms use based on peaceful agreement, democratic participation and full exercise of human rights.

Specific goal

To increase the institutional capacities of the government of Bolivia and social organizations of coca producers to implement social control programs related to coca leaf production.

Sector 3:

Strengthening of the organizational and technical capacities of local actors for sustainable and comprehensive basin management, reinforcing an institutional framework favorable (actors and legislation and regulation) to the sustainable management of Water and Natural Resources, consolidating the sustainable management of cross-border basins, as well as of cross-border ecosystems.

Strengthening of the national system of protected areas, promoting shared management and the economic and social role of communities leaving in protected areas as per the national regulation framework.

Sector 3, Project Approach modality (Lake Poopó with regional focus (environment emergency area and strengthening of public management capacities at decentralized level):

Objectives: To contribute to the fulfillment of MDGs, in particular those concerning the sustainable management of natural resources and poverty reduction. Provide support to the sustainable management of the natural resources of Lake Poopó’s basin, prioritizing environmental aspects.

Outcomes: Policies, strategies and projects developed and implemented for the sustainable management of Lake Poopó’s basin; Improvement of the Preservation of the Ecosystem; Contribute to the Reduction of Poverty and Migration; Strengthening of public management capacities at local as well as departmental level, prioritizing Local Economic Development and including citizen participation criteria and environmental and social responsibility.
**EQ 2**  
**Appropriateness of Execution Instruments and Mechanisms**  

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

Supported sectors highlight the existence and use of diagnostics identifying challenges at political level and in selected work areas, developed within the framework of programs previously financed by the EU; as well as the use of complementary diagnostics developed by other Member States and donors, used as reference in the design of interventions, for the design of EU programs.

For the supported sectors, it is highlighted the existence and use of analytical (or diagnostic) tools, which identify challenges both at the political level and within the working selected areas. These tools have been developed within the aegis of programmes previously funded by the EU (considering also complementary diagnostics developed by both Member States and other donors) and are taken as a reference for the design of interventions.

As far as sector 2 is concerned, existing SBS Coca formulation documents clearly show how the strengthening of institutional capacities at municipal level and FONADAL’s prior to SBS has enabled good flow of funds. This case is a sample of how a combination of instruments can contribute to the achievement of sector objectives. The field mission corroborated this experience also for sector 1 (PROBOLIVIA), not being the case for sector 3 where the application of the Project Approach did not yield programmed results in terms of the construction of an institutional framework and local public management capacity, but it is expected that through the Directorate Basin Plan, outcomes will be obtained in terms of the strategy for the sustainable management of the basin and for this purpose, articulate with national level actors and civil society.

<table>
<thead>
<tr>
<th>1.2.1.3 Evidence showing that the selection of assistance modalities and their combination has been the most appropriate to achieve programmed intermediate and global goals on time (as reflected in ROM, evaluation and other types of reports)</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Project/program modality (TA in particular) to strengthen individual and institutional capacities</td>
</tr>
<tr>
<td>- SBS in support of public policy implementation</td>
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</table>

In Bolivia, the Project Approach and SBS modalities look to strengthen capacities. All programs part of the sample used to evaluate sectors 1 and 3 include TA components. All analysis performed corroborate the need to strengthen the institutional capacities of the 3 sectors at central as well as decentralized levels.

As indicated in the previous indicator (see objectives and outcomes by sector and modality of previous indicator), Project Approach modalities are focused more on the construction of more specific capacities, be them for policy components, productive sectors and local level (Oruro) (sector 1), policy lines (sector 2) or regions with given priority situations (sector 3 in Oruro).

For their part, SBS agreements look to strengthen management capacities at sector level; meaning, encompassing central levels as well as the decentralized level and civil society organizations.

There are two facts that allow us to state that the budget program modality has contributed to the achievement of intermediate goals or to the strengthening of individual and institutional capacities. With respect to the FONADAL Yungas Project, budget execution was increased from 24 to 109MBs thanks to a comprehensive institutional strengthening plan for the institution in charge of executing the policy of the PNDIC (2005-2010). The same with PROBOLIVIA where the institutional framework has been strengthened with favorable future sustainability perspectives.

In this particular case, the initial intervention under the project approach is deemed totally appropriate in order to subsequently move to SBS; the first one to achieve the strengthening of institutional capacities and the latter, to provide support to the implementation of the policy with better institutional capacities. This fact is corroborated in the next graph that shows how based on a capacity strengthening process supported by UE within the framework of an intervention under project approach (FONADAL Yungas), the FONADAL, as institution in charge of executing the Funds of the ENDIC/PNDIC policy, increased its execution levels between 2005 and 2010:
### Appropriateness of Execution Instruments and Mechanisms

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

The institutional strengthening process can be seen at the level of the project financed by the EU (final reports), as well as within the framework of SBS also giving continuity to previously started processes.

<table>
<thead>
<tr>
<th>EQ 2</th>
<th>Execution 2005 – 2010 in million Bolivianos</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2005</td>
</tr>
<tr>
<td></td>
<td>2.29</td>
</tr>
</tbody>
</table>

I.2.1.4 Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm the role that the selection of assistance modalities and their combinations has played in the achieving or not programmed outcomes and impacts.

Main interested parties of EU's support confirm the analysis performed with respect to the selection of assistance modalities and their combination to achieve programmed results. Support provided through Project Approach have had an effect on:

1. Sector 1: institutional strengthening and policy support in maturing stage.
2. Sector 2: institutional strengthening (FONADAL).
3. Sector 3: design of basin management strategy from a sub-national level.

SBS support has had an effect on the improvement of policy frameworks, sector PEFs, formal policy dialogue frameworks between different national and sub-national level actors, promoting higher levels and quality of accountability, as well as on Public Finance Management.

**EC 2.2:**

Selected assistance modalities (and their application mechanisms) and their combination take into account the capacities of Bolivian institutions.

I.2.2.1 Evidence showing that EU’s intervention modalities in Bolivia are framed within a coherent institutional development strategy.

The CSP described the institutional weakness of Bolivian institutions, in particular in terms of the formulation and implementation of consistent sector policies, which why we recommend paying special attention to institutional capacity development measures, as well as of good governance promotion bodies. The MTR made timely recommendations at general level and by sectors:

- Sector 3: The EU must consider awareness raising and capacity development of governmental actors and civil society.
- Sector 2: Due to constant staff turnover in the sector’s institutions and corresponding ministries, the outcomes of institutional capacity development of sector institutions continue being disappointed. All sector 2 programs must increase their efforts to strengthen and improve institutional capacities.

At general level, it recommended the inclusion of capacity development in future projects and programs, as well as the possibility of creating a small EC cooperation unit, in addition to examining other ways of improving the institutional capacities of public administration, without hindering sustainability. Institutional strengthening and capacity creation require a special approach in future EC’ assistance. Participation on the part of civil society, private sector and local institutions must be strengthened.

Based on this fact, the institutional capacity of supported sectors is one of the criteria applied in Bolivia to define the modality under which ODA is provided and is documented in action fiches of programs and projects. The
To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

Following is a table with complementary assistance scheduled within the framework of each agreement:

<table>
<thead>
<tr>
<th>No. Convenio</th>
<th>Título</th>
<th>Total monto Convenio</th>
<th>Apoyo Complementario</th>
<th>%</th>
<th>Sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2011/022-861</td>
<td>PAMEFF</td>
<td>35.000.000,00</td>
<td>2.000.000,00</td>
<td>6%</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2009/019-774</td>
<td>Desarrollo Productivo</td>
<td>12.000.000,00</td>
<td>2.560.000,00</td>
<td>21%</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2009/021-615</td>
<td>EMPLEOMIN</td>
<td>10.000.000,00</td>
<td>2.000.000,00</td>
<td>20%</td>
<td>1</td>
</tr>
<tr>
<td>DCI-ALA/2004-016/688</td>
<td>FONADAL Yungas</td>
<td>13.000.000,00</td>
<td>1.400.000,00</td>
<td>11%</td>
<td>2</td>
</tr>
<tr>
<td>DCI/ALA/2007/019-027</td>
<td>PAPSI</td>
<td>26.000.000,00</td>
<td>2.000.000,00</td>
<td>8%</td>
<td>2</td>
</tr>
<tr>
<td>DCI/ALA/FOOD/2009-022-002</td>
<td>PASA</td>
<td>11.750.000,00</td>
<td>1.250.000,00</td>
<td>11%</td>
<td>2</td>
</tr>
<tr>
<td>DCI/ALA/2007/019-010</td>
<td>Control Social</td>
<td>10.000.000,00</td>
<td>1.000.000,00</td>
<td>10%</td>
<td>2</td>
</tr>
<tr>
<td>DCI-ALA/2010/021-936</td>
<td>CONALTID</td>
<td>9.000.000,00</td>
<td>500.000,00</td>
<td>6%</td>
<td>2</td>
</tr>
<tr>
<td>DCI/ALA/2013-024-438</td>
<td>PAPSI2</td>
<td>24.000.000,00</td>
<td>1.000.000,00</td>
<td>4%</td>
<td>2</td>
</tr>
<tr>
<td>DCI/ALA/2009/021-614</td>
<td>Poopó</td>
<td>10.935.000,00</td>
<td>2.000.000,00</td>
<td>18%</td>
<td>3</td>
</tr>
<tr>
<td>DCI/ALA/2008/019-306</td>
<td>ASPNC</td>
<td>19.000.000,00</td>
<td>3.000.000,00</td>
<td>16%</td>
<td>3</td>
</tr>
<tr>
<td>DCI/ALA/2011/022-834</td>
<td>PACS BIO</td>
<td>18.000.000,00</td>
<td>4.000.000,00</td>
<td>22%</td>
<td>3</td>
</tr>
<tr>
<td>DCI/ALA/2010/021-927</td>
<td>PASAP</td>
<td>20.000.000,00</td>
<td>1.500.000,00</td>
<td>8%</td>
<td>3</td>
</tr>
<tr>
<td>DCI/ALA/2013-024-445</td>
<td>PNC2</td>
<td>8.000.000,00</td>
<td>-</td>
<td>0%</td>
<td>3</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td>226.685.000,00</td>
<td>24.210.000,00</td>
<td>12%</td>
<td></td>
</tr>
</tbody>
</table>

In sectors with low capacity level, interventions are executed under the project approach. As depicted in previous indicators, the capacities of sector 1 have only enabled the implementation of one SBS, with limitations as studied in depth in EQ 8. Sector 2 has balanced project approach and SBS, reaching important achievements related to the increase of institutional capacities at the level of capacity development of the entity (FONADAL) in charge of executing the comprehensive development with coca policy and in public finance management at sub-national level.

Although sector 3 is the one with the most SBS agreements, it is worth noting that this modality has been implemented thanks to the progress made in public policy formulation, more so than its level of institutional capacities, because it is a sector with serious weaknesses, which is an important challenge to SBS implementation. Within this framework, it is worth noting the importance of assistance as thematic lines that contribute to the strengthening of civil society actors, which is in tune with monitoring OECD’s evaluation recommendations with respect to the importance of strengthening these actors, within the framework appropriate accountability process.

The design of an institutional development strategy by the sectors is still a pending task. A reference to follow may be the Plan for the Improvement of Public Finance Management or the Strengthening Plan designed and implemented of the FONADAL-Yungas Project and supported within the framework of PAPSI. Both were developed based on diagnostics and have included a roadmap or action plan with indicators, officers and dates, as
### Appropriateness of Execution Instruments and Mechanisms

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

well as timely progress and implementation monitoring, to which EU’s TA has contributed to in considerable fashion and in articulation with other donors (with the WB and IDB with respect to Public Finance Management).

The following is an analysis using sector 3 as reference because it includes 4 different TA activities:

**PASAP**

The specific objective of both contracts is to ensure that the MMAyA and other sector institutions (at national and sub-national level) count on national and international technical assistance for institutional and programmatic strengthening, in particular for the execution of programs and activities conducting to the achievements of PASAP’s objectives, outcomes and indicators stipulated in Financing Agreements signed respectively by the EU and Sweden with the government of Bolivia.

The following are outcomes to be reached by the consultant:

Programmed outcome 1: The MMAyA as sector’s head operates in effective fashion the SBS modality and sector programmatic support, in coordination with the sector group and GRAS, complying with the terms stipulated in the fixed and variable stages of financing agreements signed respectively by the EU and Sweden and the government of Bolivia. For this purpose, the consultant must perform particular efforts to safeguard that long or short-term services provided by consultants have the necessary quality to achieve this essential component of the program.

Programmed outcome 2: The MMAyA and sector entities have a sector information and monitoring system by interconnected modules enabling: a) obtaining accessible information to monitor the process of compliance with PNSB objectives, outcomes and indicators (PASAP-PEF indicators); verifying the progress of sector policy and; c) identifying and correcting procedural and institutional weaknesses of different sector institutions (MMAyA, VAPSB, AAPS, SENASBA).

Programmed outcome 3: The MMAyA and sector entities have articulation and coordination organizational mechanisms and models that enabled the efficient involvement on the part of national and sub-national actors in the achievement of programmatic outcomes and more specifically, indicators and goals programmed in the PASAP.

Programmed outcome 4: The MMAyA and sector entities have qualified staff and improve its levels of internal competencies for the efficient execution of the Water and Sanitation Sector Plan, to meet PASAP-PNSB’s programmed outcomes.

Programmed outcome 5: The MMAyA and sector entities have the capacity to implement the climate change adaptation dimension following the PNSB and PASAP, implying the development of policy, legislation, specific regulations, technological measures and a population awareness raising and education process as per the PEF.

**PNC 1**

Outcome 1: Contribution to the improvement of the sector’s scientific knowledge, through the delivery of products related to the systemic comprehension and clarifying of the strategic dimensions of cross-border basins and better knowledge of and monitoring system for Bolivia’s side of the Amazonian basin.

Outcome 2: Contribution to horizontal strengthening (inter-sector and vertical (at local, departmental and national levels) of institutional actors linked to the PNC.

Outcome 3: Contribution to the development of a regulatory framework linked to the Comprehensive Management of Water Resources (GIRH) and Comprehensive Basin Management (MIC).

Outcome 4: participation in proactive fashion in monitoring and evaluation activities of sector performance, which permit disbursement of fixed stages (indicator 3) and variable stages (indicator 4 and following), contributing, along the contract, to the development and implementation of sector visibility actions at the level of Bolivian civil society and other actors.

Outcome 5: Contribution to the organization, systematization and evaluation of an effort to harmonize technical assistance services, proposed by the members of the basket fund and eventually, other sector donors.

Outcome 6: Support of MMAyA within the framework of future actions.
**EQ 2**  
**Appropriateness of Execution Instruments and Mechanisms**  
To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

**PACSBIO Specific Objectives**

The following are the objectives of this contract:

- Provide an external Technical Assistance service for institutional and programmatic strengthening of the Vice-Ministry of Environment, Biodiversity, Climate Change and Forest Management and Development (VMA) and the National Service of Protected Areas (SERNAP), as well for bodies responsible for the management of the National System of Protected Areas (SENAP), in particular with respect to the implementation of PACSBio.
- Provide short-term specialized Technical Assistance, in key areas, to the SERNAP, to achieve the objectives and outcomes stipulated in the Financing Agreement.

- **Programmed Output 1**: The VMA and the SERNAP as sector leaders operate in effective fashion the SBS modality, in coordination with the Sector Coordination Group.
- **Programmed Output 2**: The VMA and the SERNAP, contributing to the SNAP as sector leaders, have management instruments developed, compatible and with implementation methodologies for each environment.
- **Programmed Output 3**: The VMA and the SERNAP, contributing to the SNAP as sector leaders, establish and implement a sector monitoring system for compliance with the strategic plan, PEF SNAP’s indicators and action plans permitting verifying the progress of the sector policy at national government’s level and sub-national levels of autonomic governments, and the identification of institutional, programmatic and procedural weakness in actors of a sector budget support assistance program.
- **Programmed Output 4**: Short-term expert missions have contributed to strengthen institutions, policy and strategic and operation sector planning, transferring knowledge related to the execution and monitoring of a sector budget support assistance program.
- **Programmed Output 5**: Long-term technical assistance and short-term expert missions have contributed to the implementation of the DOPA observatory and the strengthening of the VMA and SERNAP sector capacities through continued staff training processes (Digital Observatory for Protected Areas), in coordination with sector institutions and CCR (Common Research Center), with an articulation framework with SERNAP’s information system.
- **Programmed Output 6**: Technical assistance provided to the VMA and SERNAP has supported the strengthening of the SNAP, through the definition of the national system of protected areas at different government levels: national, departmental, municipal and indigenous autonomies, at the level of civil society support institutions and organized civil society.

EU’s technical assistance programs although trying to be articulated, have not generated a comprehensive action plan for the sector to harmonize actions within its framework. In the abovementioned outcomes, when we talk about sector, it refers specifically to each sub-sector (be it water and sanitation, water resources or protected areas). The lack of comprehensive actions results in the sector having many diagnostics performed by each donor (The Netherlands, GIZ, EU, etc.), based on which no timely and harmonized actions have been generated that contribute to sustainable strengthening and create major impact in the sector’s management.

In this sense it is confirmed that programs have included TA components as recommended by the CSP and MTR, but per program or supported sub-sector and not so much at a more comprehensive and articulating sector level, necessary in sectors with different interventions, mostly supported under the SBS modality, such as sector 3. Capacity strengthening has taken place at a level more focalized than the sector’s, reason why the recommendation made by the MTR with respect to institutional strengthening and capacity creation is still pending, and require a special approach in future EC’s assistance. In terms of SBS, in spite of concrete efforts being made to improve monitoring systems, sector coordination and articulation, as well as capacities to formulate and implement public policy, there are still pending issues above all with respect to monitoring systems: sector 1, sector 2 (PEF to be defined), as well as in sector 3 where a monitoring system has not yet been
EQ 2 Appropriateness of Execution Instruments and Mechanisms
To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

- consolidate for the entire sector. In sector 2 major advances have been made with respect to policy articulation; in sector 3 major advances have been made with respect to sector articulation and public policy formulation. These advances corroborate sector policy reports of SBS for PNC2 and ENDIC.

I.2.2.2 Evidence showing that institutional strengthening (capacity generation and development) offered by the EU, takes into consideration the absorption necessities and capacities of Bolivian counterparts, ensuring conditions for full local ownership and on-time implementation.

TA assistance provided to sectors 2 and 3, within the framework of SBS, look for the institutional strengthening and programmatic of the MMAyA and the MDRyT, its vice-ministries and sector entities, in particular for the execution of programs and activities, at national as well as at sub-national level to promote the achievement of objectives, outcomes and SBS indicators, as specified in the previous indicator.

At outcome level (summarizing those presented by sector in previous indicators) we are looking for:

1. Operation in effective fashion the budget support modality and sector programmatic support, coordination with sector and sub-sector groups, complying with the terms established for the fixed and variable segments of agreements, strengthening dialogue at horizontal and vertical level, as well as with organized civil society.
2. Consolidation of the PEF as a management for results tool and sector information and monitoring system.
3. Consolidation of regulatory frameworks, models and organizational mechanisms of articulation and coordination that enable the efficient involvement of national and sub-national actors to achieve programmed outcomes and more specifically, indicators and goals programmed in the PASAP.
4. Have qualified staff and improve the level of internal competencies, as well as strategic planning and management tools for the efficient execution of Sub-sector Plans.

These outcomes area based above all on the eligibility terms of budget support programs that require these elements for the modality to continue being implemented and funds disbursed. As far as timely necessities on part of beneficiaries is concerned, diagnostics based on specific analysis of institutional capacities made within the framework of TA studies are taken into account either during the formulation phase (sector 1 (PAMEFF) and 3 (PACSBIO, PASAP and Basins)) or during the implementation phase (diagnostic made of FONADAL in sector 2 during the implementation of the FONADAL Yungas project). These necessities are taken into account in program design and in the definition of the design of ToR of TA actions. In this case, diagnostics were the basis for the design of the ToR of short-term missions.

TA actions concluded show:

With respect to the TA for PNC1, which had programmed 6 outcomes, the TA’s systematization document shows 92% performance level through 2 long-term experts and 56 short-term missions, accompaniment processes, exchange of experiences in a total of 18 Program technical and management areas:

The Rapid Assessment of Capacity Development made at the level of sector 2 (PAPS Coca) shows the institutional strengthening process of sector 2 as a successful case that began with a project approach intervention (FONADAL Yungas) in which framework the policy executing entity was strengthened, and afterwards the VCDI as sector

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6 In sector 3 within the framework of the PAMEFF TA contracts by demand, much more focalized, were drawn up.
EQ 2

**Appropriateness of Execution Instruments and Mechanisms**

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

Head within the framework of SBS or PAPS Coca. The TA final report states that:

In 2012, the PAPS was used as reference for the application and validation of the Methodology to Evaluate the Impact of European Commission’s Development Assistance Programs with respect to the “strengthening of capacities and competencies”, institutional as well as of officers of institutions.

The outputs of the application of this method were presented during a “SBS Management” regional seminar organized by the PAPS in coordination with the Delegation, where the perception of the excellent work performed by the PAPS’ TA was confirmed and validated.

This same report shows the following achievements in its final report with respect to goals programmed in the ToR:

1. **Support to the execution of SBS modality by the VCDI and the MESDI**

   The VCDI, MDRT, FONADAL, VIPFE, MEFP, community associations, municipalities, MESDI actors and other institutions know and manage the SBS mechanism. The VCDI has gradually gained ownership of the SBS mechanism and the PAPS, through the autonomous development of disbursement reports for 2011. Starting in 2009, the VCDI has managed in autonomous fashion the operation of the MESDI sector.

2. **Support to the establishment of a sector monitoring system by the VCDI**

   The VCDI has all monitoring systems an institution in charge of implementing a sector policy such as the DI (monitoring systems of immediate impact works, monitoring systems of the institutional POA; monitoring systems of legal aspects of the coca leaf trade; monitoring systems of projects executed by donors within the PNDIC framework).

3. **Strengthening of institutions, policy and sector processes and knowledge transfer concerning the execution and monitoring of a PAPS**

   The VCDI developed a new National Comprehensive Development with Coca Strategy (ENDIC) in participative and shared fashion, taking advantage of the contributions of the PAPS’ TA, the MESDI and local and sub-national actors. The VCDI has identified the sources of information to develop Goal Compliance reports of the indicators of the fixed and variable segments, managing and processing in autonomous fashion institutional relations with these actors.

4. **Support to the verification of compliance with sector indicators**

   The VCDI and MESDI participated in direct fashion in the validation of goal compliance reports of indicators as a function of disbursements; furthermore, the MESDI contributed relevant information to develop the aforementioned reports. The VCDI has full knowledge of the development mechanisms and transmission and approval circuit of goal compliance reports of the indicators of each segment.

5. **Support to dialogue coordination among all involved actors**

   Support to the organization and constant participation as guests and observers in the MESDI, coordination meetings with VCDI and FONADAL teams and with local actors; participation in community associations and presence and field visit performed by the PAPS’ Ta has enabled achieving this result. The coordination and participation of all mentioned actors in the formulation and development of the new ENDIC confirm the positive operation of the TA respect to the achieved goal. The trust generated by the TA among all sector actors has enabled validating the report of the PAPS’ second and third variable segments by the MESDI.

6. **Support to the correct and effective implementation of activities**

   The TA’s quality and number of activities and methodological and technical assistance, permanent and auxiliary, justify the achievement of this result. In this sense, it is possible to state that during the 4 years
Appropriateness of Execution Instruments and Mechanisms

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

of the life of the TA contract, no sector actor has manifested inconformity with respect to the TA’s activities or operation or with the operation of the PAPS. This statement has been continuously been validated thanks to regular visits and backstopping missions performed by the INTEGRATION Consulting firm, through interviews held with sector institutions and extra-institutional actors.

The Technical Assistance team (Complementary assistance) for the PAPS is composed of:

- Rural and Economic Development Expert as Head of Mission; responsible for the administrative management of the Program, and as professional adviser for the diversification of the coca monoculture productive model.
- Public Finance Expert, to monitor the correct operation and application of the SBS mechanism and provide professional advice with respect to public finance.
- 4 Auxiliary experts to provide support to the VCDI
- Short-term mission experts, for specific consulting works related to PNDIC components and compliance with indicators.

After four years of operations, there are still reasonable doubts about the chance of integrating in permanent fashion a Public Finance expert in an SBS program, taking into consideration that this professional could provide support to a number of SBS programs operating in the country.

In this sense, the post of Public Finance Expert must be rethought and placed in a different “institutional location”, meaning the creation of a Public Finance TA post that operates in the Ministry of Development Planning or the Ministry of Economy and Public Finances in benefit and service of all SBS programs operating in Bolivia.

PAPS’ outcomes are also ensured thanks to the constant evolution and adaptation of the TA team to new sector situations and through the creation of a group of auxiliary experts.

Up to now, major achievements at the level of this TA actions, have been consolidated around the improvement of policy dialogue, thanks to generation of dynamics and exchange spaces at sub-sector level, harmonization of assistance around PEPs promoting management for results (contribution confirmed within the framework of the systematization of PNC 1’s TA); generation of management instruments and improvement in public policy formulation through short-term missions based on the delivery of concrete outputs that sometimes beneficiaries are not able to fully absorb, as indicated in the systematization of PNC1’s TA. It may be stated that a good percentage of programmed outcomes has been achieved.

Based on systematization and evaluations performed in sector 3, there is evidence that there is still a lack of absorption on the part of sector actors of instruments supplied by the TA action, causing in some cases for instruments no to be implemented on time or for their implementation to exceed the duration of TA contracts. Sector 3 still does not have an institutional strengthening comprehensive plan and therefore, most instruments generated by TA programs are not always articulated and coordinated properly to prevent duplicating and miss synergies that could lead to major impact. The major problem with the operation of budget support programs has to do with the implementation of an information system supplying comprehensive, articulated and dynamic data, an issue in which few steps have been taken, but where there is no progress seen being made to ensure in sustainable fashion this essential axis of public policy monitoring.

Another issue taken more into consideration by the PNC and within PACSBIO’s framework is the strengthening of sub-national levels at government level (municipalities in the case of the PNC) as well as of organized civil society (PACSBIO), which is also a very important axis to improve policy implementation, accountability and policy dialogue.

It’ is also worth pointing out the contribution by PAPS1’s TA to the Plan to Improve Public Finance Management, creating important references for these levels and contributing to the implementation of any policy by municipalities.

Sector 3 also has TA within the framework of a Budget Program. It is concerned mostly with providing professional advice to the Prefecture of Oruro and management Unit concerning all aspects related to good Project execution, in particular with respect to the sustainable management of the natural resources of Lake
### Appropriateness of Execution Instruments and Mechanisms

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

Poopó’s basin. This professional advice centers on putting into practice an using land planning, monitoring and evaluation tools; developing a Master Basin Plan; using lessons learned and practices acquired during the execution of related projects; leadership strengthening at sub-national level with respect to multi-sector interventions.

During the field phase, research was done on the purpose of combining capacity development, in this case at sub-sector and sub-national levels, and important results were achieved that should be disseminated to other sub-national level areas and sub-sectors, which similarly to the basin sector require high implementation capacity on the part of departments and municipalities. Unfortunately, these products are not finished yet and their contribution to national policy cannot be established.

**I.2.2.3** Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm that assistance modalities and intervention mechanisms take into consideration the capacities of beneficiary institutions.

Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm that assistance modalities and intervention mechanisms take into consideration the capacities of beneficiary institutions. However, more articulation is required between capacity actions developed by the EU through TA and sector institutions to ensure that capacities are effectively installed after the termination of TA contracts. Furthermore, scholarship programs, in collaboration with Bolivian research institutions, are considered very appropriate to ensure major impact of actions started by TA programs.

### EC 2.3:

Selected assistance modalities have facilitated the achievement of sustainable outcomes.

**I.2.3.1** Evidence, if any, of the degree of importance of limitations related to management and procedures (for the beneficiary and the EUD) of assistance modalities.

The Budget Program modality shows in general terms, looking at the addenda of agreements performed under this modality, delays resulting from limitations of procedural and managerial nature that in order to be resolve require changes prolonging the operational phase and reducing the closing phase and budget changes.

Administrative problems under this modality are mainly related to difficulties applying and understanding European regulations and applying at the same time, national regulation parameters in terms of contracting and budget, causing management to become less efficient and more chaotic, with reduced financial execution. These execution delays could be part of the reason why programmed objectives and outcomes such as the following are not achieved as initially scheduled:

- Contribute to the economic, social and environmental development of Bolivia’s mining zones, promoting employment under social responsibility and environmental criteria.
- Programmed outcomes are related to the improvement of the organization and entrepreneurial management of productive units in prioritized sectors, strengthening of intermediate professional organizations and of the institutional capacity of sector Ministries and Development Agencies.

**Sector 2 Project Approach modality (CONALTID)** focalized on generating an institutional framework and innovative action lines. Generate a legal and institutional framework that answers to the mandates of the CPE and of Bolivian public policies concerning coca leaf and controlled substances; contribute to the fight against drug production, traffic and use, based on peaceful agreement, democratic participation and full exercise of human rights promoting the comprehensive development of communities producers of coca leaf; strengthening of the CONALTID to lead the execution and monitoring of the ELNyRHC, communication, compliance with international commitments and coherence in the cross-cutting application of the fight against drug trafficking.

**Social control (focalized on institutional and organizational strengthening, as well as on innovative social control mechanisms per se).**
**EQ 2 Appropriateness of Execution Instruments and Mechanisms**

To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?

**Programmed outcomes (PO)**

- **P01**: There are records and titling of plots of coca leaf producers as support to Social Control mechanisms to be defined.
- **P02**: There is a comprehensive system of geo-referenced information issuing objective and periodic information on the status of coca crops in producing areas.
- **P03**: There is a comprehensive plan to communicate and disseminate the social control strategy at organization level as well as with respect to public opinion.
- **P04**: Participating trade unions (Federations) strengthened, developing conflict management capacities for the design and application of Social Control Mechanism.
- **P05**: Participating social organizations with equipped with sufficient infrastructure, equipment and technology for the comprehensive management of the Social Control Project.

**General goal**

To provide support to the government of Bolivia for the implementation of coherent policies related to the fight against drug trafficking, based on a set of actions executed within the framework of the “Strategy of the Fight against Drug Trafficking and Revalorization of Coca Leaf”, supported and agreed on jointly with producer organizations to regulate the production of coca leaf in the country, through Social Control mechanisms use based on peaceful agreement, democratic participation and full exercise of human rights.

**Specific goal**

To increase the institutional capacities of the government of Bolivia and social organizations of coca producers to implement social control programs related to coca leaf production.

**Sector 3, Project Approach modality** - Lake Poopó with regional focus (environment emergency area and strengthening of public management capacities at decentralized level)

**Objectives**: To contribute to the fulfillment of MDGs, in particular those concerning the sustainable management of natural resources and poverty reduction. Provide support to the sustainable management of the natural resources of Lake Poopó’s basin, prioritizing environmental aspects.

**Outcomes**: Policies, strategies and projects developed and implemented for the sustainable management of Lake Poopó’s basin; Improvement of the Preservation of the Ecosystem; Contribute to the Reduction of Poverty and Migration; Strengthening of public management capacities at local as well as departmental level, prioritizing Local Economic Development and including citizen participation criteria and environmental and social responsibility.

Supported sectors highlight the existence and use of diagnostics identifying challenges at political level and in selected work areas, developed within the framework of programs previously financed by the EU; as well as the use of complementary diagnostics developed by other Member States and donors, used as reference in the design of interventions, for the design of EU programs.

Governmental and sector actors confirm that the budget program is perceived as a complex instrument and execution takes place as a function of the mechanism and is not deemed appropriate for the human rights sector. The management unit is considered as being totally parallel to the institutional framework, distorting the object of cooperation work.

As far as sector 2 is concerned, existing SBS Coca formulation documents clearly show how the strengthening of institutional capacities at municipal level and FONADAL’s prior to SBS has enabled good flow of funds. This case is a sample of how a combination of instruments can contribute to the achievement of sector objectives. Research will have to be performed during the field mission to see how this experience can also be corroborated in sectors 1 and 2.

On the other hand, the main limitation of the budget support modality is of managerial nature, information systems and thus, data quality currently available. The final report of PAPS1’s TA (sector 2) ratifies this fact, as well as PASAP’s TA reports (sector 3) and the report of the formulation of the PAMEFF (sector 1). All three cases show this fact as main limitation, as well as the management capacities of sub-national sectors (departments, municipalities and indigenous authorities) who weigh heavily at budget level within supported policies, most of
all with respect to sectors 2 and 3 where the main leveraging of TGE funds within the framework of these policies take place thanks to the co-financing of these levels.

The weakness of information systems and data quality is not only a limitation in terms of modality implementation, but also in terms of policy formulation based on quality information and data, with more capacity to focalize actions lines on aspects requiring it the most. Furthermore, while statistical systems remain not connected to sector policies it will be even more difficult to measure the impact of supported policies. Thus, the inclusion of impact indicators has not been possible up to now in any policy PEFS, nor in SBS programs and the following has been proposed for the sector:

**Sector 1:** Promote the development and formalization of MSMEs from the financial and fiscal environment to create employment and improve income.

**Sector 2:**

Food security: Contribute to government actions to reduce the impact of food price rises on most vulnerable populations, strengthening the productive and institutional capacities of the agricultural sector and reinforcing government's actions aimed at stimulating the production of basic food staples, consumption of local families and markets.

PNDIC: Consolidate the Comprehensive Development sector policy and its institutional framework, interrelating it with similar sectors, socially shared with social actors and institutions working in the coca leaf production problematic, and agreed on jointly with the international community, under the principles of national sovereignty and dignity.

**Sector 3:**

Strengthen the organization and technical capacities of local actors for sustainable and comprehensive basin management; reinforce an institutional framework favorable (actors and their legislation and regulations) to the sustainable management of Water Resources and Natural Resources and consolidate the sustainable management of cross-border basins, as well as the sustainable management of cross-border ecosystems.

Strengthen the national system of protected areas, promoting shared management and the economic and social role played by communities living in protected areas as per the national regulation framework.

The General Objective is to improve the living conditions of the population of peri-urban areas through the support of the implementation of the National Basic Sanitation Plan, with sustainable management of water resources and promoting systems adapted to the climate change issue.

The budget program as well as budget support modalities, therefore, suffer from work related uncertainty caused by institutional instability expressed in the shape of continuous staff turnover in institutions, resulting in management difficulties and program success, as well as of the different compliance schedules of Project Approach programs or SBS disbursements, not standardized with Bolivia’s scheduled budget.

OECD’s 2010 survey on progress made on the commitments assumed under the Declaration of Paris in addition, show that the two principles of the Declaration of Paris still remaining a challenge for the government of Bolivia as well as for donors, are management for results and accountability.

The aforementioned limitations are directly articulated to the principles of management for results as well as for accountability purposes. Although the SBS formality promotes management for results based on using the PEF, the difference between information systems makes difficult outcome compliance monitoring as well as more permanent and open to civil society accountability.

I.2.3.2 Contracting and payment rate by assistance modality, and perception on the part of beneficiaries and the EUD about its influence on outcomes

Next we show the level of SBS program disbursements, which reaches 96% for concluded ones (in red) and 80% up to date. The contracting level of the Project Approach programs reaches 86% and 68% for disbursements, keeping in mind that N+3 already passed, these projects will reach 86% disbursement level if they manage to disburse the total contracted amount. Therefore SBS is presented as the assistance modality with the highest disbursement rates in Bolivia, which coincides with the perceptions of beneficiaries and their preference for this modality. The FONADAL project is included which although taking place under project approach, reached 99% disbursement and became a reference for capacity development, enabling reaching good performance level at the
Level of the comprehensive development with coca sector policy, allowing somehow for the next SBS program to reach 94% disbursement level.

<table>
<thead>
<tr>
<th>Agreement n°</th>
<th>Title</th>
<th>Total Amount of Agreement</th>
<th>Programmed Total</th>
<th>Current Disbursement level</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2011/022-861</td>
<td>PAMEFF</td>
<td>35.000.000,00</td>
<td>33.000.000,00</td>
<td>53%</td>
</tr>
<tr>
<td>DCI/ALA/2007/019-027</td>
<td>PAPS1</td>
<td>26.000.000,00</td>
<td>24.000.000,00</td>
<td>94%</td>
</tr>
<tr>
<td>DCI/ALA/FOOD/2009-022-002</td>
<td>PASA</td>
<td>11.750.000,00</td>
<td>10.500.000,00</td>
<td>96%</td>
</tr>
<tr>
<td>DCI/ALA/2008/019-306</td>
<td>ASPNC</td>
<td>19.000.000,00</td>
<td>16.000.000,00</td>
<td>99%</td>
</tr>
<tr>
<td>DCI/ALA/2011/022-834</td>
<td>PACS BIO</td>
<td>18.000.000,00</td>
<td>14.000.000,00</td>
<td>56%</td>
</tr>
<tr>
<td>DCI/ALA/2010/021-927</td>
<td>PASAP</td>
<td>20.000.000,00</td>
<td>18.500.000,00</td>
<td>83%</td>
</tr>
</tbody>
</table>

Current Average: 80%

1.2.3.3 Evidence showing that the selection of assistance modalities and their combination enables empowerment at political and implementation level

Based on the analysis of modalities performed and taking into account that the Project Approach modality is aimed at developing particular capacities and the on the contrary, SBS looks to consolidate finance and contracting systems and capacities at national level, the latter modality is the one contributing the most to empowerment at political level as well as during implementation because capacities improved around this modality are applied not only contributing to an isolated objective, but within the framework of national policies under national regulations. The Application of European regulations within the framework of Project Approach does not contribute to the Bolivia’s alignment principle that requires timely capacity development concerning managerial issues, taking away from the country's actions lines. However, agreements have been implemented prior to an SBS program, such as FONADAL Yungas (see final report of FONADAL Yungas TA) enabling the sector to prepare for the SBS modality at the level of public policy formulation, management and monitoring capacities, which is a reference to show that a combination of modalities can contribute to empowerment, obviously of with the contribution made by each modality at a different level. Projects more at management level and SBS at more political level and of institutional and inter-sectoral articulation. Another example to highlight is the Social Control Project, which has made important contributions with respect to policies, becoming a reference at regional level of the potential involvement of civil society in the control of coca leaf production. In sector 1, during the field stage it will be important to obtain information on how these Project Approach programs contribute to the better implementation of SBS programs or SBS programs contribute to the implementation of projects.

At political empowerment level and during implementation it may be observed that thanks to spaces generated within the framework of policy dialogue (PNCI’s TA systematization) contribution is made to more prominence...
and involvement on the part of sector heads and other actors based on the definition of PEFs, policy formulation, going through progress evaluation and disbursement report preparation processes up to the termination of programs. Spaces where the TA of SBS programs has played a role valued by actors ratified, for instance, by officers of sector 3 as well as by donors participating in intense fashion in this policy dialogue (also in particular in sector 3). These perceptions are clearly displayed during interviews performed during the inception phase of the evaluation as well as during the systematization of the PNC1. In sectors 1 and 2 it will be important to verify during the field phase the degree of political empowerment and participation of other actors in policy dialogue spaces and mechanisms, as well as within the framework EU's strategies for these sectors.

I.2.3.4 Evidence of intervention efficiency and effectiveness based on ROM and evaluation reports

Based on available ROM and mid-term evaluation reports of agreements under the Project Approach modality, there are low efficiency and effective levels with a tendency to increase as time passes. Given that most of actions take place toward the second half of the execution phase, final evaluations of these projects are necessary. Up to date there are no final evaluations available to determine efficiency and effectiveness levels of projects under this modality.

The main reason for low efficiency and effectiveness during the first half of the execution phase of this modality is the time projects normally need to understand European regulations and combine them with local regulations. This in general results in having most contracts being performed just before N+3 and thus, most actions take place after N+3.

The efficiency and effectiveness of the SBS modality is positive, as confirmed by the high disbursement level shown (96% for concluded SBS programs), but with difficulties and delays related to the preparation of disbursement dossiers; in most cases due to the manual collection of information and ad hoc information systems used, more permanent than dynamic. The following are other aspects mentioned in current ROM reports related to efficiency and effectiveness:

1. Lack of articulation between schedules or effective disbursement dates of SBS programs with Bolivia’s budget schedule.
2. Lack of indicators in PEFs to measure the quality and impact of intervention beyond quantities and output type goals. However, the PEF is characterized for having contributed to management for results and the alignment and harmonization of ODA centered on national policies, most of all in sector 3.
3. Good policy level dialogue between donors and Government within the framework of formal spaces. In this sense, the role of TA stands out as facilitator and catalyst of these frameworks.
4. Good level of compliance with objectives and outcomes programmed in financing agreements and thus, with public policies to which these are linked to. However, in some cases such as PASAP and PNC it is mentioned that goals may have been underestimated given the achievement level which sometimes reaches 200% compliance.
5. The role of TA programs stands out in the development of planning and management instruments, but at the same time institutional capacities at central and sub-national levels stands out as the first risk to the implementation of SBS programs and for TA programs to have to concentrate their efforts to measuring outcomes because of existing deficiencies at institutional level and in information systems.
6. For sector 3, it stands out that the three different TA actions furnished by donors are pulverized and without too much synergy, even if some cases of joint studies (EU-Spain) performed are registered.

These aspects have an effect at the level sector policy implementation in financial terms (disbursement delays or not coincided with budget schedules), as well as on the improvement or hindrance of quality and impact in terms of policy.

Other factors that constitute challenges to both modalities are: staff turnover, institutional stability and dependence on foreign assistance, above all in sector 3.

I.2.3.5 Main interested parties at country level, in particular national counterparts and EU’s Delegation, confirm or refute correlation between assistance modalities and the achievement of outcomes

Main interested parties at country level confirm the correlation between assistance modalities and the scope of outcomes as indicated in prior indicators.
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<th>EQ 2</th>
<th>Appropriateness of Execution Instruments and Mechanisms</th>
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<td>To what extent are instruments (geographical and thematic) and their combination, and execution modalities and their combination, appropriate to facilitate the achievement of the objectives programmed in EU’s cooperation strategy with Bolivia?</td>
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**EC 2.4:**
The Commission has looked for global coherence among its development interventions in Bolivia

**I.2.4.1** EU’s Delegation degree of participation in the identification, viability analysis, monitoring and evaluation of bi-regional programs operating in Bolivia

According to monitoring and evaluation reports of regional programs such as PRADICAN and INTERCAN, the EUD in Bolivia has actively participated in the evaluation of these programs. During the field mission evidence was gathered about the high degree of participation on part of the EUD Bolivia in all the stages of regional and continental programs, in higher degree in AL-Invest, URBAL and Eurosolar.

**I.2.4.2** Evidence of the search for complementarity between EU’s interventions at national, sub-regional and regional levels financed under programmable (ALA and DCI-ALA) and non-programmable assistance (thematic budget lines)

In sector 1, the productive development project has created synergies through actions also promoted by AL Invest. It will be important to research the articulation with programs such as URBAL during the field phase. More information may be obtained when URBAL and AL Invest’s documentation is available.

The final evaluation of the PRADICAN recommends regionalizing Bolivian experiences related to the comprehensive development with coca and social control. This constitutes Bolivia’s contribution to the policy dialogue concerning drugs and drug trafficking. During the field phase we will check to see if there is progress made in following up with recommendation within the framework of PRADICAN.

The EC provides aid and assistance to disaster response and the preparation of humanitarian aid in Bolivia. These activities are executed by DG ECHO. During the field mission at EUD as well as sector’s level, the achievement of synergies between assistance actions for sector 3 and DG ECHO was confirmed, including its disaster preparation program, DIPECHO, considering this experience to be successful. ECHO contacts point out the quality of the link between the EUD Bolivia for these issues and its interest on creating articulations between instruments.

Support within the framework thematic lines constitutes a major contribution, complementary to SBS actions, whose modality eligibility terms require capacities on part of civil society organizations within the framework of public policy formulation and effective accountability.

**I.2.4.3** Evidence of effective interaction between the aforementioned programs

During the field mission, involved actors confirmed the effective interaction between programmable assistance support actions and regional and continental programs, thematic line and ECHO and with the Stability Instrument. This interaction has resulted in the promotion of the objectives searched for in different programs.

**I.2.4.4** Evidence of internal dialogue spaces (in the EC and EUD and between them) to improve policy coherence between sectors

During the field visit, evidence was corroborated of internal dialogue between Brussels’ officers and the EUD in Bolivia and Lima (related issues concerning regional projects), as well as with ECHO. The relation is fluid and contributes to the achievement of the objectives of the cooperation strategy.
**EQ 3: Creation of economic opportunities through decent employment**
To what extent has EU’s support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

**DAC evaluation criteria:** Relevance, efficiency and sustainability  
**Additional key aspects:** 3Cs, Declaration of Paris  
**Cross-cutting issues:** Vulnerable groups (women, young people, ethnic groups); Human Rights (labor)

**Rationale:**
The objective of EU's cooperation in Bolivia in this area is to increase the creation of sustainable economic decent employment opportunities in MSMEs, to contribute through the increase in per capita income to poverty reduction. Interventions are developed within a context of income generation based on the family unit and faced with a restricted internal market. EU's support to the generation of employment in MSMEs supports public policies that increase MSMEs' access to financing, facilitating the formalization of economic activity, which increases their access to markets and increases business productivity and competitiveness.

The objective of this EQ is to investigate whether EU’s support reflects identified necessities and is pertinent with respect to broader cooperation objectives. It also analyzes measure effectiveness, centered on the outputs and outcomes of EC's interventions within the sphere of activities related to the creation of employment and income generation opportunities.

Among other sources of information, the EQ will take into consideration the following as main sector interventions: 1) Program to improve the financial and fiscal environment of MSMEs (PAMEFF) (33M€); 2) Program in support of Employment Generation in Bolivia's mining areas (EMPLEROMIN) (6.5M€) and 3) Productive Development with Decent Employment Project (PROBOLIVIA) (12M€). Furthermore, the contribution made through regional programs such as URBAL and AL-Invest is valued.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Indicators</th>
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</table>
| **EC 3.1:** EU's support strategy reflects national necessities and priorities with respect to employment and income generation opportunities, mainly through the development of MSMEs and their evolution in time, taking into account EU's general objectives for the region | I.3.1.1 Evidence of consideration on part of the EU (in the CSP and other programming documents) of national plans, programs, studies and/or analysis describing the country's priorities with respect to employment generation, in particular through the development of MSMEs.  
I.3.1.2 Private sector's degree of participation in the process to identify priorities and definition of interventions within the productivity and competitiveness environment.  
I.3.1.3 Evidence of the search and scope of complementarity and synergies among EU's interventions at national, sub-regional and regional level in the area of private sector development (in particular with respect to productivity and competitiveness), during programming and execution phases  
I.3.1.4 Main interested parties at local, regional and/or national level confirm the consistency and support response capacity of the EU to local, regional and/or national priorities related to employment generation and MSMEs' development. |
| **EC 3.2:** EU’s support strategy contributes to improving the promotion of formalized MSMEs | For all cases it is understood that indicators are promoted as a result (direct or indirect) of EU's support  
I.3.2.1 Strengthening of institutional capacity of services related to the development of public or private sector's financial and non-financial enterprises (SDE their acronym in Spanish)  
I.3.2.2 More and better offer of SDE to develop MSMEs in the country, in particular in mining and coca production areas  
I.3.2.3 Easier (administrative simplification) business set up (formalization)  
I.3.2.4 Increase in the number of businesses registered and the number and volume of tax contributions  
I.3.2.5 More access to credit (with affordable interest rates) |
### EQ 3

**Creation of economic opportunities through decent employment**

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

<table>
<thead>
<tr>
<th>EC 3.3:</th>
<th>EU’s support strategy contributes to the generation of decent and alternative employment, in particular in mining and coca leaf production areas</th>
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<tbody>
<tr>
<td></td>
<td>For all cases it is understood that indicators are promoted as a result (direct or indirect) of EU's support</td>
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<tr>
<td>I.3.2.6</td>
<td>Evidence of measures that improve correspondence between labor markets supply and demand</td>
</tr>
<tr>
<td>I.3.2.7</td>
<td>Evidence based on the analysis of ROM reports and other sources of the effectiveness and sustainability of EU’s programs with respect to improving MSMEs’ productivity and competitiveness</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EC 3.4:</th>
<th>EU’s strategy contributes to the improvement of the productivity and competitiveness of MSMEs and therefore, to the positioning of their products in regional, national and international markets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>For all cases it is understood that indicators are promoted as a result (direct or indirect) of EU's support</td>
</tr>
<tr>
<td>I.3.4.1</td>
<td>Better business environment in the country (indicators of &quot;easiness to do business&quot;, including international comparisons and national indicators)</td>
</tr>
<tr>
<td>I.3.4.2</td>
<td>General improvement of foreign trade situation</td>
</tr>
<tr>
<td>I.3.4.3</td>
<td>Evidence, based on ROM reports and other sources of the effectiveness and sustainability of EU's programs with respect to the improvement of MSMEs' productivity and competitiveness</td>
</tr>
<tr>
<td>I.3.4.4</td>
<td>Evidence of the search and scope of complementarity and synergies among EU's interventions at national, sub-regional and regional level in the area of private sector development (in particular with respect to productivity and competitiveness), during programming and execution phases</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EC 3.5:</th>
<th>The conditions are given for benefits achieved in the area of productivity and competitiveness of MSMEs lasting after the conclusion of foreign assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.3.5.1</td>
<td>There is a gradual exit strategy or measures to that effect (capacity strengthening and participation on the part of beneficiaries) on part of the EU</td>
</tr>
<tr>
<td>I.3.5.2</td>
<td>Continued support (or realistic prospects for it) of MSMEs on part of public and private sectors (regulatory framework development, creation of institutional capacity, strengthening/spreading of information and/or exchanges on experience platforms (web, etc.)</td>
</tr>
<tr>
<td>I.3.5.3</td>
<td>Main interested parties at local, regional and/or national level confirm the political will of the State and the capacity to maintain and expand achieved results</td>
</tr>
</tbody>
</table>
EQ 3

**Creation of economic opportunities through decent employment**

To what extent has EU’s support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

**Information sources:**

- National and international statistics (National Institute of Statistics, Central Bank, Chamber of Commerce, CEPAL, IDB, CAF, OECD, ILO, Associations of SMEs, Universities, CAN, etc.)
- GoB sector and global documents
- Documents from regional and/or local authorities of EU’s intervention areas
- Documents generated within the framework of EU-CAN negotiation rounds
- Documents generated within the framework of sub-regional (EU-CAN) y regional (EU-ALC) cooperation
- RSP (for Latin-America and Andean Community) & EC’s CSP and NIP and PIR (for LA and CAN) for the 2007-2013 period
- EUD’s AMPs
- EUD’s EAMR
- Inventory of EU’s financial commitments (bilateral, sub-regional and regional levels under programmable and non-programmable assistance)
- Financing agreements, action fiches, monitoring reports evaluations, etc.
- Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level
- Additional external studies and reports
- WB Doing Business
- Field missions

**Methods:**

- Documentary analysis
- Analysis of selected interventions
- Interview analysis
- Inventory analysis

EC 3.1:

EU’s support strategy reflects national necessities and priorities with respect to employment and income generation opportunities, mainly through the development of MSMEs and their evolution in time, taking into account EU’s general objectives for the region.

1.3.1.1 Evidence of consideration on part of the EU (in the CSP and other programming documents) of national plans, programs, studies and/or analysis describing the country’s priorities with respect to employment generation, in particular through the development of MSMEs.

The Government’s current sector policy means to contribute to energizing the New National Productive Economy Model. The general objective of the sector policy is the promotion of the development and formalization of MSMEs from the financial and tax environment to create employment and improve income. The objectives of this policy are: a) To deepen the democratization and diversification of the financial system, prioritizing the development of the productive sector and the demand of traditionally exclude producers, with a gender and environmental sustainability approach; b) Implement a fiscal, tax and tariff policy to contribute to the formalization of MSMEs productive initiatives. The policy in favor of improving the financial-tax environment of MSMEs is supported by CPE, PND and the 2010-2015 Government Plan.

The PND establishes that the "structure of the national productive matrix is composed by two sector groups: a) strategic sectors generating surpluses and b) employment and income generating sectors. The main principle of the PND is that based on their surpluses, strategic sectors, in addition to reinvesting, will provide the resources to income and employment generating sectors to contribute to the diversification of the economy and benefit the development of the social area. Employment and income generating sectors include: agricultural sector, manufacturing and craftwork industrial transformation, tourism and housing; characterized for being labor-intensive and with the capacity to generate income for the population as a whole, which is why is necessary a State promoting their development. This implies having a State that identifies the capacities, weaknesses, potential and necessities of each sector to, subsequently, generate selective interventions and basic conditions.
Creation of economic opportunities through decent employment

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

for the regulations, infrastructure, financial and non-financial and articulation services between existing production modes”. Thus, current sector policy responds to the 3 policies prioritized by the PND: a) strategic trade policy (adopting a new approach implying rational and timely use of tariffs, previous licenses and import quotas to stabilize local production and internal market with respect to international competition; b) productive sector financing policy that aims through the Productive Development Bank (BDP) at economic promotion and articulation with equality. The BDP is the mechanism used for the redistribution of the country’s income and the financing of the productive development of sectors and regions excluded due to limited access to credit; c) employment policy with the objective of fighting unemployment through the promotion of an economy that diversifies sectors, multiplies actors and generated conditions for the expansion and improvement of work sources. Dignifying and generation of employment will be based on the reactivation of the local productive machinery. The 200-2013 CSP mentions national development plans in Bolivia and the unemployment issue, which the 2006-2010 (GoB’s PND) expects to reduce, the same as with poverty, and create a more inclusive society. The key of the PND’s execution is the transference of surpluses, in particular from the energy sectors, to promote productive activities that create employment.

As EC’s support activity for the employment sector of the CSP’s National Indicative Program (NIP), it proposes developing a component related to the creation of decent work economic opportunities in micro, small and medium size enterprises (MSMEs), with the specific purpose of reinforcing the production sector, including MSMEs. The purpose is to improve the institutional framework to increase productivity and competitiveness, aiming at improving access to the market and its integration in order to create decent and long-lasting employment. These outcomes are expected to contribute to the reduction of inequalities and poverty.

In response to these objectives, within the framework of the evaluation, among others, the following three projects were designed and implemented: PAMEFF, EMPLEOMIN and PRODUCE BOLIVIA.

These three projects detailed further below clearly refer to in their logical frameworks to the aforementioned government planning documents; are focused on government priorities and foresee activities aimed at making progress with the implementation of the new policies of the Government of the Plurinational State of Bolivia (GoB). The PAMEFF concentrates on improving MSMEs’ access to credit and the updating of the tax scheme and administration governing it. EMPLEOMIN aims at providing support to the creation of alternative employment (not mining) in mining areas, centered on the reduction of production's pressure on the environment (better management of natural resources). PRODUCE BOLIVIA aims at providing support to de productive development of MSMEs in six sectors (wood, leather, metallurgy, textile, food transformation and handicrafts) and in a number of intervention areas, basically: training, technical assistance, professional and entrepreneurship training, technological innovation, information systems and development of regulatory and institutional frameworks.

PAMEFF

This Ministry of Economy and Public Finance’s (MEFP) sector policy aimed at improving the financial-fiscal environment of Micro, Small and Medium size enterprises (MSMEs) is designed to promote the consolidation of the Economic-Social Model, based on the financial environment combined with tax measures through the promotion of the development and formalization of MSMEs, with the purpose of creating more employment and improve the income and wellbeing of the population depending on this sector. This policy is not sectoral in the classical sense; it is more a sub-sector policy also relying on the National Production with Decent Employment (PNPED) policy, as well as on the program to improve public finance management, being the PNPED the main program related to employment and MSMEs.

The financial component is the plan’s widest section with the largest direct budget. The plan is a sub-activity of the MEFP’s institutional plan and it is clearly framed within the new Constitution and the PND; it is coordinated with the Action Plan to improve Public Finance Management and it is related in logical form, as complementary element, to the Productive Development with Decent Employment Plan.

The general objective of the PAMEFF program is to promote the development and formalization of MSMEs from the financial and tax environment to create employment and improve MSMEs’ income. Specific objective are: 1) financial component: deepen the democratization and diversification of the financial system, prioritizing the development of the productive sector and the demand of traditionally excluded producers, with a gender and environmental sustainability approach; 2) fiscal component: implement a fiscal, tax and tariff policy to contribute to the formalization of MSMEs’ productive initiatives.
To what extent has EU’s support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

**EMPLÉOMIN**

The Project in Support of the Improvement of Work Conditions and Employment Generation in Bolivia’s mining areas (Empleomin), through the Grant Program, deals with social and environmental projects in mining areas included in the project. This project is implemented in support of the government of Bolivia’s “Productive development with decent employment” Sector Plan.”

The general objective of EMPLÉOMIN is to contribute to the economic, social and environmental development of Bolivia’s mining areas. The specific objective is to generate employment opportunities, improve competitiveness and work conditions in Bolivia’s mining areas through comprehensive interventions in the small-scale mining sector, diversification of the economic matrix and application of social and environmental responsibility criteria. Furthermore, the project intervenes in the sustainable management of the natural resources of lake Poopó’s basin. All interventions clearly aim at contributing to the general objective related to poverty reduction and, explicitly, incorporation gender-related issues. Institutional strengthening components look to improve the governance conditions of related sectors. Although the main objective of the Poopó’s basin program is the preservation of the environment, employment programs through the introduction of appropriate technologies will reduce the pressure of economic activities on the environment. Lastly, the improvement of the work conditions of informal workers and miners and of the life means of the indigenous people of river Poopó’s basin supports the improvement of the situation of human rights in general.

**PRODUCE BOLIVIA**

The Program in support of the Productive Development with Decent Employment (PRODUCE BOLIVIA) Sector Plan began its execution on November 22, 2010, with the signature of the Financing Agreement. The Ministry of Development and Plural Economy is the entity beneficiary of this Program. PRO-BOLIVIA is the executing institution as a Ministry’s decentralized unit, under the modality of direct decentralized management. As stated in the project financing agreement, the government of Bolivia has designed and implemented a Sector Plan adjusted to strategic lines, policies and programs of the National Development Plan and had defined an institutional network to support micro and small Enterprise (MSEs), through the creation of Development Agencies whose missions and roles are aimed at the execution of actions directed at handling sector issues.

As stated in the Technical Provisions of the Financing Agreement, the Program attempts to provide support to the productive development of MSMEs in six sectors (Wood, leather, metallurgy, textile, food transformation and handicrafts) and in a number of intervention areas, basically: training, technical assistance, professional and entrepreneurship training, technological innovation, information systems and development of regulatory and institutional frameworks. Once the modification of the FC was approved, there is a new logical framework matrix, which although not modified at the levels of objectives and outcomes, it includes some modifications at activity level, mainly related to the necessary to their updating to guarantee their pertinence. It is necessary to take into consideration that a number of the activities of the initial logical framework mentioned a number of institutions and bodies that currently are not in operation anymore. Furthermore, some activities have been corrected to structure a proposal coherent with studies contracted and performed within the framework of PP1 and which are basis of the Program’s strategy.

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7 The general objective of the plan is to contribute to the social inclusion of workers through the transformation of the productive matrix. The specific objective is to improve the productivity and quality of the employment offered by small enterprises in prioritized sectors, through the improvement of business capacities, productive development promotion and institutional strengthening.
| EQ 3 | **Creation of economic opportunities through decent employment**  
To what extent has EU’s support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment? |

1.3.1.2 Private sector’s degree of participation in the process to identify priorities and definition of interventions within the productivity and competitiveness environment.

There are no elements in identification (formulation) reports of PAMEFF, EMPLEOMIN and PRODUCE Bolivia projects about the participation of the private sector in the initial stage of project identification. Neither logical frameworks show any private sector participation in their formulation. Although different ROM and evaluation reports address the project design quality issue, design’s elements and structures are analyzed rather than processes. Although reports do not explicitly state if the private sector had participated in the design, they do not state they didn’t either. During the field mission it was noted that the private sector (understood as productive units or producer groups that meet the requirements to benefit from projects and not necessarily only enterprises but also associated producers) feels that it has widely participated in the definition of the priorities of PRODUCE and EMPLEOMIN projects. Both projects work with beneficiaries through grant transfers. It is precisely through the contents of proposals submitted that producer units or groups express their priorities. The transfer mode widely meets the expectations of producers with respect to intervention modality.

The PAMEFF given its nature as SBS does not work directly with beneficiaries. Its link is more direct with productive units through financing lines and BDP’s guarantee funds (and the preparation of the BDP for future activities such as becoming a first-tier bank). Through these measures it indirectly supports the permanent demand, and particular from MSMEs for additional financing resources.

1.3.1.3 Evidence of the search and scope of complementarity and synergies among EU’s interventions at national, sub-regional and regional level in the area of private sector development (in particular with respect to productivity and competitiveness), during programming and execution phases.

With respect to the employment and economic policies issue, Country Program’s interventions were supplemented in Bolivia with Al-Invest and Urbal regional programs’ interventions. During the implementation of the Country Program and regional programs’ activities, joint actions were not sought for; instead, the provision of complementary services from different areas to the productive sector was promoted, looking for programmed outcomes to be complementary. This objective was fully met.

While Country Program activities, in line with GoB’s priorities, focalized their transfers and services on productive units and groups at the bottom strata of the productive pyramid, Al-Invest focalized on the middle strata of the productive pyramid. At the same time, under its new conception of productive collectives, the GoB looks to promote public-private partnerships (through joint public-private activities and the implementation of local policy activities (provision of goods and services). Urb-al precisely worked with this decentralized public policy approach focused on public-private partnerships.

**Al-Invest**

The same as PAMEFF, EMPLEOMIN and PRODUCE Bolivia, Al-Invest intervenes in the area of MSMEs, mainly looking for more and better international connection of Bolivian MSMEs with international markets. Within globalization’s context, MSMEs require for their growth the promotion of actions facilitating the sale of their products and/or services in foreign markets, such as the European Union and Latin-America. In support of this objective, Al-Invest develop activities in: I. Internationalization programs; II. Trade and investment promotion programs; y III. Support of female entrepreneurship. Out of 12,000 MSMEs participating in Al-Invest’s internationalization phase, 10% managed to effectively insert themselves in international markets in product areas such as: leatherworks and shoe manufacturing; carpentry; jewelry manufacturing; tourism; gastronomy; agro-industry; food, ICTs, metal mechanic industry, auto parts; plastics, cattle, natural medicine and cosmetics; craftworks, decoration, textiles and confection. These results reinforce and are mainly complementary to PRODUCE Bolivia’s work. Training sessions organized for Latin-American MSMEs included different issues such as: customs regulations; internationalization tools and strategies; barcodes; global e-trade; packaging; purchase and supply management; management training for MSMEs; entrepreneurship and business plans for MSMEs; participation in fairs and roundtables; formalizing trade agreements between European and Latin-American enterprises; exporting capacity. These project training lines also complement PAMEFF’s work.

**URbal**

URB-AL is a regional cooperation program of the European Commission (EC) with Latin-America, started in 1995 to strengthen decentralized cooperation between both regions. During its third phase (2009-2012) the objective was to contribute to increasing the degree of social and territorial cohesion in Latin-America’s sub-national
EQ 3  Creation of economic opportunities through decent employment
To what extent has EU' support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

governments. In this sense, this Program included for the first time a strategic-political priority of the Euro-Latin-America regional agenda, defined and endorsed during different Summits of State and Government Leaders held since 2004.

Through the consolidation or promotion of public processes and policies, the Program has promoted the construction of reference models capable of identifying possible solutions for sub-national governments interested in promoting social cohesion dynamics. This aspect highlights the pioneering and innovative nature of URB-AL III’ implementation, which has passed from being a “timely project” to becoming “public policy” and has shown the importance of supporting local governance and institutional reinforcement as key elements to respond to citizen necessities.

URB-AL’s approach is complementary to the work performed by Country Program’s EMPLEOMIN. Within Bolivia, URB-AL (phase III) intervened in a number of geographical areas (highlands, valleys, Amazonia). The following are main outcomes achieved by URB-AL, complementing the work performed by EMPLEOMIN on this issue:8

- Promotion of local government empowerment: consensus policies and increase of territorial social cohesion. Within this framework a number of local governments implemented local policies related to employment and promotion of income generating activities.
- Promotion and inclusion of equal opportunities within the framework of gender equity: training and consideration is represented by a majority of recipient and beneficiary women. Within this framework a number of local governments implemented specific activities to promote women’s employment or activities generating income for women.

I.3.1.4 Main interested parties at local, regional and/or national level confirm the consistency and support response capacity of the EU to local, regional and/or national priorities related to employment generation and MSMEs' development

During the field mission evidence was collected of EUD’s response capacity to support public policies supporting the productive sector, coherent with national and local priorities.

The implementation of activities of Country Program’s Axis 1 in support of the productive sector, was characterized by an inception phase (approximately running from 2007 to 2009) overseen by the EUD, concerning issue dialogue with national authorities about priorities and the possible contents of this axis’ activities, precisely because the GoB still has not defined a strategic and clear line of action concerning this sector’s policies. The EUD was sufficiently flexible and careful to adapt the formulation of all of this axis’ activities to this process. PRODUCE, as well as PROEX, EMPLEOMIN and PAMEFF were reformulated, in so far as GoB’s priorities were defined win more detail.

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| EQ 3 | **Creation of economic opportunities through decent employment**  
To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment? |
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<tbody>
<tr>
<td><strong>EC 3.2:</strong> EU’s support strategy contributes to improving the promotion of formalized MSMEs</td>
<td></td>
</tr>
<tr>
<td><strong>I.3.2.1 Strengthening of institutional capacity of services related to the development of public or private sector’s financial and non-financial enterprises (SDE their acronym in Spanish)</strong></td>
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<tr>
<td>SDE play an important role with respect to achieving project outcomes, but the strengthening of the institutional capacities of SDE service providers is not just the improvement of the capacities of counterpart institutions. SDES’ improvement takes place more in indirect fashion, through the implementation of new policies. This can clearly be observed in the PAMEFF, which given its budget support modality, looks to promote and support the implementation of new policies (e.g. bank legislation reform), new production financing mechanisms (through the Productive Development Bank) and the generation of new coordination mechanisms for production promotion policies, as stipulated in PAMEFF’s project paper.</td>
<td></td>
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<tr>
<td>The following are PAMEFF’s programmed outcomes:</td>
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<tr>
<td><strong>Outcome 1.1:</strong> Innovative financial products developed, enabling more access to financial services on part of small producers and entrepreneurs.</td>
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<td><strong>Outcome 1.2:</strong> Producers’ productive and management capacities developed and strengthened, improving their capacity for appropriate financing management of their enterprises.</td>
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<td><strong>Outcome 1.3:</strong> Democratization of productive sector's financing, promoting the territorial development approach and women’s inclusion.</td>
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<tr>
<td><strong>Outcome 1.4:</strong> Improvement of BDP’s scope and institutional performance.</td>
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<td><strong>Outcome 1.5:</strong> New financial system's legal framework developed.</td>
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<tr>
<td><strong>Outcome 2.1:</strong> Tax measures aimed at the simplification of tax obligations of MSMEs.</td>
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<tr>
<td><strong>Outcome 2.2:</strong> Review and adjustment of import tariffs and other tariff policy measures for the protection and stabilization of the internal market, as well as the promotion and incentive of national production.</td>
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<tr>
<td><strong>Outcome 2.3:</strong> Reorientation and consolidation of free zone policy, including measures that privilege industrial character activities.</td>
<td></td>
</tr>
<tr>
<td><strong>Outcome 2.4:</strong> Development of new legal framework for tax and tariff systems for MSMEs.</td>
<td></td>
</tr>
<tr>
<td>The Productive Development Bank (BDP) provides SDE in which the PAMEFF acts most directly (Outcomes 1.1, 1.2 and 1.4). According to the report of the 2012 PAMEFF’s variable segment, the 2012 term has marked the start of the positioning of the BDP SAM, as development bank, based on the incorporation of new financial products, strengthening of already implemented ones and the start of actions for the articulation of loan concession with non-financial services. The BDP SAM has five credit windows to promote for financial entities to work in the productive sector. It has incorporated sector loans to respond to the necessities and specific characteristics of clients by productive sectors and territorial criteria; it manages three Plurinational State trusts aimed at providing financial services to micro and small productive units; and it has started the development of a financial orientation program to improve the capacities and performance of clients in relation to loan application and management. In parallel fashion, administration and management internal systems and processes aimed at consolidating BDP SAM as development bank have been strengthened. Most important limitations for the BDP SAM refer to the response capacity of first-tier entities to handle this entity’s demands, as well as the limited capture of financial resources to confer loans under favorable and low cost terms. ROM reports and other PAMEFF reports do not refer to capacity creation in beneficiary institutions, which could be considered a weakness (of reports).</td>
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<tr>
<td>The following Table shows the number of loans facilitated through the BDP, using resources and modalities defined within the framework of PAMEFF. Outcomes clearly show priorities concerning the concentration of activities in agriculture and industry, with growing capacity to promote gender equity, reaching as of December</td>
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</tbody>
</table>

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9 Direct counterparts of PAMEFF, PRODUCE BOLIVIA and EMPLEOMIN are (in reality) the Ministry of Economy and Public Finance (for PAMEFF); the Vice-Ministry of Internal Trade and Exports (of the Ministry of Productive Development and Plural Economy) (for PRODUCE BOLIVIA) and the Ministry of Mining and Metallurgy (for EMPLEOMIN).  

10 SAM is BDP's legal status.
EQ 3  Creation of economic opportunities through decent employment

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

31, 2013, 38% financing provided to women.

### SUMMARY BY PAMEFF’S SECTORS AND GENDER – BY PROGRAM

<table>
<thead>
<tr>
<th>Program</th>
<th>Number of Women</th>
<th>Number of Men</th>
<th>Amount (in Bs.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FDP</td>
<td>6,177</td>
<td>23,402</td>
<td>1,258,996,278.70</td>
</tr>
<tr>
<td>AGRICULTURE AND FARMING</td>
<td>4,193</td>
<td>18,758</td>
<td>914,146,083.26</td>
</tr>
<tr>
<td>HUNTING, FORESTRY AND FISHING</td>
<td>17</td>
<td>141</td>
<td>5,074,900.00</td>
</tr>
<tr>
<td>CONSTRUCTION</td>
<td>10</td>
<td>76</td>
<td>4,311,911.00</td>
</tr>
<tr>
<td>HOTELS AND RESTAURANTS</td>
<td>21</td>
<td>43</td>
<td>3,622,000.00</td>
</tr>
<tr>
<td>MANUFACTURING INDUSTRY</td>
<td>1,902</td>
<td>4,316</td>
<td>325,710,477.85</td>
</tr>
<tr>
<td>METAL METALLIC AND NON-METALLIC MINERALS</td>
<td>1</td>
<td>1</td>
<td>160,000.00</td>
</tr>
<tr>
<td>BUSINESS AND LEASING REAL ESTATE SERVICES</td>
<td>1</td>
<td>1</td>
<td>104,000.00</td>
</tr>
<tr>
<td>SOCIAL, COMMUNITARIAN AND PERSONAL SERVICES</td>
<td>1</td>
<td>4</td>
<td>198,000.00</td>
</tr>
<tr>
<td>TRANSPORTATION WAREHOUSING AND COMMUNICATIONS</td>
<td>31</td>
<td>62</td>
<td>5,668,906.59</td>
</tr>
<tr>
<td>FEPROBE</td>
<td>2</td>
<td>1</td>
<td>1,253,105.00</td>
</tr>
<tr>
<td>MANUFACTURING INDUSTRY</td>
<td>2</td>
<td>1</td>
<td>1,253,105.00</td>
</tr>
<tr>
<td>MICROWARRANT</td>
<td>177</td>
<td>346</td>
<td>2,500,000.34</td>
</tr>
<tr>
<td>SUGARCANE GROUPS</td>
<td>177</td>
<td>346</td>
<td>2,500,000.34</td>
</tr>
<tr>
<td>WINDOWS</td>
<td>45,706</td>
<td>61,579</td>
<td>3,502,746,320.58</td>
</tr>
<tr>
<td>FINANCING LEASING</td>
<td>44</td>
<td>116</td>
<td>91,769,746.54</td>
</tr>
<tr>
<td>AGRICULTURAL-FARMING CREDIT</td>
<td>947</td>
<td>1,701</td>
<td>163,970,725.95</td>
</tr>
<tr>
<td>MICRO CREDIT</td>
<td>43,047</td>
<td>55,942</td>
<td>2,294,028,153.16</td>
</tr>
<tr>
<td>SMES</td>
<td>1,400</td>
<td>3,443</td>
<td>892,962,637.13</td>
</tr>
<tr>
<td>PRODUCTIVE HOUSING</td>
<td>268</td>
<td>377</td>
<td>60,015,057.80</td>
</tr>
<tr>
<td>SECTOR</td>
<td>756</td>
<td>2,559</td>
<td>296,295,977.14</td>
</tr>
<tr>
<td>Poultry</td>
<td>1</td>
<td>21</td>
<td>16,375,388.03</td>
</tr>
<tr>
<td>Sugarcane</td>
<td>374</td>
<td>1,133</td>
<td>154,900,369.70</td>
</tr>
<tr>
<td>Grains</td>
<td>1</td>
<td>16</td>
<td>7,323,365.00</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>-</td>
<td>7</td>
<td>1,380,400.00</td>
</tr>
<tr>
<td>Quinoa</td>
<td>338</td>
<td>1,175</td>
<td>92,011,127.41</td>
</tr>
<tr>
<td>Sesame</td>
<td>22</td>
<td>91</td>
<td>1,924,550.00</td>
</tr>
<tr>
<td>Wine</td>
<td>20</td>
<td>116</td>
<td>22,380,777.00</td>
</tr>
<tr>
<td>FIPOREGA</td>
<td>229</td>
<td>170</td>
<td>35,786,105.00</td>
</tr>
<tr>
<td>FARMING</td>
<td>229</td>
<td>170</td>
<td>35,786,105.00</td>
</tr>
<tr>
<td>TOTAL</td>
<td>53,047</td>
<td>88,057</td>
<td>5,097,577,786.76</td>
</tr>
</tbody>
</table>

It is important to take into consideration that activities reported in the table above are not the only activities of the BDP concerning the financing of productive activities. The total number of its activities currently reaches a 15% share of the microcredit market (according to data provided by BDP’s management) in the country and growing. According to the BDP what differentiates its services from the rest of microcredit sector institutions is precisely its training activities for borrowers (training in the use and management of these resources and specialized technical assistance for production), which are precisely SDE, which differentiate the BDP from other actors and generate more demand.\(^{11}\)

\(^{11}\)The evaluation could not verify the quality of SDE offered by the BDP, but leaves record of two important characteristics: 1) BDP’s SDE in fact are more compared to those offered by other financial institutions, but have limited scope and 2) faced with a financial market with regulated interest rates (in force since September 2013), institutional competitiveness through SDE will become more important.
Reviewed reports\(^{12}\) also do not provide information about capacity creation in other beneficiary institutions, such as PROBOLIVIA (unit within the Vice-Ministry of Foreign Trade and Exports implementing activities of PRODUCE BOLIVIA, for example, where without doubt increased capacities exist (e.g. more intermediation capacity and credibility between primary producers and the EMAPA State enterprise)\(^{13}\), among others, as per preliminary findings and interviews held during the initial mission of this evaluation.

One of the major contributions of the PRODUCE project to ProBolivia’s institutional capacities is the creation of technological and productive innovation centers\(^{14}\), which since 2012 provide training, technical assistance, technology innovation and transference services to craftwork, agro-industrial, manufacturing and industrial sectors related to production, management and commercialization processes. Since 2012, PRO-BOLIVIA promotes the creation of a National Network of Productive Innovation Centers (CIP its acronym in Spanish), specially aimed at solving bottlenecks in prioritized Comprehensive Productive Complexes and related to technology innovation and transfer to micro and small productive units.

Productive Innovation Centers (CIPs) are conceived as instruments to promote innovation and technological development with the following characteristics:
- Participation of PRO-BOLIVIA, a Public University and a decentralized autonomous body.
- Provision of productive services; research and specialized training.
- Certification within the framework of the National Network of CIPs.

The National Network of CIPs is composed by the National Council of Productive Innovation linked to each CIP Consultation Council at national level and will be involved in international partnerships with the purpose of exchanging knowledge with other Innovation Centers. Within this context, the participation of the Vice-Ministry of Science and Technology of the Ministry of Education is of vital importance to this initiative. During the first phase, PRO-BOLIVIA has programmed the organization of six CIPs in the wood, camelid and leather textile sectors. These CIPs will begin operations along 2014.

<table>
<thead>
<tr>
<th>Productive Innovation Centers</th>
<th>Strategic Partners</th>
<th>Main Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIP Camelid Textiles - El Alto</td>
<td>Municipal Government of El Alto, Universidad Mayor de San Andrés</td>
<td>Fiber analysis and certification; fiber dyeing; product development; fiber use research</td>
</tr>
<tr>
<td>CIP Handcrafted Textiles - Potosí</td>
<td>Departmental Government of Potosí, Universidad Tomás Frías</td>
<td>Llama fiber combing; camelid fiber dyeing; recovery of ancestral knowledge; systematization of natural dyes; product development and design</td>
</tr>
<tr>
<td>CIP Leather - Cochabamba</td>
<td>Municipal Government of Cochabamba, Universidad Mayor de San Simón</td>
<td>Computer assisted design; computer assisted cutting (CAD/CAM); lab for leather’s physical analysis and certification; service provision with respect to shoe assembly</td>
</tr>
<tr>
<td>CIP Wood - El Alto</td>
<td>Municipal Government of El Alto Universidad Mayor de San Andrés</td>
<td>Product design and development; prototype development; wood drying; leasing of carpentry machinery; research of new timber species</td>
</tr>
<tr>
<td>CIP Wood - San Ignacio de Velasco</td>
<td>Municipal Government of San Ignacio de Velasco, Universidad Mayor de San Andrés</td>
<td>Drying; sawing</td>
</tr>
<tr>
<td>CIP Wood - San Buenaventura</td>
<td>Municipal Government of San Ignacio de Velasco, Universidad Mayor de San Andrés</td>
<td>Saping; wood drying; carpentry; rectilinear production; research of new timber species</td>
</tr>
</tbody>
</table>

Furthermore, within the framework of PRODUCE Bolivia ProInfo’s\(^{15}\) service was created, which is a window of opportunities for citizens developing their activities within the productive environment. This Platform is a State service provided for citizens, enabling the dissemination of information related to the productive sector and

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\(^{12}\) ROM reports of the three projects under evaluation.

\(^{13}\) Enterprise Supporting Food Production – Public Enterprise created in 2007 that provides support to small farmers through the provisioning of inputs interest-free and the buying of their products at Fair Price, with the purpose of preventing food price speculation and distributing better agricultural production, in order for Bolivian families to have access to food at low prices.

\(^{14}\) http://www.probolivia.gob.bo/Centros.aspx

\(^{15}\) http://www.probolivia.gob.bo/ProInfo.aspx
<table>
<thead>
<tr>
<th>EQ 3</th>
<th><strong>Creation of economic opportunities through decent employment</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?</td>
</tr>
</tbody>
</table>

existing promotion actions of public as well as private actors. However, ProInfo’s major limitation is that it has offices only in La Paz and not the rest of the country. Although there is a virtual platform on Internet, it is scantily used because the use of ICTs in the second segment of SMEs is also scant. Between the date of ProInfo’s presentation at the end of 2013 up to October 12, 2014, ProInfo’s page had registered 95 visits, only 4 enterprises registered via webpage (and the rest at La Paz offices, and only nine business plans had been developed with ProInfo’s assistance.

The EMPLEOMIN project does not look to strengthen SDE services.

### 1.3.2.2 More and better offer of SDE to develop MSMEs in the country, in particular in mining and coca production areas

Without doubt there is an expansion of SDE for SMEs in the country, but there is little documentary proof of these advances and only available through national or, at best, departmental data, which not allow concluding whether reflected advances are also taking place in mining and coca leaf production areas. At country level important progress is noted with respect to the availability of financing for MSMEs, through an increase in women’s access to financing for MSMEs and in a higher degree of formalization of MSMEs.

The PAMEFF has included the following among its main programmed outcomes related to SDE improvements:

| i) Development of innovative financial products enabling more access to financial services on part of small producers and entrepreneurs, ii) democratization of financing for productive sector, promoting the territorial development approach and women’s inclusion and iii) tax measures aimed at the simplification of compliance with tax obligations on the part of MSMEs (including activities to facilitate the formalization of MSMEs). Through the support mainly of the PAMEFF the new policies of the government of Bolivia achieved the following outcomes since 2007.

The sector policy strategy looks to provide support to MSMEs through more and better financial services (microcredits, etc.), simultaneously provided through public and private financial entities. For this purpose, innovative financial instruments and the institutional strengthening of financial institutions need to be developed (e.g. through a guarantee fund) or through special support of the management capacity of the Productive Development Bank. From the fiscal management side, support is given to the financial effort with management on enterprise formalization and fiscal management and business management of MSMEs (internal and foreign trade). The following graphs show the positive trend of expansion achievement of credit offer for MSMEs in general terms and also in rural areas.
Creation of economic opportunities through decent employment
To what extent has EU' support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

Graph 1: Evolution of Loan Portfolio

Source: Information Bulletin, December 2001

Graph 2: Evolution of Banking System

Source: Information Bulletin, December 2011

Graph 3: Evolution of Borrowers’ Situation

Source: FINRURAL, January 31, 2012
(http://www.finrural.org.bo/index.php/informacion/boletin-electronico)
All this work to facilitate financing and the formalization, fiscal management and business of MSMEs is supplemented by institutional strengthening measures at the level of the Comptroller General Office (Contraloría in Spanish) (mainly through the budget transparency issue) and the work of the Legislative Assembly, which supports the change of sector policy through initiatives such as the legal framework of the financial system and the debate over the modifications made to the Law of the National System of Treasury and Public Credit; Law of Public Trusts; Law of Banks and Financial Institutions and Law of promotion of Micro and Small Enterprises.

The entrepreneurial base of the Commercial Register, which determines the total number of enterprises registered as formal in the country, meaning those that have to be registered with the Foundation for Business Development (FUndEMPRESA), shows that in July 2012, it had 65,793 active enterprises and by July 2013 the number had risen to 104,533 enterprises (+59%). However, statistics generated by this body does not allow differentiating enterprises by size following current parameters, only by society type. Out of all these enterprises comprising this base, 70% are single-person; although that does not mean that they are all MSEs.

PRODUCE BOLIVIA’s contribution to SDE services through Probolivia exists, the consulting team for this evaluation has previous knowledge of this fact, but this contribution is not documented in the papers reviewed for this report (as previously mentioned). The final check of PRODUCE BOLIVIA’s contribution through Probolivia to the improvement of SDE services requires the implementation of the field mission.

I.3.2.3 Easier (administrative simplification) business set up (formalization)

This thematic area is also supported by the EC, mainly through PAMEFF’s budget support. Outcomes programmed by the PAMEFF include the formulation of new bank and financial institutions law (new law of financial services approved in August 2013); new regulations for free-trade zones (approved in April 2010); design of new legal framework to include MSMEs in tax framework (as of July 2014 a bill had been developed but it had not been approved yet); and reorganization of tariff framework for exports (still pending as of June 2014).

Although not all outcomes of the PAMEFF were achieved as of the date of the elaboration of this report (the PAMEFF only finishes by the end of 2015), their progress without doubt contributed to the following achievements reported by the World Bank; for example through the new financial services law (facilitating access to financial services and reducing interest rates) or the review and adjustment of import tariff aliquots and other non-tariff policy measures for the protection and stabilizing of internal market (performed in June 2012).

The increase in enterprise formalization (previously reported) suggests that it is easier to start-up and formalize enterprises. World Bank’s Doing Business

16 reports confirm this hypothesis and point out that although for different processes (e.g. business start-up, construction permit processing, property registry, loan request, foreign trade procedures) the number of documents required has not change substantially since 2006, many of these processes are currently implemented in less time and at lower cost. Reports indicate that the time required to process imports was reduced from 24 to 21 days between 2006 and 2014; start-up cost (per capita income percentage) dropped from 162% in 2006 to 72% in 2014; and minimum capital requirements to start-up a business dropped from 4.1% to 1.8% of per capita income.

I.3.2.4 Increase in the number of businesses registered and the number and volume of tax contributions

With respect to the number of registered enterprises see I.3.2.2.

Reviewed documentation does not provide information related to the increase in tax contributions as a result of a higher degree of formalization. The field phase proved that the implementation of PAMEFF’s fiscal component, which works this issue in this environment, did not progress as expected. Its results are limited up to now to diagnostic and analysis activities and tax-collection management, but activities (policies) which may have this type of expected effects have not been implemented yet.

16 Doing business reports provide a quantitative measure of the rules to start a business, from getting work permits, hiring employees, registering property, requesting loans, protection of investors, tax payments, selling overseas, complying with contracts and closing small and medium size enterprises.
Creation of economic opportunities through decent employment
To what extent has EU support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

I.3.2.5 More access to credit (with affordable interest rates)

With respect to access to credit see I.3.2.2

As of December 2006, micro-credits comprised 1.3% of total portfolio of the financial system, reaching $M31.2. As of December 2013, this share had increased to $M 1.099, 9.1% of the total portfolio of the financial system. At the same time, average nominal interest rate for micro-credits (according to data of the National Bank of Bolivia) dropped from 26.7% in 2006 (annual average) to 16.2% (June 2014). Furthermore, the general average interest rate for Bolivia’s entire financial system all types of loans) remained almost unchanged and slightly went up to from 7.3% (June 2006) to 8.8% (June 2014).

I.3.2.6 Evidence of measures that improve correspondence between labor markets supply and demand

There is no recent and agreed on data about the employment situation in the country. In concordance with sustained economic growth, official government statistics talk about a historic drop in unemployment, but the Bolivian Observatory of Employment and Social Welfare considers that the major problem facing the country is precarious employment affecting 86 out of 100 working people in the country. According to the government, the unemployment rate during the past eight years (2005-2012) went down to from 8.1% to 3.2%. It is even estimated that by 2013 it went down to 2.2%, but a paper of the Centro de Estudios para el Desarrollo Laboral y Agrario (CEDLA) states that this situation has not changed since 2011 when it was 7.9%. The International Labor Organization (ILO) reports a reduction of unemployment in Bolivia from 8% in 2006 to 3.3% in 2009. The improvement of the employment situation is attributed to economic growth not to measures taken to improve correspondence between the labor market’s supply and demand. The ILO in its 2013 Labor Overview for Latin-America and the Caribbean Report states that only 37.5% of Bolivia’s labor force is salaried (formal), compared to 49.4% in 2006. If the decrease in salaried employment is compensated by the creation of new MSMEs and if the increase in the number of enterprises registered responds to a formalization process or to an effective increase in the number of enterprises is mere speculation. In concrete, after 2009 there is no internationally recognized employment data in Bolivia.

The PRODUCE BOLIVIA project had aimed at contributing with primary data to this lack of labor sector information. Under Outcome 3.2, the project foresees: Development Ministries and Agencies have available productive and socio-labor statistics of the financing agreement. There were a number of activities programmed to improve the availability of labor market data (precisely to palliate the lack of periodic data about employment in the country and also to be able to measure the effect and impact if the project and other activities related to employment promotion and income generation). Programmed activities are: A.3.2.1 Development and dissemination of a diagnostic and baseline of MSEs’ employment by prioritized sector, including gender aspects; A.3.2.2 Survey of Economic Establishments belonging to Productive Complexes of prioritized sectors, noting gender and decent employment aspects; A.3.2.3 Maintaining MSEs’ quantitative and qualitative information data updated based on the sample framework defined in the Baseline, according to geographical areas and selected sectors; and A.3.2.4 Consolidation in the SEPI of socio-labor information and productive statistics in order for the UDAPRO (Unit of Productive Analysis of the Ministry of productive Development and Plural Economy – MDPyEP) and OLA (Labor Observatory of the MDPyEP) to analyze it, make decisions, publish and disseminate it.

Although initially it was programmed for all activities to be implemented between the second semester of 2011 and the first semester of 2014, as of November 2013 (date of the mid-term evaluation report) none of these activities had been implemented yet. Primary employment data collection performed by PRODUCE BOLIVIA has not taken place yet due mainly to the indecision of the executing body (initially programmed to be UDAPRO) of LoB. Finally, it was decided that the INE will manage this process because of its expertise on previously developed processes, such as the micro and small enterprise survey, performed during the 2010 term, in addition for being the country’s official statistics entity. Furthermore, there has been indecision with respect to the contents of the survey on the part of entities such as the VMPE, UDAPRO and the MTEyPS, an aspect that up to date has not been agreed on, a concern manifested by the VMyPE. However, this also signals that there is a

17 The ILO does not report employment data for Bolivia after 2009 (reviewed up to the 2013 Labor Overview for Latin-America and the Caribbean)
18 2009 data
19 See ILO’s 2008 Labor Overview for Latin-America and the Caribbean.
Creation of economic opportunities through decent employment

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

willingness to join efforts in order for this LdB to display the real universe of MSEs. In spite of this willingness, mentioned activities could not be implemented prior to the closing of the PRODUCE project, but are still pending as tasks and commitments of the GoB to be performed whenever the Government deems it pertinent (including the creation of the labor observatory).

I.3.2.7 Evidence based on the analysis of ROM reports and other sources of the effectiveness and sustainability of EU’s programs with respect to improving MSMEs’ productivity and competitiveness

PAMEFF

According to the project’s last available ROM report, the PAMEFF shows good progress toward the achievement of outcomes and objectives of CF PAMEFF. Since the overall progress of agreed IOV is very high, progress toward compliance with the outcomes and OE is also very probable, meaning: i) OE1 Financial Component: democratization and diversification of the financial system, prioritizing the development of the productive sector; ii) contribute to the formalization of MSMEs. From the perspective of the financial component, the Ministry of Economy and Public Finance (MEFP) and the Bank of Productive Development (BDP) both responsible for the application of the sector’s policy have been coordinating the implementation of new financial instruments to improve access to financing for small producers, together with the sector’s regulation and corresponding regulations. The new Financing Law (whose approval was defined as one of the PAMEFF’s expected outcomes) allows the BDP to have more coverage and direct action over producers (acting therefore as a first-tier bank.) Loans have been accompanied by the first modules of financial education organized by the BDP, mainly aimed at small female producers; it is expected to replicate similar modules through the private sector to be able to reach a larger segment of people possibly interested on productive activities. Just keep in mind that the aforementioned difficulty measuring real jobs generated (rf. Indicator 1 Financial Component) is a limitation to the evaluation of the real impact of sector policy (contribution to OE). At any rate, at the time of the emission of the ROM, the desk phase impact analysis of a financial product labeled Individual Productive Credit, under the Framework of the Productive Development Trust Fund (FDP) had concluded. It will enable in the future making impact evaluations of other financial products. From the fiscal policy application side, the MEFP will continue implementing activities aimed at improving the fiscal environment of MSMEs in coordination with National Customs and the National Tax Service. Notable efforts have been made with respect to identification, classification and quantification thanks to the progress made in the registry of MSMEs. It seems like an ambitious goal increasing by 10% the number of MSMEs formalized at the end of the CF given the complexity and resistance found against the formalization of the national micro-productive sector.

Relevant but not determinant policy dialogue to generate inflections in sector policy, which progresses vigorously promoted by the national policy option of having a new economic, social, communitarian and productive model, in which credit democratization for productive development and support of MSMEs (registration/formalization to have access to credit and non-financial services) are central aspects. According to the monitoring report of November 2012, continued dialogue around the PAMGFP is paying off, being determinant the support provided by the EUD to the GoB to this respect. However, the report does not determine what these gains and positive outcomes are. No additions are detected to the budget but there is strong ownership. The budget of the sector policy keeps the same structure and amount with respect to the original design (EU finances 58%). At any rate, it is appropriate to point out that the MEFP has compensated disbursement delays (FS and 1st VS) with national resources, showing the commitment and high ownership level of the process supported by PAMEFF.

PRODUCE BOLIVIA

According to the project’s mid-term report of November 2013, in general terms, progress made with respect to the (5) outcomes has been less than expected due to the delay of more than one year prior to the start of the execution and unforeseeable factors (not under the control of the Program). However, the same report indicates that the Government (PRODUCE’s staff) has expressed its satisfaction with progress achieved so far. This evaluation’s field work will have to confirm if there has been major progress or changes made in the Government’s level of satisfaction. The evaluation report also indicates that if we compare the degree of real progress up to date with the Program’s closing schedule, it is evident that some projects such as CIPs will have just started to operate around that closing date.

More concretely, as of November 2013 (always according to the mid-term evaluation report), during the first two quarters of the full execution of the Program (November 2011 – June 2012) there was not sufficient
**EQ 3**

<table>
<thead>
<tr>
<th>Creation of economic opportunities through decent employment</th>
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<tbody>
<tr>
<td>To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?</td>
</tr>
</tbody>
</table>

Efficiency to develop the Program’s baseline, something that could help properly define the OVI of the logical framework and which up to date are still not well defined.

Po1\(^{20}\), at its start suffered considerable delays implementing ProInfo’s Virtual Platform (concerning the formalization of MSMEs) and developing the corresponding technological tools. The evaluation does not assess ProInfo because it was just undergoing its pilot phase.

O2\(^{21}\) has also suffered implementation delays since originally three CITEs were programmed to be implemented but finally the Program adopted the alternative of constructing 7 smaller CIPs favoring more actors in the country.

O3\(^{22}\) is the one with less execution resulting in a negative effect for the program. A particular problem it has faced from the start is its reduced budget (40,000 euros). This outcome is disconnected from all Program interventions and any action that may be adopted with respect to this Outcome has little chance of generating positive effects.

O4\(^{23}\) the corresponding support has been provided to the different units of the MDPyEP, such as Program Directorate, PRO-BOLIVIA, to generate sector policies, based on the demands of interested parties, as well as to simplify enterprise formalization processing.

O5\(^{24}\) is delayed mainly due to indecision on the part of the executing body (initially programmed to be UDAPRO) of LdB. Finally, it was decided that the INE will manage this process because of its expertise on previously developed processes, such as the micro and small enterprise survey, performed during the 2010 term, in addition for being the country’s official statistics entity.\(^{25}\)

During the field mission it was possible to verify that the most visible outcomes of PRODUCE are concentrated in O4, related to the outcomes of the generation of sector policies and bigger business service offer based on the demands of interested parties. In this respect, most visible activities were the transfer of financial resources through the tender modality, ProInfo’s platform offer and the services of excellence centers (see also I.3.2.1).

The following maps show all projects financed by means of competitive funds of the three call for tenders made by PRODUCE. Also included is a map of the winners of PROEX’s tender (only one tender), which shows the complementarity and thematic synergy between both projects, connecting projects financed through PROBOLIVIA (for production) and a second phase (through PROEX) with international export markets. It is precisely this complementarity related to the use of competitive resources that for now gives sustainability to financed actions (out of 31 projects financed by PROEX in 2014, 23 are from the food sector and 15 of them were previously beneficiaries of PRODUCE).

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\(^{20}\) More effective financial services are available to improve the organization and business management capacity of productive units in prioritized sectors

\(^{21}\) Implementation of wood, textiles and leather Technology and Innovation Centers

\(^{22}\) Productive organizations (mid-level professionals) have coordination instruments; have been strengthened and promote the productive development of MSEs

\(^{23}\) Improved strategic capacities of governmental institutions related to the promotion of productive development

\(^{24}\) Ministries and Development Agencies have available productive and socio-labor statistics

\(^{25}\) See also I.3.2.6.
Creation of economic opportunities through decent employment

To what extent has EU support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?
**EQ 3**

**Creation of economic opportunities through decent employment**

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?
The main objective of EMPLEOMIN is to contribute to the development of Bolivia’s mining areas, through sustainable interventions that generate employment in the small-scale mining sector, applying social responsibility and environmental criteria. It is specific objective is defined as the generation of employment in Bolivia’s mining areas through the development of the small-scale mining sector and diversification of the economic matrix, applying social responsibility and environmental criteria. Programmed outcomes are to be reached mainly through local projects (communitarian), where investments that help maintain or improve the environment and generate employment (temporary) at the same time are made, which limits the potential scope of EMPLEOMIN to create decent employment opportunities (as preliminary conclusion of this evaluation).

**EC 3.3:**
EU’s support strategy contributes to the generation of decent and alternative employment, in particular in mining and coca leaf production areas

**I.3.3.1 Increase in the number of formal jobs per EU’s intervention area**
There is no data available about this point at the moment of writing up the Desk Report. Without doubt, EMPLEOMIN generates alternative employment in mining areas (through community projects), but available documentation does not quantify nor it make clear if work conditions meet minimum decent employment requirements (as defined by ILO). Furthermore, during the field phase it was not possible to collect all this information because the indicator required to do so is not periodically collected by Bolivian authorities.

**I.3.3.2 Labor force activity index as a whole and broken down (by social, economic and geographic category)**
The global index of economic activity (participation of working-age people in labor market) followed a positive trend rising from 47.9% in 2005 to 49.8% in 2007. The INE (National Institute of Statistics) has not published updated information after 2007. If the implementation of the EC’s CP with respect to its support to production and employment in Bolivia achieves expected effects, a continuation of this positive trend is to be expected after 2007. ILO’s data in fact suggests that this positive trend continued, reporting that Bolivia’s urban occupation index rose from 52.7% in 2007 (Start of EC’s CP) to 53.6% in 2010 (last available data). Broken down information of labor force is not available.

**I.3.3.3 Evidence, based on ROM reports and other sources of the effectiveness and sustainability of EU’s programs with respect to decent work principles (improved social responsibility, compliance with labor rights, social rights as second generation human rights, social protection, minimum wage, etc.)**
One of the objectives of the EC’s Country Strategy paper for Bolivia (2007 – 2013 CSP) is the strengthening of social cohesion through interventions in different fields, among which we find generation of economic opportunities and decent employment. EMPLEOMIN is part of the CSP’s first program axis “Generation of economic opportunities and decent employment “, helping to incorporate in more decisive fashion the mining sector to employment generation strategies. EMPLEOMIN’s work, with respect to making possible generating work sources and improve work conditions, is performed mainly through the implementation of employment generation subsidized projects (currently being implemented but not evaluated, based on available information, with respect to their effectiveness; a field mission is required to obtain more information). The future operation of the Escuela Minera or Mining School (EMPLEOMIN’s outcome) looks more to contribute to the potential improvement of existing employment, although there is no information available about the sustainability of decent employment aspects in EMPLEOMIN’s outcomes (field mission required).

The PRODUCE BOLIVIA project, fully named “Support to Sector Plan: Productive Development and Decent

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26 Summarized definition: OC1 – put into operation of initiatives to improve work conditions, competitiveness and the environment of the cooperative and small-scale mining sector; OC2 – Mining sector strengthened with respect to strategic planning; OC3 – Set up of Mining School.

27 Labor Overview for Latin-America and the Caribbean Report.

28 The ILO defines decent employment as a set of human activities, remunerated or not, that produce goods or services in an economy, or that satisfy the necessities of a community, or provide the necessary life hood means for an individual.
<table>
<thead>
<tr>
<th>EQ 3</th>
<th>Creation of economic opportunities through decent employment</th>
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<tbody>
<tr>
<td></td>
<td>To what extent has EU’s support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?</td>
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*Employment* contributes more directly to generating decent employment. The last ROM report available (September 2012). The last available ROM report (September 2012) indicates that the project’s approach makes probable for the project’s outputs to contribute to programmed outcomes concerning productive development and employment creation. However, it also indicates that not automatically all jobs or production increases are given necessarily under decent employment conditions. In order to ensure for outcomes to be reached under decent employment conditions (and in addition for these conditions to be sustainable), the report recommends making an additional effort with respect to decent employment specific conditions: productivity combined with proper work conditions, mainstreaming of child labor and forced labor, strengthening labor inspections, hygiene and occupational health, gradual dignifying of employment, etc., to be included in all activities as well as in outputs, to contribute to employment generation and production increase under effective decent employment conditions.

This evaluation requires the implementation of field work to collect more information concerning the project’s performance with respect to this issue and the sustainability of achieved outcomes.

**I.3.3.4 Main interested parties at local, regional and/or national level confirm that EU’s assistance contributes to the promotion of MSMEs and in particular to the generation of decent employment in mining and coca leaf production areas**

Reviewed documentation provides little and only indirect information. During the field mission it was verified that employment generation precisely takes place in geographical areas where the winners of the different financing transfer tenders are located (see maps in I.3.2.7). It is obvious that they are not concentrated in mining and coca leaf production areas.

There is no documentation available concerning labor conditions in financed projects (and it was not the task of this evaluation making this type of checks). With respect to decent employment is concerned, without doubt it fulfills the income generation condition (without being able to assert that enough income is generated to have a decent livelihood).

EMPLEOMIN’s capacity to generate alternative sources of income (in mining zones) was scant and almost null (also because of lack of sustainability of the few activities started). The task of providing support to the generation of income sources in coca leaf production zones falls within the scope of axis 2 and is addressed further on within the framework of EQ5.

**EC 3.4:**
EU’s support strategy contributes to the positioning of Bolivian products and as far as possible MSMEs in regional, national and international markets.

**I.3.4.1 Better business environment in the country (indicators of “easiness to do business”, including international comparisons and national indicators)**

The above presented data related to easiness of business set up (see I.3.2.3) are also valid as response to this indicator.

**I.3.4.2 General improvement of foreign trade situation**

The CP’s support to the improvement of internal commerce is more or less indirect, but it is wished for and sought after by the EC. The 2007-2013 CSP indicates in its chapter of the general diagnostic of Bolivia’s economy that although current regimes may allow for over 90% of Bolivian exports to enter the EU tariff free, Bolivia has not fully benefitted from these market openings. The country registered the worst results among Andean countries to this effect, achieving and annual increase of just 0.6% in the volume of merchandise exported to the EU. Therefore, Bolivia must take complementary measures to diversify its exports and intensify its trade relations with the EU. In addition at sector program level, the NIP suggests that any increase in competitiveness should increase export capacities and improve national production competitiveness with respect to imports, due to its comparative advantages.
Within the framework of PAMEFF (budget support), it was defined to work on two regulatory aspects that may help increase the competitiveness of national products (in the national market as well as for export). The implementation of the field mission is necessary to verify the implementation and outcomes of these measures because available information reviewed for this Desk Report does not include this information.

In general terms, Bolivia’s general foreign trade trends are positive since 2006. The volume of Bolivian exports rose from US$ 4,088 in 2006 to US$ 12,043 in 2013. Between 2001 and 2010 the value of exports rose 5.8% and volume 14.8%; and the number of exporting firms rose from 718 in 2012 to 1,200 in 2011.

Most clear synergies between the CP and regional interventions concerning the strengthening of MSMEs are given within the area of the AL-Invest program (which looks for more insertion of MSMEs in the international market and whose results in Bolivia were previously described) and within the framework of the URB-Al program, which looks to increase the degree of social and territorial cohesion in Latin America’s sub-national governments. In a number of cases, the increase in social and territorial cohesion looked for through planning activities of local policies, included productive sector and MSMEs’ activities. With respect to Bolivia’s specific case, in Calacoto and San Pedro de Quemes URB-Al implements socio-economic development activities through sustainable tourism; in Curahua de Carangas work was performed on the issue concerning policies to support employment generation and productive training policies; and in Cochabamba on women’s training and employment.

The field mission verified the existence of this issue complementarity, but did not find synergies that could have arisen from a potential coordination of simultaneous interventions. However, this evaluation did not expect these synergies to exist in widespread fashion (going beyond, for example, between PRODUCE and PROEX’s beneficiaries), since in general, beneficiary groups of different projects are very different with little overlapping among them (see I.3.1.3).

The field mission could not verify the existence of internal complementarity among activities performed through the EC’s CP that effectively increased the productivity and complementarity of actions supported through competitive funds.

There is an inter-sector policy approach in support of the productive sector and the creation of income generation opportunities, whose common objective is to generate well-being through the development of capacities (technical assistance) and transfer of resources (for pre-investment and investment in infrastructure and productive enterprises), and for these policies to concentrate on most poorest sectors. Given this characteristic, the focus point is frequently rural areas and productive enterprises are related to agricultural production. These facts are automatically supplemented by other strategic objectives of the GoB (and the EUD’s), which have to do with food security (by means of more local production precisely through family-based agriculture) and more insertion in foreign trade, where again precisely high market value food staples are prioritized.

The EUD provides support to all these elements through different programs and projects. PRODUCE promotes
creation of economic opportunities through decent employment

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

production; PROEX exports; PASA (food security) food production and the PAMEFF facilitates financing of these activities through pertinent modalities.\(^{32}\) The operation of national markets receives support from EUD’s program through the Ministry of Productive Development and Plural Economy (as implementing entity of PRODUCE and PROEX). The following graph shows the increase in food exports since 2011, once all the structures of the set of policies previously described began to operate entirely.

In general terms, trends displayed by the levels of competitiveness of Bolivia’s economy are positive. Bolivia moved up three points to 98 place (in 2013 it placed 104) in the World Competitive Ranking, which includes 144 countries, published by the World Bank.

\(^{32}\) Out of 31 projects financed by PROEX in 2014, 23 belong to the food sector and 15 of them were previously beneficiaries of PRODUCE.
**EQ 3**

**Creation of economic opportunities through decent employment**

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

**EC 3.5:**

The conditions are given for benefits achieved in the area of productivity and competitiveness of MSMEs lasting after the conclusion of foreign assistance

<table>
<thead>
<tr>
<th>I.3.5.1</th>
<th>There is a gradual exit strategy or measures to that effect (capacity strengthening and participation on the part of beneficiaries) on part of the EU</th>
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<tbody>
<tr>
<td>Although the effects of the EC’s CP concerning the productivity and competitiveness of MSMEs are only take felt indirectly, above all PAMEFF and PRODUCE BOLIVIA already proved their capacity to strengthen capacities. With respect to PAMEFF, a budget support program, all activities are implemented and defined by governmental institutions. Activities are aimed at the implementation of a new fiscal and financial policy in support of MSMEs, whose positive outcomes were previously described. With respect to PRODUCE BOLIVIA the project implementation modality is applied, but the implementing unit within PROBOLIVIA uses EU’s financial assistance following the same logic of implementation through its new policies, mainly concerning internal trade and fair prices (through EMAPA) which up to this date (June 2014) generated expected outcomes. It is important to understand that these outcomes were achieved by means of national institutional capacities for project implementation. Because of its nature, the PAMEFF does not require an exit strategy. As far as PRODUCE BOLIVIA is concerned, there is no clearly defined exit strategy. The weakest element of the activities in support of MSMEs and employment is the EMPLEOMIN project, which operates through a decentralized executing unit (located in Oruro), where existing implementation capacities are limited to this unit and there is no more than a formal connection with the Ministry of Mining and Mineralogy in La Paz. Implementation progress is scant and the project lacks an exit strategy.</td>
<td></td>
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<tr>
<td>I.3.5.2</td>
<td>Continued support (or realistic prospects of it) of MSMEs on part of public and private sectors (regulatory framework development, creation of institutional capacity, strengthening/spreading of information and/or exchanges on experience platforms (web, etc.))</td>
</tr>
<tr>
<td>Following the logic of the previous indicator, with respect to the support provided by the State through PAMEFF and PRODUCE BOLIVIA, the capacities necessary for continued support appear to be given, but there is no clarity yet with respect to the availability of State resources to be able to maintain the same scope of activities in support of MSMEs. With respect to the availability of official information concerning regulatory frameworks and the existence of web tools that help provide support to MSMEs' management, State information available on the web (programs, projects, access terms) and accountability of governmental activities is increasing and is easy to find.33 During the field mission we verified the existence of the following public policy activities that give continuity to elements part of activities implemented with EUD’s assistance. With respect project selection, PROEX gives continuity (and in the next step, from production to export) to activities financed by PRODUCE. PROBOLIVIA has set up the structures of excellence centers and Proinfo’s (Also see I.3.2.1). Prior to the date of the closing of the PROEX project, the Ministry of Productive Development and Plural Economy already has a bill proposing Congress the approval of a financial line of US$41M from the General Treasury of the Nation (for a two-year period), precisely with the purpose of being able to continue working along this same thematic line, following the same transference modalities as the ones PRODUCE and PROEX left installed at the Ministry. It is expected to have these national resources available no later than 2016.</td>
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33 Examples:
Creation of economic opportunities through decent employment

To what extent has EU’ support (including budget support) contributed, and contributes, to the competitiveness of MSMEs and their national and international insertion, while at the same time generating decent employment?

1.3.5.3 Main interested parties at local, regional and/or national level confirm the political will of the State and the capacity to maintain and expand achieved results

The response given in the previous section (1.3.5.2) also leaves record of this willingness and capacity. The continuity of policies started with EUD’s support, as proposed by the Ministry of Productive Development and Plural Economy, already has an encouraging history at the Ministry of Rural Development and Land, which had implemented a SBS in support of food security policies (PASA). After PASA’s closing, beginning in March 2014 the Ministry has a US$30M fund (for a two-year period) from the General Treasury of the Nation, for the Ministry to give continuity to the PASA’s approaches and modalities in support of family-based agriculture and food production (also following the resource transfer modality).
**EQ 4 Food Security with Sovereignty**

To what extent has EU’s support (including budget support) contributed, and contributes to the strengthening of the agricultural sector’s productive and institutional capacities, stimulating thus the production of basic food staples, family consumption and improving the operation of local markets?

**DAC evaluation criteria:** Relevance, efficiency, impact and sustainability

**Additional key aspects:** Coherence, Declaration of Paris.

**Cross-cutting issues:** Vulnerable groups (women, indigenous peoples, etc.), environment.

**Rationale:**

The objective of EU’s cooperation in this area in Bolivia is to strengthen the productive and institutional capacities of the agricultural sector, through the production of basic food staples for family consumption. Although Bolivia’s nutritional indicators are improving, the availability of locally produced food (food sovereignty) exceeds population increase only by a small margin. Behind this phenomenon lies a dual agricultural production economy: family-based agriculture performed under unfavorable climate conditions and using considerably outdated technology (productivity), and a mechanized agro-industry under good climate and technological conditions that produces surpluses for export.

EU’s intervention strategy for this sector is closely linked to interventions in the employment sector (or generation of income opportunities) and in the sector of illegal production of coca leaf surpluses (through the generation of alternative income sources.)

The objective of this EQ is to investigate whether EU’s support reflects identified necessities and is pertinent with respect to broader cooperation objectives. It also analyzes measure effectiveness, centered on the outputs and outcomes of ECs interventions within the sphere of activities related to increasing basic food production and improvements to its trade in the internal market.

Among other sources of information, the EQ will take into consideration the following as main sector interventions: 1) Program in support of Food Security - PASA - Phase II – 3rd Financial Agreement, and 2) Program in support of Food Security - PASA - Phase II – 2nd Financial Agreement.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Indicators</th>
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</table>
| **EC 4.1:** EU’s support strategy contributes to improving incentives for production, industrialization and proper distribution of strategic food items | I.4.1.1 Availability of loans and affordable interest rates, on the part of public and private banks, for strategic food production  
I.4.1.2 Changes in strategic food distribution chains and volume (at fair price)  
I.4.1.3 Structural change in strategic food reserves  
I.4.1.4 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) confirm the efficiency of this assistance and the national capacity to maintain and expand achieved results |
| **EC 4.2:** EU’s support strategy contributes to the strengthening of the capacities of private – communitarian actors for the production of food for the local market and export | I.4.2.1 Existence of new small, medium and large-scale productive enterprises in EU’s intervention areas aimed at the national market and subsequently at exporting  
I.4.2.2 Increase (and diversification) of basic food production for family consumption (vegetables, tubers and cereals) in EU’s intervention areas  
I.4.2.3 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) confirm the efficiency of this assistance and the national capacity to maintain and expand achieved results |
### Food Security with Sovereignty

**EQ 4**

To what extent has EU’s support (including budget support) contributed, and contributes to the strengthening of the agricultural sector’s productive and institutional capacities, stimulating thus the production of basic food staples, family consumption and improving the operation of local markets?

### EC 4.3:

EU’s support strategy contributes to the development of Technological Innovation for production and by updating and technifying small and medium size rural producers, with emphasis on food security

<table>
<thead>
<tr>
<th>I.4.3.1</th>
<th>Intensification of national research to improve food production and productivity</th>
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<tbody>
<tr>
<td>I.4.3.2</td>
<td>Increase of quality seed production</td>
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<tr>
<td>I.4.3.3</td>
<td>Improvement of supervision and animal and vegetable health certification</td>
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<tr>
<td>I.4.3.4</td>
<td>Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) confirm the efficiency of this assistance and the national capacity to maintain and expand achieved results</td>
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</table>

**Information sources:**

- National and international statistics (National Institute of Statistics, Central Bank, Chamber of Commerce, CEPAL, IDB, CAF, OECD, ILO, Associations of SMEs, Universities, CAN, etc.)
- GoB sector and global documents
- Documents from regional and/or local authorities of EU’s intervention areas
- EC’s CSP and NIP for 2007-2013
- EUD’s AMPs
- EUD’s EAMR
- Inventory of EU’s financial commitments (bilateral level under programmable and non-programmable assistance)
- Financing agreements, action fiches, monitoring reports evaluations, etc.
- Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level
- Additional external studies and reports
- Field missions

### EC 4.1:

EU’s support strategy contributes to improving incentives for production, industrialization and proper distribution of strategic food items

| I.4.1.1 | Availability of loans and affordable interest rates, on the part of public and private banks, for strategic food production |

The general expansion of access to credit and interest rate improvements for micro-credits was described in point I.3.2.5. There is no data available to understand how much of this credit expansion is urban, how much is rural and how much is available for food production (mainly in small plots). The field mission is required to collect additional information.

As reported in point I.3.2.5, the general interest rate for the entire banking system did not vary substantially between 2006 and 2014, which also applies to interest rates for agricultural production enterprises. Furthermore, point I.3.2.1 above reports that under the BDP’s Productive Development Fund modality, two thirds of loans issued went to agriculture. There is a government’s agriculture insurance provided as an additional financial instrument for the wellbeing of family-based agriculture. The EC’s contribution to the operation of this insurance consists of having financed the development of Bolivia’s Food Vulnerability Map by Bolivia’s office of the World Food Program (WFP). The GoB uses these maps to select prioritized municipalities included in the insurance coverage. This insurance was created in 2011 and has been in operation since 2012. By 2013 it covered 2013 municipalities (most vulnerable ones, out of 339 municipalities in Bolivia). For 2014, the Government announced insurance cover expansion to “more than 100 municipalities”. There is no published data concerning progress made with respect to this announced expansion. Agriculture insurance pays

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[34](http://www.insa.gob.bo/)

[35](http://es.wfp.org/historias/bolivia-gobierno-presenta-mapa-de-vulnerabilidad-alimentaria)
The EC’s support for this issue is implemented through the program in Support of Food Security II (PASA II), which follow the budget support modality. The general objectives of the PASA were formulated in 2003 (First Agreement) and remained unchanged throughout the entire implementation period and also for the Third Agreement signed in 2007. PASA defines the following objectives, expected results and activities, linked to the indicator under discussion, volumes, chains and food distribution. Based on the PASA II’s Third Financing Agreement, this program supports a sector reform whose essential lines are established by the National Development Plan. The program supports and promotes a new sector financial policy that develops a direct mechanism for resource allocation, incorporating sector type criteria to those related to poverty level. Furthermore, sector financial policy permits the allocation of resources. The expected results 2 and 3 are defined as: (2) increase in the efficiency of agricultural-food systems and sub-systems where small producers are predominant and are of vital importance to food security at national level and, (3) strengthening of policy formulation and public management capacities on the part of the Bolivian State with respect to food security and sovereignty, at national as well as local level.

An activity specifically defined (under result 2) is the strengthening of management and response capacity and institutionalization through the improvement of national access to and availability of food. And as activity under result 3 is the support provided to the Ministry of Rural, Agricultural and Environmental Development to develop and execute a Food Sovereignty and Security policy, in coordination with other institutions linked to this sector, the Ministry of Development Planning in particular.

Along this line, the GoB used resources to formulate and implement the following policies that facilitate access to food under favorable economic terms for small producers. The Government’s political decision made is that the main strategic tool to facilitate access to strategic food was the creation of a public food commercialization enterprise, aimed at reducing final consumer price through the elimination of private commercial intermediaries (agents) that deal with large volumes of basic food staples.

The main actor of the reorganization of basic food productive and commercial chains, in favor of food security, is the state enterprise Empresa de Apoyo a la Producción de Alimentos (EMAPA)36 created by the government in 2007. Through EMAPA, the government looks to develop the country’s agricultural production; provide support to small agriculture producers through the supply of inputs interest-free and the buying of their products at Fair Price, with the purpose of preventing food price speculation and distributing better agricultural production, in order for Bolivian families to have access to food at low prices. As of 2013, EMAPA worked with approximately 13,000 producers. EMAPA’s concept is simple: with respect to the commercial aspect, it provides a collection service, with guaranteed prices for producers and not for profit, avoiding thus speculative price hikes as takes place in the private sector. It is not clear up to what point the government subsidizes EMAPA’s operation. During the first five years of operation, EMAPA grew 1,200% in production support. In 2007 this enterprise provided support to the planting of 8,508 hectares, reaching a total of 392,497 hectares by 2012. EMAPA also has an important corn reserve guaranteeing the necessary provision of the main input for the production of milk, eggs, meat, chicken and pig. Approximately 50 companies, including refineries, silos, transportation companies, mills, logistics, warehousing and distribution companies participate, in strategic alliance with EMAPA, in the collection, transformation and commercialization of food.

The work performed by EMAPA in the country is focused on the contribution and support, on part of the State, of the entire food production chain. Commercialization is just one and the last link of this chain.

Currently, EMAPA provides support to the agricultural production of small and medium-size producers of corn, soy, wheat and rice and agricultural inputs (fertilizers, protectors and diesel) through 0% financing without collateral. Between 2007 and 2012, over 7,296 rice producers, 5,536 corn producers, 10,560 wheat producers and 4,354 soybean producers benefited from this governmental initiative through the EMAPA. During its five year operation, in terms of benefited producers, support was increased by 900%. In 2007, 3,112 producers

36 http://www.emapa.gob.bo/index.php
## EQ 4: Food Security with Sovereignty

To what extent has EU’s support (including budget support) contributed, and contributes to the strengthening of the agricultural sector’s productive and institutional capacities, stimulating thus the production of basic food staples, family consumption and improving the operation of local markets?

### I.4.1.3 Structural change in strategic food reserves

There is no more precise data on this issue beyond EMAPA’s assertions that “we have important reserves” (see I.4.1.2), which is highly probable given the fact that EMAPA invested Bs 160M (US$ 23M) in the construction of two large grain warehousing plant in the Santa Cruz municipalities of Cuatro Cañadas and San Pedro. Both installations have state-of-the-art technology and 50 thousand ton storage capacity. However, it is clear that these activities are performed within the framework of the third expected result of the PASA II, “strengthening of the capacity to formulate policy and public management on part of the Bolivian State in support of food security and sovereignty, at national as well as local level”. With respect to the increase of food availability and therefore, more exports (started after having ensured more food availability and access in the country also see I.3.3.4.

### I.4.1.4 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) confirm the efficiency of this assistance and the national capacity to maintain and expand achieved results

During the field mission it was verified that EUD’s contribution food security improvement in the country is highly valued and sustainability expectations are high. Achievements made with respect to food availability and its nutritional outcomes (see I.4.2) are promising.

Higher sustainability is expected given that these outcomes were reached based on solid implementation policies and tools. Among these, the ones that stand out the most among them are Food Vulnerability Maps (with EUD’s financial support and developed through the PMA) and the school food program (with EUD’s financial support and implemented through the PMA).

Food Security Maps, developed and periodically updated since 2003, enable focalizing geographically and by thematic food security policy interventions. With respect to school food, in 2012, 89% of pre-school, elementary and secondary public institutions had school food coverage. FAO recommends Bolivia’s successful model (combination between vegetable gardens, local purchases and centralized purchases) to other countries as a model of good practices.

### EC 4.2:

EU’s support strategy contributes to the strengthening of the capacities of private – communitarian actors for the production of food for the local market and export

#### I.4.2.1 Existence of new small, medium and large-scale productive enterprises in EU’s intervention areas aimed at the national market and subsequently at exporting

With respect to EU and PASA program’s specific activities there are no evaluations or ROM reports available after 2009, which could document the creation of new enterprises, specifically as a consequence of EU’s intervention. Evidence shown by other indicators (e.g. agriculture insurance, EMAPA, improvement of nutritional situation) suggests that there is an expansion of production and new enterprises in the country, at entrepreneurship scale as well as family-scale agriculture).

The creation of new enterprises or expansion of existing projects related to food production with EUD’s assistance (through PROEX and PRODUCE) was already documented in points I.3.2.7 and I.3.4.4. To these we add enterprises implemented by the Ministry of Rural Development and Land (which continues implementing production promotion activities following the same intervention logic of transfersences to productive collectives. The Ministry of Rural Development and Land estimates that 70% of daily food products (mainly fresh) consumed by the country come from family-based agriculture. An increased availability of these food products without an excessive increase in food products suggests a considerable expansion of food production in the country (See also I.3.3.4).
To what extent has EU’s support (including budget support) contributed, and contributes to the strengthening of the agricultural sector’s productive and institutional capacities, stimulating thus the production of basic food staples, family consumption and improving the operation of local markets?

I.4.2.2 Increase (and diversification) of basic food production for family consumption (vegetables, tubers and cereals) in EU’s intervention areas

According to FAO’s data, food availability (kcal per capita and day) rose from 2,150 in 2006 to 2,175 in 2009 (last available data at FAO). During the same period, fat provision (grams per capita and day) rose from 42 to 48 and protein provision from 58 to 61. As a result, according to the same source, malnutrition prevalence decreased from 29% to 21% between 2006 and 2012 (last year available at FAO) and the percentage of underweight children less than 5 years old decreased from 5.2% in 2003 to 4.8% in 2008. A reduction in the price of food products is behind these improvements: The national food price index decreased from 1.8 in 2007 to 1.62 in 2013 and as result, the percentage of appropriateness of daily caloric intake rose from 97% in 2006 to 104% in 2012 (all FAO data).

The PASA looks to increase food availability and access through its expected result 1: “increase the response capacity of population at risk of food insecurity...” The period of EU’s activity related to food security in Bolivia started in 1998 becoming the PASA program by 2003, after an increase of European financial resources available to this sector. From this long-term perspective, EU’s assistance without doubt contributed to the general improvement of the country’s food indicators. A more detailed response from this indicator still requires a field mission from this evaluation.

The following table shows in more detail the improvement of selected indicators related to food availability during the implementation period of the EUD’s current CP, with its corresponding support to food security policies (FAO’s data).

The recent SOFI report (published September 2014) describes nutritional achievements resulting from the progress made in food availability and consumption levels. The SOFI report is published by the United Nations Food and Agriculture Organization (FAO), the International Fund for Agricultural Development (IFAD) and the World Food Program (WFP). With respect to Bolivia’s case, the FAO points out that institutions have been created to involve a wide array of interested parties, in particular previously marginalized indigenous peoples, also pointing out that the strong focus placed on food security policies favoring the poor has generated a fast decrease in undernourishment which dropped 7.4% between 2009 and 2011 and between 2012 and 2014. Furthermore, chronic malnutrition in children less than three years old was reduced from 41.7% in 1989 to 18.5% in 2012. The goal for 2015 is to reduce by half the percentage of undernourished people in Bolivia (19%). The 2014 SOFI indicates that Bolivia has reached 19.5%, meaning that since 1990 it has achieved 98% of this goal.

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</tr>
</thead>
<tbody>
<tr>
<td>Average dietary energy supply adequacy</td>
<td>98</td>
<td>98</td>
<td>98</td>
<td>98</td>
<td>102</td>
<td>103</td>
<td>105</td>
<td></td>
</tr>
<tr>
<td>Average value of food production</td>
<td>292</td>
<td>297</td>
<td>302</td>
<td>303</td>
<td>307</td>
<td>306</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Share of dietary energy supply derived from cereals, roots and tubers</td>
<td>52</td>
<td>52</td>
<td>52</td>
<td>52</td>
<td>52</td>
<td>52</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average protein supply</td>
<td>60</td>
<td>62</td>
<td>63</td>
<td>63</td>
<td>64</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average supply of protein of animal origin</td>
<td>27</td>
<td>29</td>
<td>29</td>
<td>29</td>
<td>29</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I.4.2.3 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) confirm the efficiency of this assistance and the national capacity to maintain and expand achieved results

Interested parties confirm that the combination of different sector policies (production through MSMEs – PRODUCE, support to food production collectives – PASA and creation of links between these two sectors and foreign trade – PROEX) is yielding programmed results. After the conclusion of EU’s support to the productive sector (CP’s axis one) and to the food security sector, the GoB began already to finance food security by increasing its own resources and its considering the possibility of increasing the future expenditure in support of food security and export sectors (with resources of the General Treasury of the nation). Although the

functionality of the model was established and rested in the past few years, its sustainability will depend essentially on the availability of resources and the capacity of local authorities to execute this type of activities in support of the productive sector at larger scale.

**EC 4.3:**
EU’s support strategy contributes to the development of Technological Innovation for production and the updating and technifying of small and medium size rural producers, with emphasis on food security

**I.4.3.1 Intensification of national research to improve food production and productivity**

The intensification of national research to improve food production and productivity takes place through the food security with sovereignty policy, supported by PASA’s SBS. In 2008 the National Institute of Agricultural and Forestry Innovation (INIAF) was created. According to the objectives of this sector’s policy, food security with sovereignty must be achieved through the productive collective work of family-based agriculture, financed by the State through transfers (model established and supported by PASA), based on productive decisions (what and when to produce) defined by producers themselves. Productive collectives acquire knowledge through technological innovation councils promoted by the INIAF. These councils gather together producers, local authorities, technicians, the INIAF and academia to jointly decide what to produce in which areas and which technology to use. Up to date only a few pilot experiences have been executed and their initial outcomes are promising (according to the MDRyT).

**I.4.3.2 Increase of quality seed production**

Under Outcome 1, Institutional strengthening of the sector’s capacity, in terms of the coordination and technical support provided to projects at national and regional levels the following general activities are mentioned: “strengthening of national and regional institutional capacities with respect to extension and innovation” (always under the budget support modality). One of the most visible activities performed by Bolivian officials (with FAO’s technical support but using public budget financing) is the work to improve the quality of seeds for basic food staples by family-based agriculture.

In the Andean region of Bolivia, the production of tubers, potatoes and grains such as quinoa and broad beans, high consumption and nutritional value food in Bolivia, is predominant, being these products mostly produced by family farmers of the Altiplano who used low-quality seeds. This is due to a missing culture of their use, high cost and low availability of certified seeds, implying low production affecting food security and income of producer families. Faced with this situation, the Semillas Andinas or Andean Seeds project attempts to improve the National Seed System aiming at the sustainable and efficient increase of production and quality seed use in potato, broad bean and quinoa crops in the high Andean region, thus contributing in this fashion to improving the Food and Nutritional Security of Family-based Peasant Agriculture in this region, which would be reflected in family income, access to other basic food goods and in the availability in quantity, quality and timeliness of food products.

The “Semillas Andinas” project began in Bolivia in 2011 ending in June 2015. It encompasses 18 municipalities (4 in the department of La Paz, 7 in the department of Oruro and 7 in the department of Potosi) and includes native and commercial varieties of potato, broad bean and quinoa which are part of the national registry of varieties. The project develops a multi-disciplinary and multi-sector strategy allowing promoting the use and access to certified seeds in the high Andean region of Bolivia. It promotes the strengthening of the program in favor of the production and supply of seeds in the region through modifications of support policies for the seed sector, strengthening of productive organizations and links between the different components part of this chain. It includes a highly participative approach, including gender and local knowledge and promoting respect for local cultures.

As part of the strategy to promote (certified) seed use, the project has developed a participative activity that included the emission of ordinances/municipal laws that based and supported by different laws and regulations, promote the use of certified seeds. At the municipality of Patacamaya, La Paz, in September 2013, the Municipal Ordinance was promulgated. It states: Promotion of seed use. All initiatives in support of the agricultural sector, be them by the international cooperation, government, foundations, NGOs, programs, projects, etc., must be performed using certified seeds; support to productive collectives under its jurisdiction.

These achievements also contribute to the PASA’s second programmed outcome: “increase in agricultural
production of basic food products”, in particular with respect to activities related to “strengthening family based, peasant and indigenous production of corn – Andean grains, potato, vegetables, beans and livestock products, contributing to the availability of food products in local and national markets”, and “increasing the availability of basic food products of the basic nutrition basket”.

I.4.3.3 Improvement of supervision and animal and vegetable health certification

Animal health is considerably improving in Bolivia. Just recently (may 30, 2014), the World Organization for Animal Health, during its last assembly held in Paris, France, unanimously decided to certify Bolivia for the first time as a country free of foot-and-mouth disease and minor ruminant diseases, through which the country can guarantee the health of its meat products to all Bolivians and the international community. The National Service of Agricultural Security and Food Safety (SENASAG) maintains that this certification is the result of worked performed for thirteen years, allowing at first for the Chiquitania of Santa Cruz to be declared free of aphthous fever, than the Altiplano and in 2013, the Bolivian Lowlands and Chaco, to finish by certificating the Amazonia, closing the national cycle.

This achievement is framed within the objectives of PASA's Outcome nº1: "Strengthening of the sector’s institutional capacity in terms of coordination and technical support for projects at national and regional level; activity nº 2: "Strengthening of the technical capacities of national and regional institutions with respect to planning, evaluation and control”.

PASA, given its nature as budget support modality, assisted the Government in the consolidation of the outcomes achieved by EU’s PROCOIN project in Bolivia, which had included assistance to consolidate Bolivian institutions, such as the National Service of Agricultural Security and Food Safety (SENASAG), to improve technical and health control frameworks. All this activity takes place in view of CAN - EU negotiation, and possible increases in CAN' food exports (including Bolivia), taking into consideration communitarian policy within the environment of health and plant health controls and consumer protection, aspiring to guarantee safeguarding the economic and health interests of consumers and the protection of food security and European public health.

I.4.3.4 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) confirm the efficiency of this assistance and the national capacity to maintain and expand achieved results

There are a number of different opinions among interested groups concerning the sustainability of the transfer modality. The story of the achievements of PASA’s general model and EC’s prior support since 1998 can be summarized as an initial work in communitarian productive infrastructure (roads, irrigation) stage, and during a second stage through direct support to production (both cases financed by transfers), currently beginning to be implemented through research and specific technical assistance (innovation councils), yielding better than expected outcomes (with respect to the capacity to increase food local and national availability). Main actors and interested parties recognize this achievement and see as positive the recent decision made by the GoB to continue implementing this same model (sector policy) and increasing its own resources for it (see I.4).

However, the viability, sustainability and effectiveness of this model precisely depend on the availability of these resources, which are not currently guaranteed beyond 2015.
**EQ 5**  
**Fight against drug-trafficking**  
To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

**Evaluation criteria:** Pertinence, efficiency, effectiveness, impact and sustainability  
**Cross-cutting issues:** Social and citizen inclusion

**Rationale:**  
Cooperation provided by the EU to the Plurinational State of Bolivia with respect to drugs, has been essentially important to institute a new context coherent with efforts to strengthen social inclusion and citizen construction concerning Comprehensive Development with Coca and Fight Against Drug Trafficking issues.

National level political changes registered in Bolivia with the rise of the Movimiento al Socialismo (MAS -IPSP) to national government has implied the exit of US cooperation that previously financed and managed drug policies in Bolivia and has meant more articulation with society. These changes have implied financial, technical and administrative challenges previously not assumed except for the already mentioned international cooperation. In this scenario, EU’s cooperation has been aimed following democratic principles to strengthening of the State’s institutional capacities and articulation with civil society.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Indicators</th>
</tr>
</thead>
</table>
| **EC 5.1:** Relation and coordination between social and governmental actors enables improving cooperation’s efficiency levels of Comprehensive Development and Fight Against Drug Trafficking. | I.5.1.1 Tests of participative processes, established between Social Organizations and Governmental Agencies, to perform the rationalization of coca leaf crops and the orientation of Comprehensive Development with Coca projects.  
I.5.1.2 Signs of social acceptance of Alternative-Comprehensive Development and of agreed crop rationalization among peasant coca producer associations. |
| **EC 5.2:** The capacities of State institutions improved through the support European cooperation | I.5.2.1 Investment increase based on institutional strengthening actions.  
I.5.2.2 Development of management tools to implement sector policies |
| **EC 5.3** The actions performed by the European cooperation to Comprehensive Development with Coca generated a chain of positive effects coinciding with the country’s sector plans and strategies | I.5.3.1 Number of conflicts related to policies concerning the reduction and stabilizing of coca hectares  
I.5.3.2 Evidence of social participation in the implementation of Social Control and Comprehensive Development with Coca  
I.5.3.3 Increase of non-traditional productive activities in intervention areas benefiting vulnerable populations  
I.5.3.4 Improved access to basic services in sector policy intervention areas |
| **EC 5.4.** There are existing sustainability levels making possible the continuity of started processes up to the fulfillment of objectives searched for | I.5.4.1 Evidence of the existence of other financing sources and fiscal allocations  
I.5.4.2 Evidence of institutionalization and regulation of processes supported by the cooperation provided to the Fight Against Drug Trafficking and Comprehensive Development with Coca  
I.5.4.3 Evidence of environmental measures resulting from actions and projects performed within the framework of the Fight Against Drug Trafficking and Comprehensive Development with Coca |
**EQ 5**

**Fight against drug-trafficking**

To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

<table>
<thead>
<tr>
<th>EC 5.5</th>
<th>Contribution of EU’s dialogues and mechanisms to the country, sub-region and region with respect to illegal drug trafficking in Bolivia.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.5.5.1</td>
<td>Relevance of actions performed within the framework of EU’s mechanisms and dialogue with the country</td>
</tr>
<tr>
<td>1.5.5.2</td>
<td>Relevance of actions performed within the framework of EU’s mechanisms and dialogue with the Andean sub-region</td>
</tr>
<tr>
<td>1.5.5.3</td>
<td>Key national counterparts at local, regional and/or national level (including EU’s staff (EC and Member States’) and other donors confirm the coordination of different operation levels and its effective scope</td>
</tr>
</tbody>
</table>

**Information sources:**

- INE’s national and international statistics; Bolivia’ strategy for Fight Against Drug Trafficking and Reduction of Coca Crop Surpluses; National Strategy for Comprehensive development with Coca and other GoB documents
- GoB sector and global documents
- EUD’s AMPs
- Inventory of EU’s financial commitments (bilateral level under programmable and non-programmable assistance)
- Financing agreements, action fiches, monitoring reports evaluations, etc.
- Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level
- Additional external studies and reports
- Field visits

**Methods:**

- Documentary analysis
- Analysis of selected interventions
- Interview analysis
- Inventory analysis

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**EC 5.1:**

Relation and coordination between social and governmental actors enables improving cooperation’s efficiency levels of Comprehensive Development and Fight Against Drug Trafficking.

1.5.1.1 Tests of participative processes, established between Social Organizations and Governmental Agencies, to perform the rationalization of coca leaf crops and the orientation of Comprehensive Development with Coca projects.

### PACS.

More important social participation processes promoted by European Cooperation have been supported by PACS (Program in Support of Social Control of Coca Leaf Production), peasant organizations of coca leaf producers, and centered on a new way of reducing and stabilizing coca leaf crops defined as Social Control of production.

From EUD officials’ perspective, the first experience related to the Fight Against Drug Trafficking, beyond traditional support to rural areas producers of coca leaf, was the Program in Support of Social Control of Coca Leaf Production (PACS). This experience has shown limitations with respect to the implementation of a geographical information management system (SYSCOCA) that articulated satellite images and photo-interpretation of coca leaf crops with a biometric records of coca leaf producers and the titling of land performed by the National Institute of Agrarian Reform. Despite these difficulties, it is also recognized that Social Control as citizen practice has been instituted and strengthened as a result of the implementation and support provided by this Budget Program.

The new participation dynamic supported by the PACS reflects the biometric records of over 48,000 coca leaf producers in the areas of Caranavi of La Paz and the Tropic of Cochabamba. It implied coca leaf producers’ assistance to Social Control seats to register biometric data (e.g. photo and fingerprint). Furthermore, under this new modality, it is also relevant to note that with the participation and support of producers, 440,000 hectares have been titled in five municipalities of the Tropic of Cochabamba and Caranavi of La Paz. A highly improbable scenario under the policy contexts existing prior to the change of sector policy model.

It is understood that high participation levels are mainly derived from two central factors: First, the existence of a high political commitment between coca leaf producer organizations and the national Government led by coca-
origin president Evo Morales.

Second, as motivation factor of participative processes, the marked interest to keep the right to the production of a coca "cato", achieved by coca leaf production associations as a result of the resistance to force eradication that took place in the area of the Tropic of Cochabamba between 1988 and 2004, was noted.

Under the described scenario, one can understand that the high social participation level achieved with PACS support was in reality due to the fact that this program's actions became technical answers to a proposal and requirement of peasant-coca producer organizations, one of the social actors with the highest cohesion and strength level in the country.

**FONADAL - Yungas / PAPS Agreement.**

In this sector, and for the evaluation period, the first action was the FONADAL - Yungas Agreement, which set the necessary institutional and political basis for subsequent sector budget support actions related to Comprehensive Development with Coca. Work performed by the National Fund for Alternative Development has implied participative processes related to the planning of interventions performed with funds made available by the FONADAL - Yungas Agreement and the Sector Budget Support Program, dynamic framed within participative planning and municipal management processes opened since 1994. In this sense it is recognized the importance of establishing the first investment dynamics in articulation with municipal governments, centered on Comprehensive Development with Coca processes. In the opinion of EUD officers, the institutional capacity strengthening process for this sector in the Bolivian State began, following a logic aimed at generating trust links with civil society organizations and institutional strengthening.

The first projects financed in Yungas de La Paz were fast impact ones, responding to the demands of groups of population identified through municipal governments. This action under the Budget Program modality made possible the acceptance of Comprehensive Development programs that were beginning to be a new model of national policy for this sector.

With respect to articulation dynamics, there is a focus group with beneficiaries from Yungas de La Paz and the Tropic of Cochabamba, where between 2006 and 2008 approximately, the first impact projects were performed, based on the identification of necessities made by municipal governments during municipal summits. After this stage until 2011, there was more prioritizing of small productive projects not articulated between them; afterwards, more strategic perspectives began to be articulated. This process has been assumed by government operators as well as beneficiaries as the gradual development of participative dynamics concerning Comprehensive Development with Coca.

1.5.1.2 Signs of social acceptance of Alternative-Comprehensive Development and of agreed crop rationalization among peasant coca producer associations

**FONADAL - PAPS.**

Four different geographical areas are established to analyze the acceptance of agreed rationalization and gradual implementation of the Comprehensive Development with Coca logic. First, the Tropic of Cochabamba, where Alternative Development financed by the international cooperation was accepted and implemented back in the 90s, continuing the process until 2005 following a generalized articulation logic with municipal governments, following the new Comprehensive Development with Coca logic.

The second region to take into consideration is the traditional Yungas de La Paz; a region which, prior to FONADAL's intervention with funds of the FONADAL - Yungas Agreement, would not have probably accepted State policies linked to the coca leaf issue. From this perspective, it is understood that funds of the FONADAL - Yungas Agreement were used together with local beneficiaries to design and implement the approach of the Comprehensive Development logic for this traditional production area of La Paz with the necessary interest and social participation. A perspective backed-up by authorities and officer of beneficiary municipal governments during the interviews held in which the mentioned process concerning opening up to social acceptance of sector policies was noted.

The third geographical category is defined through non-traditional areas of La Paz and at risk areas, in particular in the municipalities of Caranavi, Palos Blanco, areas of La Asunta and others. New policies have also been accepted in these areas and based on this; new actions have begun to be performed following the Comprehensive Development with Coca logic, with funds of the FONADAL - Yungas Agreement. This acceptance has been verified in the joint planning performed between FONADAL and local beneficiary actors.

Finally, in migration areas, acceptance has also been observed on part of social actors of the execution of
investment projects jointly prioritized with municipal governments and beneficiary social organizations; as well as of the participative formulation of an Action Plan for Migration Areas (PAZE).

In general terms, in the four intervention regions acceptance of European Cooperation has been strengthened or the resistance of coca leaf producer organizations has been inverted through trust construction processes. This fact is reflected by the new agreed rationalization dynamic which differing from forced eradication stopped having to register the number of people injured or killed as a result of conflicts and confrontations between coca leaf producer associations and government institutions. The following table shows acceptance levels that can be deduced from the behavior of the conflict’s data between 1998 and 2007.

**Table of the evolution of the eradication, rationalization and balance per conflict**

<table>
<thead>
<tr>
<th>Year</th>
<th>1998</th>
<th>1999</th>
<th>2000</th>
<th>2001</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreed rationalization</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>5,070</td>
<td>6,269</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Eradication</td>
<td>11,621</td>
<td>15,353</td>
<td>7,653</td>
<td>9,435</td>
<td>11,853</td>
<td>10,087</td>
<td>8,438</td>
<td>6,073</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total number of reduced hectares</td>
<td>11,621</td>
<td>15,353</td>
<td>7,653</td>
<td>9,435</td>
<td>11,853</td>
<td>10,087</td>
<td>8,438</td>
<td>6,073</td>
<td>5,070</td>
<td>6,269</td>
</tr>
<tr>
<td>Balance per conflict</td>
<td>Wounded</td>
<td>81</td>
<td>0</td>
<td>82</td>
<td>198</td>
<td>214</td>
<td>56</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Dead</td>
<td>13</td>
<td>0</td>
<td>12</td>
<td>7</td>
<td>10</td>
<td>11</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

**Source:** Final Report of FONADAL – Yungas Project.

In this sense it can be stated that about this process that the joint work dynamic between State institutions and the European Union Delegation in Bolivia made possible the start of the actions of the Comprehensive Development with Coca program and the rationalization of coca leaf crops following a Social Control logic with acceptance on the part of civil society organizations. 

*Program in Support of the Social Control of Coca Leaf Production (PACS).*

In addition to the actions of the Comprehensive Development with Coca program, it can also be stated that the Program in Support of Social Control has been highly accepted as a result of promoting new agreed on rationalization dynamics arising as a proposal and demand of coca leaf producer organizations, as a unique and specific expression derived from the understanding of the issues concerning the coca leaf. Some of the mechanisms accepted and requested by beneficiaries include the biometric record, land titling, work of "disseminators" who have accompanied the *Joint Work Force* to develop dialogue with producer organizations, equipment for producer organizations and their training. In general terms, it is a proposal that responds to the requirements of different beneficiaries in terms of the development of monitoring tools and instruments for Social Control as a mechanism to reduce and stabilize coca crops.

The referred acceptance level of measures supported by the PACS is reflected in the opening of participative processes.

The acceptance level of the measures supported by the PACS is reflected in participatory processes, which imply recognition of parallel processes of adaptation of the organic structure of workers unions (including their apex institutions) and peasant federations. Within each one of these levels, producers approved the creation of 498 Social Control Secretariats in the Tropic of Cochabamba and 390 Social Control Committees among producers in La Paz.
To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

Institutional strengthening by project type.  
(Thousands of Bolivianos)

<table>
<thead>
<tr>
<th>Project type</th>
<th>Total amount financed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Municipal buildings</td>
<td>3.763</td>
</tr>
<tr>
<td>Training centers</td>
<td>2.489</td>
</tr>
<tr>
<td>Equipment</td>
<td>1.890</td>
</tr>
<tr>
<td>Studies</td>
<td>1.458</td>
</tr>
<tr>
<td>Plans</td>
<td>1.041</td>
</tr>
<tr>
<td>Supervision and control</td>
<td>0.567</td>
</tr>
<tr>
<td>Pre-investment</td>
<td>0.308</td>
</tr>
<tr>
<td>Consulting works</td>
<td>0.290</td>
</tr>
<tr>
<td>Communal and cultural centers</td>
<td>0.038</td>
</tr>
<tr>
<td>Total</td>
<td>11.848</td>
</tr>
</tbody>
</table>

Source: Memoir of FONADAL – Yungas Agreement

One of the most important examples of this institutional strengthening was the successful conclusion of FONADAL – Yungas’ first financing phase. Thus, three years after the signature of the Financing Agreement by the European Commission, the execution or contracting of approximately 107% of the first phase budget (7.5 million euros) was reported. The following table shows a list detailed by year.
**EQ 5**  
**Fight against drug-trafficking**  
To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

<table>
<thead>
<tr>
<th>Year</th>
<th>Millions of Bs</th>
</tr>
</thead>
<tbody>
<tr>
<td>2007</td>
<td>36.33</td>
</tr>
<tr>
<td>2008</td>
<td>27.30</td>
</tr>
<tr>
<td>2009</td>
<td>48.91</td>
</tr>
<tr>
<td>2010</td>
<td>109.15</td>
</tr>
</tbody>
</table>

**Source:** Report of the Closing of the FONADAL – Yungas Agreement

It is also worth mentioning that it was based on the aforementioned strengthening that another challenge of great importance was taken on, which appeared with the approval of the Identification Chart of a Sector Budget Support action. In this sense, the PAPS, through FONADAL, up until May 2011, has financed a total of 402 actions and/or projects within intervention areas, with a total investment of close to 140 million bolivianos contributed by the FONADAL. Out of this amount, 30.5M were invested in the Yungas de La Paz region; 90.2M in the Tropic of Cochabamba; 2.6M in migration areas and 15.3M in at risk areas.

To summarize, the signature of this Agreement resulted in an institutional construction process in which no evidence was found of the participation of the Vice-Ministry of Coca and comprehensive Development, but it has made possible for the FONADAL to become an institution positioned at national level, recognized as the leader of development processes concerning large and important territorial areas.

**I.5.2.2 Development of management tools to implement sector policies**

**PACS.**

The first line of action of the PACS was the institutional strengthening of producer and government organizations committed to this new drug policy approaches, involving the following elements:

1. Training. The objective of the actions performed under this action line was to provide the necessary knowledge to involved social actors as well as government institutions, to perform Social Control. Issues included conflict management, governance, citizen participation, leadership, regulatory frameworks, MfR and basic accounting among others. Based on these training sessions, involved peasant organizations have executed a Social Control proposal following a transparency scheme that can be monitored and evaluated by government institutions.

2. The PACS also developed the GYSCOCA. An innovative geographic information system that makes possible identifying people and territorial organizations whose reported coca leaf crops meet or exceed crop surface allowed by current regulations. It enables making approximations to specific areas in departments, federations, organizations, sub-organizations, syndicates or colonies, reaching up the identification of each producer and coca leaf plot.

Technical instruments provided by this system facilitate the implementation of Social Control of coca leaf production and commercialization. A proposal defined as a policy and a sovereign, democratic, peaceful and rights aimed action making possible the reduction and stabilizing of coca crops, within the framework of the fight against drug trafficking. An alternative differentiated from forced eradication, performed with the commitment and participation of social organizations, backed up by Government’s support and coordination.

Instruments developed by PACS were transferred to the Vice-Ministry of Social Defense for their regulation and implementation; a step to be completed, in spite of the fact that this government institution already partially has trained staff and hired specifically to perform this task.

3. Lastly, although not considered as institutional strengthening by the evaluation team, it is worth noting the PACS agreement considers support to infrastructure and equipment provision as Institutional Strengthening. Within this framework, modules were constructed and delivered, which provide the proper conditions for the work of Social Control Secretariats and Committees. Each one of these 10 modules constructed was equipped with office furniture, computer and communication equipment and motorcycles.

Equipment was provided to DIGPROCOCOA to measure coca leaf crops and producer registry; and to DIGCOIN for the control of coca leaf circulation. Actions performed by the PACS mean, as a whole, a Social Control government
monitoring proposal proposed by peasant coca leaf producer associations. This system strengthens the necessary transparency of the communitarian auto-control process because of its implementation by State institutions.

**FONADAL - Yungas / PAPS Agreement.**

As stated, the FONADAL – Yungas program executed an institutional strengthening component through which support has been provided to the performance of 74 studies, consulting work and projects, thus directing this way investments made within the framework of Comprehensive Development policies. (A list currently not available should be reviewed).

Within the framework of the FONADAL – Yungas Agreement, international technical assistance developed 16 documents. The following is a detail of work performed during the evaluation period.

**Studies made within the framework of ITA**

1. Analysis of potentialities and limitations of exiting and promising organic products in Yungas de La Paz for the international and local market.
2. Implementation and accompaniment of organizational development process, team training and FONADAL’s upgrade.
4. Training manual for project monitoring and evaluation with respect to cross-cutting issues.
5. Pre-feasibility study to promote the development of productive reforestation in Yungas de La Paz.
6. Agro-forestry development with a micro-basin sustainable management approach, risk prevention and micro-irrigation systems for hills.
8. Agro-forestry action plan for Yungas de La Paz.

On the other hand, PAPS’ technical assistance supported the execution of the National Strategy of Comprehensive Development with Coca (ENDIC), facilitating inputs, analysis and technical projections that were later submitted for the consideration of the Vice-Ministry of Coca and Comprehensive Development. A set of contributions made within the framework of the FONADAL – Yungas Agreement and PAPS, specifying established investments following general sector policy guidelines.

Within the framework of the strengthening of the set of sector policies, two specific elements stand out. First, the creation of the Public-Private Transfer Regulations, which made possible facilitating transfers of public funds to private entities (collectives) such as producer cooperatives and associations, and subsequent MDRyT approval through Ministerial Resolution. Officially, this document was the Regulation for the transference of Public funds to Private (institutions) (RTPP).

Second, the creation and institutionalization of the Comprehensive Development Sector Group, performed by FONADAL, to guarantee the coordination of sector institutional information, which meets at least twice a year and includes the participation of public and private entities linked to the sector. The VCDI heads this Group. UNODC works as co-Head, while the FONADAL is responsible for the MESDI’s secretariat.

**CONALTID.**

The strengthening of the CONALTID first of all means an institutional construction process started with the definition of an institutional structure and staff capacity development to execute project tenders and facilitate grant execution. Support was provided to the definition of an institutional structure and culture that could be detailed based on information obtained through field work.

Furthermore, the institutional strengthening provided by the Program in Support of the CONALTID for the implementation of new national policies concerning the Fight Against Drug Trafficking is also expressed in national policy planning. This work was supported through actions such as the Plan for the Implementation of the National Strategy of the Fight Against Drug Trafficking, work executed with International Technical Assistance support and which yielded as a result a document afterwards formalized by the Council of Ministers of the CONALTID.

In addition, through support provided to UELICN, the Bolivian State has been able to execute the necessary institutional development to fill some of the gaps left by the exiting of US cooperation. Following this logic, the
To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

Creation of managerial capacities in national institutions, left within the context of executing rationalization, eradication and interdiction actions, was facilitated. Another experience worth pointing out, and of which there are no recorded outcomes, is the support of the CONALTID to the Confederación Sindical Única de Trabajadores Campesinos de Bolivia to organically strengthen the exercise of Social Control against drug trafficking.

Finally, as a balance of ITA, it has been observed that despite that more progress has been made during the past 10 months than during the previous two years, the efforts necessary to consolidate institutional processes are not being made; thus, it is recommended to strengthen these activities during the last remaining year of the CONALTID strengthening project. This will suppose actions such as job post institutionalization, staff evaluation and regulation of processes.

The actions performed by the European cooperation to Comprehensive Development with Coca generated a chain of positive effects coinciding with the country’s sector plans and strategies.

### PACS

During the period between 1998 and 2003 (previous policy), Bolivia registered 53 people dead and 631 wounded in conflicts related to coca lead, while between 2005 and 2011, only 2 deaths were registered (in 2006). During subsequent years, these figures went down to zero, clear expression of the reduction of conflict levels related to the Comprehensive Development with Coca. Within this context, it is understood that support to Social Control would have a positive effect on conflict levels related to the reduction and stabilizing of coca leaf crops.

From this perspective, advances made related to Social Control of Coca Leaf Production became during the 2012 term, an important factor in support of Bolivia’s Fight Against Drug Trafficking and Reduction of Coca Leaf Crops strategy, to reach in a peaceful environment a 12% net reduction on the surface of coca crops, from 31,000 to 27,200 hectares.

**CONALTID**

The Program in Support of the CONALTID has made possible renovating European cooperation to actions and results achieved by the PACS through the support provided to a Social Control Unit under the Vice-Ministry of Social Defense. In this fashion, preservation and agreement and conflict prevention dynamics that are in process of becoming institutionalized in areas of rationalization of coca leaf crops are also reinforced.

The field phase will make possible analyzing in more exhaustive fashion the relation between social control supported by the EU and the reduction of conflict scenarios.

### Evidence of social participation in the implementation of Social Control and Comprehensive Development with Coca

**FONADAL - Yungas / PAPS Agreement.**

The aforementioned participative processes, which have meant coordination with municipal governments and local actors, have also implied a more efficient prioritization of projects and better disposition on the definition of financial counterparts.

During interviews of officers of the Vice-Ministry of Coca and Comprehensive Development, it is recognized that the first cooperation actions performed by the European Union concerning the Fight Against Drug Trafficking issues, involved the participation of local development actors such as municipal government and civil society organizations; however, it is only from the moment of the of the implementation of the FONADAL - Yungas Agreement that dialogue with beneficiary actors begins to deepen based on more agreement. Before FONADAL; all projects over 500,000€ had to be approved by the European Delegation. Afterwards, the mentioned Agreement conferred more freedom to the allocation of resources and later on, through the implementation of the PAPS 1, the prioritization of investments was left exclusively in the hands of Bolivian institutions, following guidelines established for the fixed and variable segments.

### Increase of non-traditional productive activities in intervention areas benefiting vulnerable populations

A difference is recognized in the cooperation logic of the FONADAL - Yungas Agreement and PAPS 1’s. The first one made acknowledged social character investments such as schools, posts, housing and equipment. By
contrast, the beneficiaries of the Municipality of Irupana acknowledge that the PAPS 1 made more investment in infrastructure and productive projects. Beneficiaries recognize that they perceive in the PAPS 2 more motivation to execute larger scale productive projects. Projects that include commercialization components, business training, SMEs’ approach and opening of markets.

From the perspective of the Vice-Ministry of Coca and Comprehensive Development, European support policy for this sector has been the opposite of United States’ policy because it involves civil society organizations. In addition, the non-conditional dynamic of development in exchange for reduction of coca leaf crops made possible the acceptance of comprehensive development plans in coca leaf production areas of Yungas de La Paz.

The Vice-Ministry of Coca and Comprehensive Development has focalized more on the strategic vision for the development coca leaf production regions; however, it still hasn’t reached the same impact level as the FONADAL. Currently, the chain approach has been consolidates in the construction of strategic projection. There are a number of State interventions at national and sub-national levels, in addition to non-governmental organisms, which are not being articulated under one development vision and strategy.

Currently, the ENDIC’s mid-term evaluation is being developed, and there is no evaluation available of Bolivia’s Strategy of the Fight Against Drug Trafficking, which limits the information available to analyze the achievement of objectives and impacts in terms of productive promotion and social investment.

1.5.3.4 Improved access to basic services in sector policy intervention areas

Although impact data with respect to the total population benefiting from social investment projects executed with funds of the FONADAL – Yungas Agreement and the PAPS’ is not available, there is information available concerning executed projects and invested funds.

The FONADAL – Yungas Agreement has invested 34% (51M bolivianos) of its resources on social projects in response to the demands of civil society and municipal governments. An important percentage of these executed under the Fast Impact Works modality.

With respect to the PAPS, it has been identified that it has been involved in actions to improve education, health and basic sanitation services. This has not only meant the expansion of health and education infrastructure, but in addition, the improvement of service provision quality. This work constitutes 15% of all investments made.

EC 5.4:
There are existing sustainability levels making possible the continuity of started processes up to the fulfillment of objectives searched for

1.5.4.1 Evidence of the existence of other financing sources and fiscal allocations

**FONADAL - Yungas / PAPS Agreement.**

The sustainability of the capacities developed by the FONADAL and subsequent execution by the PAPS fund has been backed up by an important allocation of counterpart resources, along the implementation phase of each financing agreement. This data is taken into account because counterpart figures and percentages reached with respect to European Cooperation reflect high probabilities of maintain these contribution levels among counterparts.

This data is taken into account because counterpart figures and percentages reached by the European Cooperation reflect high possibilities to keep this contribution levels and project a more efficient management of new fund to continue with already started development dynamics.

**National financing of counterparts of the FONADAL – Yungas Agreement.**

<table>
<thead>
<tr>
<th>Total National co-financing</th>
<th>Budget</th>
<th>Executed</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Counterpart as per Agreement</td>
<td>3.050.000</td>
<td>7.493.622</td>
</tr>
<tr>
<td>Over-fulfillment</td>
<td></td>
<td>4.443.622</td>
</tr>
<tr>
<td>% of National Funds Fulfilled</td>
<td></td>
<td>245,69%</td>
</tr>
<tr>
<td>Ratio of National Funds with respect to European funds</td>
<td></td>
<td>58%</td>
</tr>
</tbody>
</table>

**Source:** Final Report of Agreement
**EQ 5**

**Fight against drug-trafficking**

To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

It is important to point out that in order to know most recent and current financing commitment on part of the Government, aside from PAPS 2 counterpart funds, it will be necessary to perform field work including interviews and review of institutional files.

The following is a detailed list of counterparts that have executed funds made available by the PAPS to continue actions started by FONADAL.

<table>
<thead>
<tr>
<th>Sources of funds</th>
<th>Amount in Bs.</th>
<th>Percentage %</th>
</tr>
</thead>
<tbody>
<tr>
<td>PAPS</td>
<td>138,759,946</td>
<td>78.73</td>
</tr>
<tr>
<td>Municipal contribution</td>
<td>32,458,282</td>
<td>18.42</td>
</tr>
<tr>
<td>Organizations</td>
<td>1,910,146</td>
<td>1.08</td>
</tr>
<tr>
<td>Other institutions</td>
<td>2,739,590</td>
<td>1.55</td>
</tr>
<tr>
<td>Governorate</td>
<td>381,057</td>
<td>0.22</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>176,249,021</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Source:** FONADAL’s Institutional Memory

In addition to these counterparts, it is worth noting that during the past few years, FONADAL has executed projects with financing from the National Treasury of the Nation for an amount still undisclosed.

By the end of 2012, the Presidency of the Plurinational State of Bolivia verbally offered to the Minister of the MDRyT an annual allocation of approximately 5,000,000 bolivianos from TGN funds, which would have made possible for the FONADAL to assume its operating expenses (with staff of approximately 30 people), in addition to some investment expenses. This amount has not been verified and it requires a field visit with interviews and review of project’s documentation.

With respect to this indicator, it is worth noting that the participation level in capacity development and project management has been little or nil.

Small production project that benefit communities have been executed reaching low sustainability levels. Among these economic development projects, the ones showing highest financial sustainability levels are related to chicken production.

**PACS.**

With respect to the progress made by the PACS on Social Control issues, it is worth noting that its sustainability is projected starting with the creation of the Social Control unit within the Vice-Ministry of Social Defense and Controlled Substances (VDS – SC). However, items are covered with funds from CONALTID’s Strengthening Program. Furthermore, to project the sustainability of achievements made, social control actions have been included in the Fight Against Drug Trafficking strategy and its implementation plan; basic aspect for the management of future financing and actions to be performed.
Evidence of institutionalization and regulation of processes supported by the cooperation provided to the Fight Against Drug Trafficking and Comprehensive Development with Coca.

FONADAL - Yungas / PAPS Agreement.

FONADAL is not a decentralized entity and it is still under the VCDI; nevertheless, it has been able to operate up to now without too many administrative obstacles given its legal character. However, under the new policies, a number of proposals for the General Law of Coca Leaf are under discussion, which could result in an institutional adjustment and the FONADAL would become the FONDI (National Fund for Comprehensive Development), and will then work following special regulations, enjoying more autonomy and with more faculties to get financing from the International Community for its goals and purposes.

It is important to note that administrative procedures, systems and tools have been developed for the Regional Funds and Competitive Funding modalities, processes that were executed and progressively adjusted, reaching positive outcomes to perform the management of resources and projects.

Along the previously mentioned agreement, FONADAL has become an institution specialized in implementing comprehensive development sector policy. The final report states that:

"en el campo administrativo y financiero, dispone de las capacidades técnicas necesarias para cumplir con los procesos técnicos, administrativos y financieros requeridos para planificar, canalizar, monitorear y supervisar el uso de los fondos destinados por donantes externos y por el Gobierno al Desarrollo Integral. Para tal fin dispone de un centro informático de datos, el Sistema (Informático) Integral de Procesos Técnicos y Administrativos (SIPTA), desarrollado por el propio FONADAL, el sistema contable analítico VISUAL, el uso de bases de datos auxiliares como el registro de contratos en Asesoría Legal del FONADAL y el Sistema de Seguimiento Gerencial (SISEGER) que es el sistema de seguimiento del Ministerio de Desarrollo Rural y Tierra (MDRyT). Cabe mencionar que este paulatino incremento de las capacidades de gestión administrativa y financiera se guió por el denominado "Plan de Fortalecimiento Administrativo e Institucional" que en el transcurso de la vigencia del Proyecto fue implementado casi de forma completa."

Dentro del marco del mencionado Plan se elaboraron los manuales y reglamentos del Proyecto y del FONADAL, entre los cuales se destaca la importancia del Manual de Procedimientos para la financiación de proyectos mediante la modalidad de Fondos Concursantes (Subvenciones), el cual describe los procedimientos necesarios para llevar adelante un proceso de financiamiento por medio de una subvención.

En términos de ejecución presupuestaria y transferencias de recursos se destaca la normativa elaborada por el FONADAL - puesta en vigencia mediante una Resolución Ministerial del MDRyT - que permite el financiamiento de Asociaciones de Productores Agrícolas denominado "Reglamento de Transferencias Públicos – Privados": En este sentido, las dificultades encontradas en la normativa nacional, específicamente en la Ley Financial del 2010, que establece impedimentos para la transferencia de recursos "Públicos" a "Privados", aunque sean estos colectivos organizados de productores de base, fueron superadas con la aprobación de un reglamento especial que faculta al FONADAL la transferencia de recursos a estas organizaciones de productores bajo ciertas normas y condicionantes."

PACS.

Based on available information, limited inter-institutional coordination between organisms committed to Comprehensive Development with Coca areas and those committed to the Fight Against Drug Trafficking are noticed. In order to reach the institutionalization of outputs reached by the PACS and consolidate those processes it has started. Precisely, Social Control of Coca Leaf Crops seems to become a point in which both themes meet and where coordination mechanisms are necessary. Furthermore, a lack of coordination is observed to achieve the sustainability and consolidation of processes with social organizations.

Inter-institutional coordination has been analyzed in depth by the PACS. A number of its reports verify this lack of institutionalization and thus, a risk for the sustainability of new policies in support of Social Control. These reports make the following recommendations:

- Updating of Social Control regulations that govern the work of coca leaf production associations.
- Elaboration of a proposal for a national regulation defining the institutional scenario and competencies of the implementation of Civil Society’s proposal.
- Making viable the inter-institutional coordination agreement for coordinated planning rationalization.
**EQ 5**

**Fight against drug-trafficking**
To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

- Definition of joint programming instruments and tools that facilitate rationalization operations.
- Definition of protocols to update information in the system.

As can be observed, despite of important advances made in the institutionalization of PACS’ outcomes and outputs, remaining challenges are still big to consolidate Social Control as Public Policy and Collective Action, mainly with respect to a more precise definition of competencies in the governmental environment and more specific regulation of civil society responsibilities.

In order to achieve the true strengthening of sectors, institutions such as INIAF or SENASAG should be supported to resolve bottlenecks in export flows.

Prioritized products under the chain logic are bananas, pineapple and heart of palm in the Tropic of Cochabamba, At the Yungas, prioritized products are coffee, cocoa and honey.

Markets for these products have shown important drops in the demand for tea and bananas and cocoa’s price. However, they will continue to be promoted through strategies being formulated within the framework of PPS 2’s International Technical Assistance.

Within the framework of the strategy through which support for PAPS 2 is going to be guided, analysis of financial markets and access possibilities to productive organizations will be expected to be performed.

### I.5.4.3 Evidence of environmental measures resulting from actions and projects performed within the framework of the Fight Against Drug Trafficking and Comprehensive Development with Coca

**FONADAL – Yungas / PAPS**

The Final Report of the FONADAL – Yungas Agreement reported that 7% of projects executed under the Component labeled “Protection of natural resources and environment”, a total of 37 projects at a cost of 9.8M bolivianos.

Furthermore, the PAPS invested 9% of its own resources under the Natural Resources and Environment component, incorporating this approach to the Technical Assistance work that accompanies the execution of environment resources, through the categories of environmental impact mitigation and preservation of natural resources in the National Strategy of the Fight Against Drug Trafficking. As a whole, both actions have promoted forestry and agro-forestry projects, protection of water resources and development of land use regulation including the environmental issue.

**PACS.**

In addition to the Social Control proposal formulated with organizations from Apolo, Caranavi and the Tropic of Cochabamba, organizations from the traditional Yungas de La Paz area have developed an agro-ecological perspective of sustainability supported by the PACS. A proposal that responds to the National Strategy of Comprehensive Development with Coca; and furthermore, to the Strategy of the Fight Against Drug Trafficking. As a result of accelerated soil depletion in this region, growing pressure on land arises derived from smallholdings and migration.

It is in this sense that, with organizations aware of productive dynamics and their active participation, the PACS has executed actions in support of producers promoting agro-ecological production in agreement with soil sustainability and food security.

Worked performed by the PACS in the promotion of the Social Control proposal in traditional areas, from an agro-ecological perspective has taken place along four action lines.

1. Training of producers in agro-ecological systems.
2. Technical assistance during the implementation of proposed systems and development of manuals.
3. Certification of 456 plots in traditional area.

As a whole, these elements executed by the PACS, in addition to promoting alternative control mechanisms for coca leaf production, also agree with the precepts of a comprehensive environmental perspective.
## Contributions to the Fight Against Drug Trafficking

### EQ 5: Fight against drug-trafficking

To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy?

### EC 5.5:

Contribución de los diálogos y mecanismos de la UE con el país, la subregión y región en materia de lucha contra el tráfico ilícito de drogas en Bolivia

#### 1.5.5.1 Relevance of actions performed within the framework of EU’s mechanisms and dialogue with the country

It is important to begin by considering that actions performed at national as well as sub-regional and regional levels are circumscribed within global conventions and regulations, which is why global standards are followed emphasized by the Vienna Convention of 1988. In this sense, it is understandable for dialogue guidelines to be framed in joint fashion by the parties, facilitating the definition of agreements, of more strategic than political order, related to the Fight Against Drug Trafficking issues.

Based on these political dialogues established between the European Union and the Plurinational State of Bolivia, one understands that European Cooperation in the drug sector is executed within the framework of national processes concerning nationalization and shared responsibility. This means that it does not go against national sovereignty instead being fully coordinated with national counterpart organizations.

Based on the agreements reached during political dialogues, it is established that the principles adopted for the new sector policy with European Union’s assistance have been basically four: sovereignty, respect of human rights, agreement and shared responsibility. Thus, under this logic, including new prioritized modalities of the Bolivian State, that it prioritizes the destination of resources; an analysis backed by interviews of heads and officers of the National Council of the Fight Against Drug Trafficking.

European cooperation is well received because it coordinates with beneficiaries and national counterparts, following an agreement and dialogue logic not existing before; furthermore, this model is not a “fighting” one but is more of a respect-based model.

It is worth noting that one of the most important actions derived from these dialogues has been the development of the Comprehensive Study of Coca Leaf financed by the EU. Furthermore, this issue became a central element in subsequent dialogues because of the government of Bolivia’s lateness in delivering outputs. With respect to this issue, it is noticed that the Comprehensive Coca Study was officially delivered by the government of Bolivia in November 2013. It included eight supplementary studies that look to identify in the most thorough way the entire structure of the legal market of coca leaf. Results reached constitute an importance reference to know the size of the country’s legal coca leaf market and with the acceptance on the part of the European Commission.

With respect to specialized dialogues at sub-regional and regional levels, it has been observed that these have had almost no relevance with respect to drug policies in Bolivia. This assertion is made in spite of the urgency to update the legal framework. The Bolivian State has not started an official dialogue with Bolivian society to address in specific fashion the drug issue.

#### 1.5.5.2 Relevance of actions performed within the framework of EU’s mechanisms and dialogue with the Andean sub-region

Projects managed by la UNODC have slower execution rhythms; among these, PREDEM stands out.

Among projects implemented by the Secretariat General we find PRADICAN. The dynamic is more agile for each stage of project cycles; however, the CAN is not including in its agenda the addressing of drug policies.

The Bolivian State has shown lesser institutional development than other countries during the evaluation stage. The clearest more affected case is the non-existence of the Drug Observatory; inexistent during the project’s implementation phase. In general terms, the lack of permanent focal points, due to the turnover of Bolivian officers in charge of it, has been recognized.

In this sector, based on interviews held at the EUD, only three important dialogues at national level have been identified. The first one is the aforementioned Comprehensive Study of Coca Leaf, through which the European Union supported the government in establishing a statistical approximation of the legal demand for coca leaf; an element that has made possible establishing a reference of the surface of coca crops that must be reduced in the country and its proportion to legal demand.

It is important to remember that the agility and speed for institutional support is also derived from the political relevance of this sector for the State and Bolivia’s government.

Political dialogues have made possible adjusting the institutional scenario of the Fight Against Drug Trafficking sector.
| EQ 5 | **Fight against drug-trafficking**  
To what extent has EU’s support contributed to the fight against drug trafficking and to the comprehensive development sector policy? |
<table>
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<tbody>
<tr>
<td>I.5.5.3</td>
<td>Key national counterparts at local, regional and/or national level (including EU’s staff (EC and Member States’) an other donors confirm the coordination of different operation levels and its effective scope</td>
</tr>
</tbody>
</table>

Another negative element recognized has been the lack of punctuality in contributions made by the Bolivian State to execute projects. In PRADICAN’s case, the last funds that the Bolivian government had to contribute were disbursed after the conclusion of the project’s implementation phase, which is why they could not be used within the project’s framework.

The European Union is positioned as sole cooperation body providing funds to this sector. During the past year, the German State contributed small funds for a brief period of time. In this sense EUD officers confirmed that four cooperating States left the sector during the past few years: United Kingdom, Denmark, The Netherlands and Sweden.
### EQ 6: Sustainable management of natural resources

**To what extent has EU’s support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation?**

**DAC evaluation criteria:** Relevance, efficiency, impact and sustainability  
**Additional key aspects:** 3Cs, Declaration of Paris  
**Cross-cutting issues:** Environment / climate change

**Rationale:**  
This sector has been considered of great relevance to the government of Bolivia and the EU because of its link with the Millennium Development Goals (access to drinking water and improved basic sanitation), reduction of extreme poverty and the country’s food sovereignty, as well as reduction of vulnerability to climate change. This strategy includes efforts to combat the effects of global warming, improvement of drinking water provision, basic sanitation, conservation and preservation of water resources and biodiversity (management of national parks) and strengthening of institutional capacities for the Comprehensive Management of Water Resources (GIRH). It was recommended for interventions to: 1) have a participative approach including local beneficiaries (indigenous peoples, municipalities; 2) include considerations related to climate as an important element for the sustainability of the intervention strategy (strengthening of water governance institutions at local, regional and trans-border levels); and 3) use this experience in research and coordination projects in Bolivia and in neighboring countries; taking into account that the main risks identified were that the impact of climate change would exceed the capacity of Bolivian institutions and resources, as well as the lack of political will on the part of neighboring countries to provide an institutional framework appropriate for the design, financing and execution of the Comprehensive Management of Water Resources (GIRH).

The question will evaluate to what extent has EU’s cooperation contributed to the sustainable improvement of the living conditions of people in prioritized areas, the reduction of vulnerability in relation to climate change and the preservation of the country’s natural resources.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Indicators</th>
</tr>
</thead>
</table>
| **EC 6.1:** EU’s support strategy has contributed to the fulfillment of Millennium Development Goals and to the Human Right to Water, through the increase of the coverage of drinking water and basic sanitation services in Bolivia’s peri-urban areas | I.6.1.1 Increased access coverage to drinking water and basic sanitation in peri-urban and rural areas beneficiaries of EU’s assistance  
I.6.1.2 Increase of productive activities and socio-economic development within the framework of the sustainable exploitation of biodiversity (in Protected Areas and basins) in EU’s intervention areas  
I.6.1.3 Income generation in local communities as a result of the sustainable and participative management of natural resources in EU’s intervention areas  
I.6.1.4 Improved food sovereignty through the comprehensive use of natural resources, basins and access to sustainable water sources (quality and quantity) in EU’s intervention areas  
I.6.1.5 Degree of preservation of natural resources in EU’s intervention areas |
| **EC 6.2:** EU’s support strategy to the comprehensive management of water resources contributes, in agreement with the national sector policy, to offering a better response to combat environmental risks such as basin pollution and natural disasters | I.6.2.1 Degree of correspondence between the EU’s intervention strategy and main national policy documents (National Basin Plan, mainly)  
I.6.2.2 Improved water (for human consumption and irrigation) quality (level of chemical agents, residuals, pesticides) in EU’s intervention areas  
I.6.2.3 Number and scope of preservation-control activities concerning degradation and erosion of basin heads in EU’s intervention areas  
I.6.2.4 Establishment of planning information and monitoring |
**EQ 6**  
**Sustainable management of natural resources**  
To what extent has EU’s support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation?

| Systems | 1.6.2.5 Number and scope of risk and climate change management measures and instruments (early warning among others), GIRH-MIC and biodiversity preservation in EU’s intervention areas  
1.6.2.6 Integration of environmental education and gender in policies, plans and programs promoted by the EU in the environment sector (VRHR, VAPSB, VMA) |

| EC 6.3: EU’s support strategy has favored the adoption and comprehensiveness of natural resources management practices with a sustainable environmental approach and their permanence through time | 1.6.3.1 Degree of articulation; potential for integration and coordination of national strategies related to water and sanitation, water resources and irrigation management and environment  
1.6.3.2 Increase and scope of investments (with the participation of national, sub-national and private levels) in the environment sector, through sustainable projects and practices related to the management of natural resources  
1.6.3.3 Evidence of appropriation of successful sustainable practices on the part of beneficiary actors of EU’s assistance; and, evidence of greater demand for public services provided by the MMAYA  
1.6.3.4 Existence of a gradual exit strategy or measures to that effect in EU’s interventions  
1.6.3.5 Evidence of the political will on the part of the GoB to follow up on achieved results (existence of technical sustainability strategies based on lessons learned, definition of comprehensive policies and strategies with allocated budgets)  
1.6.3.6 Degree of satisfaction of population with sustainable practices promoted with EU’s support, and perception of the government’s will to provide continuity to these practices and its capacity to maintain and expand achieved outcomes |

| EC 6.4: EU’s support strategy has favored more coordination and exchange at regional level for the comprehensive management of cross-border basins (the Amazon basin in particular) and the preservation of their ecosystems | 1.6.4.1 Evidence of generation of information and research to improve knowledge of Bolivia’s Amazon basin and the region, in coordination with neighboring countries  
1.6.4.2 Evidence of the implementation of cooperation modalities between countries sharing the Amazon basin with Bolivia, favoring the exchange of information and knowledge to design, finance and execute plans for the comprehensive management of water resources (GIRH)  
1.6.4.3 Evidence of the search and scope, complementarity and synergies between EU interventions at national and sub-regional level during programming and execution phases |

| EC 6.5: The application of environmental management, the provision and efficient use of natural resources and the participation of involved actors (not only State institutions) contribute to the sustainability of achieved goals | 1.6.5.1 Evidence of efficient water use (including the reuse of waste waters) and of measures to reduce losses in water’s distribution network in EU’s intervention areas  
1.6.5.2 Evidence of effective disposal of solid waste and domestic and industrial sewage in EU’s intervention areas  
1.6.5.3 Evidence of monitoring of water quality and biodiversity preservation in EU’s intervention areas  
1.6.5.4 Degree of application of environmental education programs aimed at children and young people, community representatives, teachers and other actors in EU’s intervention areas |
| EQ 6 | **Sustainable management of natural resources**  
To what extent has EU's support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation? |
|---|---|
| 1.6.5.5 Degree of development and application of social participation mechanisms of actors involved in the management of natural resources in EU's intervention areas  
1.6.5.6 Key national counterparts at local, regional and/or national level (including EU's staff (EC and Member States’) and other donors) confirm the effectiveness of the support and value the possibility for it to be sustainable in time |

**Information sources:**
- INE's national and international statistics, National Basin Plan, International Strategy for Disaster Reduction System (UN-ISDR), CEPAL, etc.
- GoB sector and global documents
- Progress documents of sector policies related to environment and water; monitoring reports
- Documents of regional and/or local authorities from EU's intervention areas
- RSP (for Latin-America and Andean Community) & EC's CSP and NIP and PIR (CAN) for the 2007-2013 period
- EUD's AMPs
- EUD's EAMRs
- Inventory of EU's financial commitments (bilateral level under programmable and non-programmable assistance)
- Financing agreements, action fiches, monitoring reports evaluations, etc.
- Records of work groups, meetings and interviews of EC' officers in Brussels, La Paz EUD and Lima EUD, other cooperation entities, relevant national-level institutional actors, ITA-EU, and involved sector specialists
- European Coordinated Response (ECR) in Bolivia
- MMAYa’s Comprehensive Plan, September 2014 (preliminary version under review)
- MMAYa’ financing structure; picture slides (October 2014)

**Methods**
- Documentary analysis
- Analysis of selected interventions
- Interview analysis
- Inventory analysis

**EC 6.1:**
EU’s support strategy for the sustainable management of the environment and natural resources has generated concrete evidence and positive results contributing to the quality of life of benefiting populations

1.6.1.1 Increased access coverage to drinking water and basic sanitation in peri-urban and rural areas beneficiaries of EU’s assistance

The PASAP, created to improve the living conditions of the population of peri-urban areas (suburban areas of more than 10,000 inhabitants next to cities) of La Paz, El Alto, Cochabamba, Santa Cruz and other important localities, has contributed to increasing drinking water coverage to 58,682 homes, and to 38,917 homes through sanitation systems. Furthermore, the capacities of 59 EPSAS have been strengthened through technical assistance. This contribution is associated to a series of favorable factors concurring toward a fast increase in water and sanitation investment, showing the political will of the government of Bolivia to meet its commitments through the availability of major foreign funds (IDB-Spain, JICA, KfW), promoting a fast investment pace. In quantitative terms, PASAP’s indicators 1 and 3 are even being exceeded with respect to programmed goals. According to the verification Reports of the outcomes of the 2012-2013 variable section, the following is the progress of PASAP indicators for 2010 and 2011:
Sustainable management of natural resources
To what extent has EU’s support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation?

<table>
<thead>
<tr>
<th>PASAP Indicators</th>
<th>Consolidated Goals 2011-2012</th>
<th>Fulfillment 2011-2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Inter-annual increase of drinking water connections (conventional and CC).</td>
<td>37095</td>
<td>58682</td>
</tr>
<tr>
<td>2. Inter-annual increase of sanitation connections (conventional and CC).</td>
<td>30319</td>
<td>38917</td>
</tr>
<tr>
<td>3. Number of sanitation systems with sewage treatment plant</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>4. Number of EPSAS with operational sustainability.</td>
<td>63</td>
<td>59</td>
</tr>
<tr>
<td>5. Number of SENASBA’s annual TA interventions with EPSAS in localities of more than 10,000 inhabitants.</td>
<td>68</td>
<td>68</td>
</tr>
</tbody>
</table>

Bolivia has complied with the fulfillment of the Millennium Development Goals (MDGs), in particular with those related to poverty reduction and the environment (W&S). This commitments means that by 2015, the country must ensure that 78.5% of the population has access to drinking water and 64% has basic sanitation services. According to the Population Census of 2012, drinking water coverage reached 77% of the population, with asymmetries between cities and at urban-rural level. For example, in Santa Cruz, coverage reached 87.5% while in Cochabamba it reached 65%; for each person without drinking water in urban centers there are approximately two people without drinking water in rural areas. With respect to basic sanitation, according to the Census, estimated coverage was 51%. The Bicentennial Agenda stipulates 100% water and basic sanitation coverage in Bolivia.

In spite of quantitative achievements made with respect to W&S and the beneficiary population, there is no information available to verify the effects/impacts of the improvements in W&S with respect to beneficiaries; for example, data linked to human development such as the effects of the efficient management of W&S on the health of vulnerable populations, women and children. Furthermore, it is considered that aspects related to the technical and financial sustainability of W&S service are future pending tasks, requiring particular attention to give continuity to investments made concerning the Human Right to Water where Bolivia has programmed ambitious goals within the framework of the 2015 Agenda, which stipulates reaching 100% A&W coverage (information collected from field mission, environmental work group, AT PASAP). What’s been stated coincides with and ratifies the last ROM of December 2013, which concludes that service quality and sustainability are pending challenges because of the following challenges: 1) new investments have not been made yet (except for a few cases) within the comprehensive management of water resources; 2) projects in peri-urban areas look to answer in expedite fashion to the exponential increase in demand caused by an excessively active rural exodus that feeds spontaneous human settlements around main cities. By responding fast to A&W demands in these areas, the government covers its political commitments in the short-term, but it does not create service, social (problems with unemployment and food security still persistent) and environmental (water sources are precarious and network efficiency is very low) sustainability. Furthermore, there is concern on part of the MMAyA and donors with improving investment sustainability through a comprehensive approach that takes into account from the basin up to the reuse of waste waters, but in practice this approach, adopted by some pilot projects, is still being generalized.

It is important to take into consideration that access to water and sanitation on its own does not guarantee the human right to drinking water (HRWS), although its basic principle is its fulfillment. HRWS is characterized by its regulatory criteria, not only access to water and sanitation; meaning that, in addition to access level to water and sanitation (if water is provisioned by pipes, public fountains, wells with pump, etc.; or whether bathrooms are public or private, or if there are sewage drains, etc.); the HRWS poses the progressive challenge of guaranteeing sustainable service levels that will lead to its complete fulfillment, with respect to the quantity and quality of water available, sufficient sanitation alternatives, necessary service continuity and its affordability and cultural acceptance. Therefore, progress made toward the fulfillment of the HRWS is determined by service level, not just by access level.

Furthermore, other challenges to the W&S policy are summarized as follows (information collected from field
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- Consolidation of a strategy to meet the challenges posed by the 2015 Agenda, with special attention placed on access to basic sanitation where smaller advances are registered with respect to access to drinking water:
- Establishment of efficient network management and financial sustainability by identifying and applying mechanisms that guarantee the operation and maintenance of W&S services.
- Strengthening of institutional capacities at national and sub-national level to meet the challenges posed by the 2025 Agenda.
- Generation of intra-sector and inter-sector coordination mechanisms to confer more coherence to W&A actions, with links favoring environmental management and the GIRH, and additional links with related sectors such as health and education.
- Development of knowledge management and sustainable monitoring systems useful for decision making purposes.
- Generation of human capacities to work on the efficient management of the service.

### 1.6.1.2 Increase of productive activities and socio-economic development within the framework of the sustainable exploitation of biodiversity (in Protected Areas and basins) in EU’s intervention areas

With respect to sustainable productive projects implemented within the framework of the strategy aimed at the use of renewable natural resources in protected areas, supported by PACSBIÓ, there is a total of 12 productive and tourism-related initiatives performed in different protected areas (El Palmar, Manuripi, Cotapata, Tariquía, Madidi, Sajama, Sama, Isiboro Sécure and San Matías) according to the 2012 Sector Policy Progress Report. Furthermore, the Tourism Strategy was approved in 2011; and the tourism strategies of the following protected areas: Madidi and Pilón Lajas, approved in 2011, and Apolobamba and Sajama approved in 2012. In addition, seven new management plans and eight additional protection plans are being contributed at protected areas level, instruments that include the guidelines for the management and sustainable exploitation of biodiversity and tourism.

In the Poopó Program, as part of the component linked to local development, a set of actions were executed using funds and grants, aimed at productive initiatives and the support of organizations and associations from different areas, among which the following are the most important: handcrafts and textiles with the participation of women organizations; transformation of milk derivatives; quinoa and camelids, from the perspective of reducing poverty and migration in the Program’s intervention area. Within this environment, according to the project’s synopsis, from 2012 up to this year one sub-activity was concluded and 19 were under execution; and the organization of two calls for tenders by the *Subvention Fund*, which has 62 proposals currently under evaluation.

Within the framework of ASPNC, productive activities and those related to the promotion of local development strategies, within the PNC, materialize (although not in all cases) during the implementation of GIRH-MIC projects at micro-basin level, including some projects of demonstration activities concerning productive aspects, efficient irrigation for socio-economic purposes, better water distribution, soil replenishment for agricultural purposes, etc. Given that local development is not included as part of the components of GIRH projects, whose focus is placed on prioritizing basin preservation and water control aspects and capacity strengthening, it is difficult to have available objective information and data to verify the activity of investments made on local development related issues. Furthermore, the link of local economic development with basin and water comprehensive management is still pending challenge for the PNC’s ongoing second phase.
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### I.6.1.3 Income generation in local communities as a result of the sustainable and participative management of natural resources in EU’s intervention areas

In similar fashion, all activities described in the previous indicator (I.6.1.2.) promoted by the EU have activated investments to promote sustainable alternatives for biodiversity management and productive activities that improve the development opportunities of beneficiary populations. According to the bibliography consulted and the field trip, there is no data available of the generation of income or socio-productive aspects by these investments with respect to beneficiary populations.

### I.6.1.4 Improved food sovereignty through the comprehensive use of natural resources, basins and access to sustainable water sources (quality and quantity) in EU’s intervention areas

The evaluation of effects/impacts of sustainable actions related to biodiversity, basins and access to W&S, with respect to social and productive aspects, improvement of life means or contributions to food security, have not been performed in any of the sub-sectors part of the MMAYA. Generation of this type of information is important to monitor the implementation of public policies, for decision-making purposes, and because it becomes an input to improve the sector's negotiating capacities with respect to other sectors linked to development.

### I.6.1.5 Degree of preservation of natural resources in EU’s intervention areas

Within GIRH-MIC actions executed in basins by the ASPNSC and a set of donors, preservation of natural resources to prevent erosion and soil degradation processes, disaster risk prevention management, reforestation, soil and grassland replenishment, etc. are included. According to the PNC’ Monitoring Report of June 2013, the total number of projects executed and under execution since 2007 totaled 110 initiatives: 36 related to pre-investment and 74 to investment, covering 77 municipalities of nine departments in Bolivia. Out of these 77 investments in GIRH-MIC, 68 were analyzed to give account of some of the achievements of the PNC because the rest were just beginning their execution processes. Thus, it is understood that these basin preservation investments have benefited approximately 102,244 directly families and 243,589 families indirectly from seven departments in Bolivia.

With respect to the Poopó Program, preservation of the existing ecosystem is one of the most important expected outcomes of this program and within this framework, a number of joint activities have been performed. Work has been performed on the identification, prioritization and put into practice of a number of environmental and mining pollution mitigation measures, GIRH tasks, drinking water and sanitation, water control, as well as on the implementation of an environmental monitoring system to diagnose the situation of bodies of water in the basin, pollution sources and water quality. However, due to pressing historical problems related to the basin's pollution, it is still to be found out the extent to which the set of these actions effectively affected the improvement of the basin's ecosystem because this problem is beyond the capacity of local and departmental actors. Furthermore, it is considered that promoted projects (of local importance) have been atomized and are too isolated to generate effects concerning the preservation of the basin’s natural resources, as well as is doubtful the continuity of actions with respect to municipal capacities to take charge of the maintenance and operation of these activities. The program's logical framework indicators, with respect to the preservation of the ecosystem, identify quantitative data of projects in figures; however, these indicators will not allow the measurement of the degree of preservation of the basin. The Program's final evaluation at the time of this evaluation was still being worked on. It is worth noting that the formulation of the Basin’s Master Plan (PDC) is one of the most important contributions made by the Program to basin policies, because its linked to the PNC’s regional basin strategy and feeds one of the MED indicators. His political-strategic instrument can guide in more coherent fashion preservation and basin management actions and longer term mining pollution mitigation, and could become a useful instrument of achieve institutional and financial concurrence at the highest level.

With respect to PACSBIIO, some available data refer to the protection and surveillance system, updated within the framework shared management, under implementation, and within which framework seven protection plans have been developed with their corresponding administrative decisions issued in 2012. With respect to maintaining or increasing the representativeness of eco-regions included in SBS actions under SNAP’s management (at different autonomic levels), currently there is a baseline of the surface of eco-regions represented in protected areas under management or part of the SNAP (by the different autonomic levels). With respect to the contribution of SBS actions to the preservation of threatened species in the country, the SERNAP with the assistance of The Netherlands and the UMSA’s Ecology Institute, made progress in the development of a
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Baseline of threatened species within Protected areas. Furthermore, PACSBIOS has promoted the development of a monitoring plan for the SNAP, together with a threat analysis, that when in operation is expected to measure the effectiveness of the management of protected areas.

### EC 6.2:

EU’s support strategy to the comprehensive management of water resources contributes, in agreement with the national sector policy, to offering a better response to combat environmental risks such as basin pollution and natural disasters.

#### I.6.2.1 Degree of correspondence between the EU’s intervention strategy and main national policy documents (National Basin Plan, mainly)

EU’s strategy for the environmental and natural resources sector is aligned with main related national and sector policies. Thus, EU’s strategy is aligned with the (2006-2011) PND’s Bolivia Dignified, Sovereign, Productive and Democratic to “Live Well” program, which considers the environmental dimension as a cross-cutting axis of the four prioritized development pillars (Dignified Bolivia, social issues; Democratic Bolivia, consolidation of indigenous and traditional organizations; productive Bolivia, production model based on State’s intervention and expansion of internal market; and Sovereign Bolivia, related to the government’s vision with respect to international relations). This dimension is explicitly recognized by the “Dignified Bolivia” pillar, under its “water and sanitation component”, and by the “Productive Bolivia” pillar, which dedicates and entire section to the environment and natural resources. The latter pillar is one of the most important since it assigns 77% of the PND’s budget resources. Similarly, the EU through budget and programmatic support actions related to environmental issues, W&S, basins and biodiversity preservation, supports the implementation of the National Basin Plan, the National Basic Sanitation Plan, in relation to commitments linked to access to drinking water as a human right, the Master Plan for SNAP’s management, all aligned with the PND and the CPE approved in 2009. It is worth noting that an important reference for the GoB is the 2025 Agenda and recent legislation on autonomies and recently approved Mother Earth rights.

In this fashion, the EU has given particular relevance to program development and SBS actions that strengthen the implementation of national plans linked to the water resources and environment sub-sector, activating investments and strengthening the institutional capacities of sector heads through support to technical and management aspects, knowledge generation and better management, organizational and communicational capacity development. The GIRH approach applied by the PNC basically becomes a pertinent approach to respond to main problems linked to water management, in terms of social conflicts because of water’s use and access, preservation actions that contribute to the prevention of natural disaster risks resulting from climate change and the preservation of the quality of water resources. During a second phase, the PNC has explicitly included disaster risk management and climate change as part of its actions.

It is also worth noting that the EU has collaborated in the participative development of the Comprehensive Plan of the Environment and Water Sector, which through the correlation of main environmental issues with the goals proposed by the GoB’s 2025 Agenda, defines strategic lines that will guide sector planning; among which providing a response to climate change effects as cross-cutting axis has been included and the GIRH as a specific line have been included. This plan will guide the environment sector through more articulated and coherent actions at intra-sector level and inter-sector which are still important challenges to overcome in the institutional framework of management at national and sub-national levels.

#### I.6.2.2 Improved water (for human consumption and irrigation) quality (level of chemical agents, residuals, pesticides) in EU’s intervention areas

A fifth component of the PNC includes monitoring of strategic thematics as a cross-cutting issue, related mainly to the operation of the MMAyA, being an issue that does not exclusively correspond to the VRHR. Its main approach has been water’s quality monitoring being this an issue that stands out the importance, overall in relation to mining basins. Currently there are 73 monitoring stations connected to a network with five labs.38 Measurements are made twice a year (dry and rainy seasons) for which purpose the three first financing campaigns were received from the United Nations Environment Program (UNEP). According to the PNC-I’s

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38 Ingeniería Sanitaria (IIS), IBTEN, SPECTROLAB, LCA and EPSAS.
monitoring report, as of June 30, 2013, the following advances are registered with respect to the monitoring component of this strategic issues:

- Methodology to classify water bodies. Creation of the Technical Committee with the participation of three MMAyA vice-ministries; a classification proposal is being prepared (with PROAGRO GIZ consultation support).
- National Water Quality Plan. Systematization of information related to the national-level monitoring of water quality is being developed

Nevertheless, there is no information available on monitoring results that effectively indicate whether this resource’s quality has in fact improved in EU’s intervention areas as a result of the sector's policy.

With respect to environmental quality and water pollution, the EU through the Poopó Program has financed a portfolio of 170 projects in five municipalities directly benefited from actions. Over half of this investment (60%) is aimed at addressing issues related to the preservation of the ecosystem and development of strategies to improve the management of the Poopó’s basin, one of the country’s most polluted basins because of mining activities (Institutional Memory of the Poopó Program, 2014). Furthermore, a monitoring system has begun to operate to have real diagnostics about the condition of the situation of water resources, the condition of bodies of water and pollution sources as well as basic parameters to measure water quality. Therefore, information is available on the quality of water resources; however, it is possible that through the monitoring results, it will not be possible to verify that water’s quality has improved in the basin. This is because, on one hand, Program’s actions are dispersed; and on the other, in view of the high degree of basin pollution given that this is one of Bolivia’s most polluted basins and where the environmental regulation does not apply to the control and overseeing of contamination causes by the effects of mining operations, mainly from mining cooperatives associated to COMIBOL.

There is no information available on the quality of water for human consumption with respect to W&S activities promoted by the EU. This is a pending task (information collected from field mission, environmental work group, AT PASAP).

I.6.2.3 Number and scope of preservation-control activities concerning degradation and erosion of basin heads in EU’s intervention areas

See indicator I.6.1.5 on GIRH-MIC projects implemented by the PNC-I. The outcome of the implementation of these projects with EU’s support was positive in the sense that it facilitated an important approximation to grassroots and sector head (VRHR), generating concrete experiences related to the preservation and control of basin degradation and erosion, water management, as well as demonstration actions related to efficient water management and productive activities (particularly included in the last investment projects). These projects have had a pedagogical effect on the transmission of MIC concepts and practices to involved social actors; and have made possible making progress on governance, through the creation of social participation mechanisms such as the Basin Management Organisms (OGC). However, in spite of these interventions’ technical and financial sustainability, this is still a pending challenge for the PNC. The specific weight of ASPNC’s support to the aforementioned outcomes, as per the subscribed financing Agreement, is centered in terms of the strengthening of the technical and organizational capacities of local actors; the reinforcement of an institutional framework favorable to the sustainable management of natural resources in basins (at legislative and regulatory level); and the sustainable management of cross-border basins. Thus, the following are outstanding activities: financing of the PNC’s micro-basin project portfolio with the execution of 80 intervention projects; creation of monitoring system including mining basins; generation of knowledge concerning GIRH-MIC issues; institutional support and generation of information for cross-border basin management; promotion of institutional coordination among actors involved in the GIRH, among others.

With respect to comprehensive management, the implementation of PNC projects in micro-basins, as per the PNC’s monitoring report of June 2013, yield the following outcomes:

Afforestation and reforestation of 8,955.07 hectares (including communal forests, family-owned forests, boundary and river bank plantations); construction and/or refurbishing of 50 tree nurseries; creation of
1.652.35 hectares of terraces; consolidation of 2,664.51 hectares for the preservation and regeneration of vegetation; rehabilitation and improvement of 2,627.72 hectares for sustainable agriculture, livestock, agroforestry and fruit production; construction of 69,466.86 ml of erosion control works (dikes, fascines, bio-tramps, walls); 165,434.00 ml of infiltration and crowning ditches; and 56,503.36 ml of riverbed water control works. All these actions have accompanied by organizational strengthening processes and training aimed at consolidating the capacities of beneficiaries to plan, manage and handle their physical space within the area of the sustainable exploitation of natural resources and in particular, water resources.

I.6.2.4 Establishment of planning information and monitoring systems

To establish management for results promoted by the EU, the establishment of information and monitoring systems that feed environmental sector planning has been considered, with different degrees of absorption; although with sustainability-related limitations because of the operation difficulties in feeding data from subnational entities involved in management, and the continuity of the technical staff in charge of tracking and monitoring these systems (field information collected from sector authorities and ITA-EU). It is worth noting the on line operation of a comprehensive information system (SIAM) that collects information from the three subsectors; although is not clear whether it will continue in operation after PASAP's exit. Furthermore, within the framework ASPNC's ITA, an information system to monitor local GIRH investment projects has been promoted, which at the time of this evaluation was not in operation. Within the framework of the Poopó Program, a monitoring system has been set up to diagnose and observe the situation of bodies of water in the basin, at the level of quality and pollution sources, which has been valued by this Program's institutional beneficiaries, although we still need to know how the transfer process of the system to the governorate of Oruro will take place, to be able to continue using it in planning. Furthermore, one of the objectives of the Master Plan for the Snap, is the implementation of a digital observatory of protected areas (BOPA), whose purpose will be to provide permanently information on the situation of protected areas and their preservation objectives, their management level and threats they face; at the time of this evaluation, this system was being designed. If the BOPA's objectives are achieved, with respect to the functionality of this system for decision making purposes, it will become a substantial contribution to the management of protected areas, which currently does not have a structured and institutionalized information system. Currently, the MMAyA, as well as the VMA and other institutions, are developing similar monitoring systems without first having developed agreement and coordination mechanisms. Lately, the future Mother Earth head joined this dynamic trying to assume a leading role in environmental monitoring at national level.

It is important to take into account that to measure the effects of EU's cooperation strategy, through investments made, is essential for monitoring systems to be operational in practice, so that we can have the sector's global data and broken down by support program. Currently there are many difficulties related to information's flow and systematization to improve knowledge management. This is the base of the difficulty in evaluating the effect of the application of these policies on beneficiary populations. The overall balance is that information systems and knowledge management in a wider sense are still important bottlenecks in this sector. To this respect, progress has to be made in the development of better structured proposals while keeping in mind sustainability, through formal institutionalization mechanisms, in partnership with other State institutions linked to the generation of information and public policies, academic institutions, etc. (information collected from field mission, sector institutional beneficiaries).

I.6.2.5 Number and scope of risk and climate change management measures and instruments (early warning among others), GIRH-MIC and biodiversity preservation in EU's intervention areas

Positive energies have been generated between the EUD in Bolivia and ECHO, which have made possible including disaster risk management (DRM) and adaptation to climate change (ACC) in tenders aimed at CSOs. This has made possible for partners of the humanitarian network, to participate in these calls for tenders, such as the case of DIPECHO (ECHO line working in disaster risk prevention); which in turn supports two Bolivian basins in the prevention of natural disasters. In this sense, EU's cooperation in Bolivia has been one of the most dynamic in the region finding links with ECHO (information collected from field mission, ECHO, program officers-EU). Pending tasks are identified as related to more approximation on the part of the network of humanitarian partners to social actors. Some progress is being made in one of the projects executed in the Chaco with APG; however, due to the nature of emergency response actions with respect to prevention actions, much more related to local development, this approximation should be more pronounced in the future (information collected from field mission, APG, other CSOs).
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A study performed of disaster risk reduction and adaptation to climate change concerning a program executed by the Swiss Cooperation for Development also concludes that the promotion of resilient public investments is one of the main challenges facing Bolivia, a country highly vulnerable to the recurring effects of climate change because of its geographical location, and social and economic conditions to deal with the negative impacts of the effects of climate change on the development opportunities of affected populations (Gutierrez, Rita; et al, COSUDE 2014, *Strengthening the governance of disaster risk reduction in Bolivia, Systematization of disaster risk reduction Program, Phase II*).

It is worth noting that risk management and ACC is a concern included in the different support lines of the environmental and water sector. Basin policy has made strong efforts to integrate the climate change variable and risk management derived from it. Thus, during its first phase, a strategic issues component is included through the monitoring of aspects related to the prevention and mitigation of environmental risks, climate change, desertification and droughts, and water pollution. Furthermore, the implementation of PNC micro-basin projects feeds information of these issues because the GIRH, in essence, is an approach that provides better response to risks derived from natural disasters, through preservation and control activities of natural resources and water at basin heads that protect the lower basins. Continuing with the political evolution of the sector, the PNC-II has made efforts to incorporate and visualize in better fashion actions related to climate change and the prevention and management of disaster risk; thus, one of its components includes one related and climate change. In the same fashion, PEF indicators include the number of municipalities with early warning and water services; and the increase of afforested areas in basins worked on, which have a positive effect on disaster risk prevention. Within the framework of the Poopó program, the Master Plan of the Poopó Basin (PDC), under formulation, is a political-strategic instrument that will provide the corresponding GIRH guidelines for future actions in the basin. It will include aspects linked to climate change, risk management and adaptation. In general terms, it is expected that PDC prioritized by the VRHR will include this issue in their guidelines. The second phase of the basin policy will include an important climate resiliency program (PPCR) to be implemented by the EU, IDB and WB under the leadership of the VRHR. Within this framework four pilot PDC are expected to be included.

The W&S sector incorporates in one of its objectives the establishment of drinking water systems based on the comprehensive management of available water resources, and taking into consideration the new conditions and challenges brought about by climate change: Thus, outcome 1 of the PASAP not only depends on the amount of new investments, but also on the incorporation by these of more efficient technologies. For example, in 2012 there were 3417 water connections with low water consumption appliances and climate change risk prevention measures. In the same year there were 3379 basic sanitation connections also adapted to climate change, meaning waste collection, drains with low consumption appliances and sanitation systems connected to sewage treatment plants. In spite of these advances, the establishment of the efficient management of W&S services is considered to be the most appropriate and structural measure to face the effect of climate change (Information collected from field mission, TA-EU).

#### I.6.2.6 Integration of environmental education and gender in policies, plans and programs promoted by the EU in the environment sector (VRHR, VAPSB, VMA)

Through the TA provided to basins, advances were made within the framework of the PNC, on issues related to environmental education and gender (methods, indicators, criteria and recommendations to this respect are available); however, in general terms and aside from efforts made, no progress was made as programmed. There were different reasons for this, there is a belief that cross-cutting tends to dilute issues; furthermore, it is noted that studies performed did not meet the sector's demands, since they had to be more operational to be useful; thirdly, these issues were not included in exclusive fashion in the design of measuring indicators in the PEF or the Logical Framework of the Five-year Plan (e.g. by breaking down target population by gender, among others). With respect to environmental education in particular, progress is still incipient and just recently (within the framework of the PNC-I) an environmental education program was started in strategic alliance with SENASBA. The forward projection was to insert this issue in the capacity development component, through the production of radio material and spots at municipal and departmental level. Furthermore, in coordination with the Ministry of Education and Health (water Education Group) the environmental issues is planned to be included with a GIRH/MIC approach in school curricula. With respect to W&S, it is expected for SENASBA to play a more protagonist role in the promotion of these issues closely linked to people's sensitivity.
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EC 6.3:
EU’s support strategy has favored the adoption and comprehensiveness of natural resources management practices with a sustainable environmental approach and their permanence through time.

I.6.3.1 Degree of articulation; potential for integration and coordination of national strategies related to water and sanitation, water resources and irrigation management and environment

Still within this sector, a pending challenge is identified concerning the articulation of the three vice-ministries that compose it, as well as related to more communication with other sectors such as health, education, productive development and development planning. In spite of more approximation on the part of the central level with sub-national levels, such as the basin’s case for example, it is considered important in the future to concretize the triangular relation between vice-ministries-governorates, departments and municipalities (information collected from field mission, environmental work and interviews of sector authorities).

Advances registered concerning the approximation of the central level to the sub-national level, indicate more concurrence of financial contributions at sub-national level in GIRH-MIC initiatives promoted by the PNC, as well as greater demand, in particular at local level, for projects with comprehensive approaches and ACC, which according to the evaluation of the PNC I (2013), has drastically increased during the past few years. In the practice of local development, with respect to the coordination of public managers, a number of issues arise belonging to the development area, in relation to the water and environmental sector, which require to be addressed as priorities: water pollution from mining activities; sewage treatment and its reuse for agro-productive purposes; solid waste management; human occupation and settlements in high-risk flooding land; natural phenomena that threaten to worsen; deforestation, etc. Qualitative jumps must be made in this inter-sector coordination to align policies with the solution of these problems that in most cases concern more than one sector, through the clear definition and demarcation of institutional competencies. Development projects should be conceived based on a comprehensive approach, incorporating from the beginning the environmental dimension, with the participation of affected and interested parties.

The creation of the Ministry of Water in 2006, restructured in 20909, has supposed significant progress for the sector and to its positioning in the central-level public debate (previous leadership was at vice-ministry level); the alignment from the emergence of new entities such as SENABA, EMAGUA and AAPS has been satisfactory mainly at central level. In spite of the “centralization” of the water and basic sanitation sector, it has been characterized by low participation on the part of the private sector (the majority of service providers that do not belong to local governments but are associated to users such as water cooperatives) and civil society. In this sense, the challenge is how to structure civil society’s participation to include all interested sector parties and achieve the correct coordination between them, and not only with the central government. It is important to consider that the Vice-Ministry of Water and Sanitation traditionally has focused on its regulatory function, but during recent years, it has played important role in the selection of investments in projects financed by the international cooperation. Another challenge is the vertical coordination of the national administration with the sub-national level. It seems that “centralism” in decision making has been the result of a number of different reasons: the preponderance of the key role of the State (generally understood as central administration), the political division between the central government and other sub-national governments (governorates and municipalities) and the specific weakness situation of this sub-sector in large part of departmental governments. In the horizontal direction, it is still pending including and ensuring the interaction of sectors linked to the planning and development of public works and infrastructure.

The preservation of biological diversity strategies, the strategy for socio-economic development with social participations in protected areas and the SNAP’s Master Plan area aligned with the PND, with respect to policy concerning the Sustainable Exploitation and Preservation of Biodiversity, which aims at the consolidation of the State as protagonist of preservation and sustainable exploitation, with active participation of peasant and indigenous organizations, to achieve the revalorization of renewable natural resources by means of research that will validate ancestral knowledge related to their use and management, and transformation technology for added value purposes and for bio-commerce. The SERNAP, a decentralized institution under the Vice-ministry of Environment, Biodiversity, Climate Change and Forestry Management and Development (VMA), is the institution in charge of the SNAP’s coordination and operation and responsible for protected areas of national interest, within the framework of its attributions, executes actions to coordinate different sectors involved in protected areas: mining, hydrocarbon fuels and public works, services and housing, tourism, cultures, as well as with
autonomous departmental governments and municipal governments. Issues related to basin and water and sanitation sector are closely linked to environmental and preservation of natural resources aspects to ensure the sustainability of access to drinking water and related services. A critical aspect of this point is the application of environmental regulations related to water and soil pollution and deterioration of natural resources as a result of development activities that do not include the necessary environmental safeguards. For example, the disposal of solid waste, sewage treatment and treatment of water contamination caused by different sources of pollution, are all issues not unresolved in the country’s basins, at urban, peri-urban and rural levels. From the perspective of sector authorities, the Comprehensive Environmental and Water Plan, developed with EU’s support, is a bet on the future that has generated expectations about making progress in the previously described articulation.

### EQ 6

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During the past few years, MMAyA’s initiatives include investments by the State and main cooperation agencies, in particular with respect to strategies related to the sustainable management of water and access to drinking water and basic sanitation, in agreement with the commitments assumed by the country, at national and international level.

1. Bolivia has complied with the fulfillment of the Millennium Development Goals (MDGs), in particular with those related to poverty reduction and basins, and access to drinking water and basic sanitation. This commitments means that by 2015, the country must ensure that 78.5% of the population has access to drinking water and 64% has basic sanitation services. The Bicentennial Agenda stipulates 100% water and basic sanitation coverage in Bolivia.

The commitments of the GoB with respect to W&S are ambitious for sure. Nine main donors contribute approximately US$550M in financial and technical cooperation of the Water and Sanitation sector in Bolivia (2012 AECID’s study), distributed among approximately 60 projects. In spite of the will of donors to harmonize their interventions among them and with the Government (confirmed by different groups and in particular the specific thematic group GRAS), synergies are difficult to achieve because each donor manages separately its projects. During the development of the PASAP, this weakness of the mechanism was recognized, being W&S investments in peri-urban areas made mainly by the AECID (through the IDB) and KFW, following project modalities. The EU was aware that its initiative to harmonize different external contributions in one sole financing mechanism under the government’s leadership was for the moment of the opinion of a minority.

The PNC’s final evaluation (2012) indicated more concurrence of financial resources and participation at sub-national level in investments made, with respect to the GIRH in intervention areas, which is indicative of the advances made in management coordination and the interest and appropriation on the part of local and departmental authorities to work on comprehensive management issues. In general terms, according to the Systematization of the water/basins sub-sector of May 2012, with respect to the analysis of the basin’s sector budget, it is understood that a challenge for the sector and the donor community will be to ensure financing based on outcomes with concrete indicators. Ensuring fulfillment of goals associated to sector financing, and of commitments assumed by sub-national government institutions, taking into consideration institutional operational weaknesses at different institutional levels.

The biodiversity sector and SBS is one of the sectors that depends the most on international cooperation, which was a recurring bottleneck. EU’s entrance through the PACSBIO became a relevant element for this sub-sector, because some of the main donors such as The Netherlands, and others, were leaving. The PACSBIO, within one of its PEF’s indicators, included an indicator related to the increase in the TGN’s contribution to the SERNAP’s budget. In 2012, with EU’s support to the political dialogue, 12 new items were created for Protection Heads with TGN funds (out of a total of 42 new items), expecting the sector by 2014 to have 36 items committed with TGN funds targeted (out of total of 105 necessary items) (PACSBIO’s indicator tracking Matrix, information supplemented during field mission with environmental sector work group). Furthermore, as part of a sustainable financial strategy, the programmed foresaw the increase of the contribution to SBS’ own resources from different sources (SISCO, natural resources management, trust funds, etc.) to SERNAP’s budget. Progress made to this respect was noted at Pilón Lajas and Toro Toro, which were working on complying with processes and procedures established to implement the Payment per Visit system that had to be in operation by 2013. The
I.6.3.3 Evidence of appropriation of successful sustainable practices on the part of beneficiary actors of EU’s assistance; and, evidence of greater demand for public services provided by the MMAyA

The participative construction of the sector Comprehensive Plan is an important advance to continue with the implementation of the comprehensive approach in the management of the environment and natural resources (water in particular); furthermore, it promotes a more coherent sector operation intra and inter-sector articulations at vertical and lateral levels, which have been identified as important pending tasks. If the Plan is implemented important learning may be acquired to feed public policy in an innovative experience. The Basin, W&S and environmental sub-sectors that participated in its development recognize the importance of this instrument to apply in the field and at institutional level, concepts derived from the Mother Earth law, in coherence with the 2025 Agenda. The following are proposed strategic axis:

1. GIRH
2. Basic and environmental sanitation of human settlements
3. Management of environmental functions
4. Institutionalism of sector institutional framework
5. Response to climate change impacts

Axis 4 and 5 are considered to be cross-cutting axis within this strategy.

EU’s support, through sub-sector SBS actions related to the environment and water, has promoted the implementation of policies through investments aimed at the implementation of sustainable practices concerning the management of natural resources, together with the strengthening of capacities to promote social empowerment; in a general sense, national level institutional beneficiaries believe that it has been a good appropriation of this support, and that through social participation and governance mechanisms (in particular in basins) sub-national level actors have been empowered to continue promoting sustainable initiatives and have increased their demand for this type of projects. However, it will be useful to have a more in-depth study that may specify the ways in which social appropriation and institutional anchorage, at local level of interventions, has taken place, given that the technical and financial sustainability of projects at this level continues being a pending task. Suggested information could give greater insight into the exit strategies of these interventions and more operational links with other sectors such as the productive sector, to promote local development as a strategy to be continued in the future.

Within the framework of the thematic line strategy to strengthen CSOs, the EU has promoted, in similar fashion, field projects related to the management of natural resources and protected areas, risk management and CC, which are expected to generate models to transfer to local governments.

I.6.3.4 Existence of a gradual exit strategy or measures to that effect in EU’s interventions

See indicator I.6.3.3.
| EQ 6 | **Sustainable management of natural resources**  
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<td>1.6.3.5</td>
<td>Evidence of the political will on the part of the GoB to follow up on achieved results (existence of technical sustainability strategies based on lessons learned, definition of comprehensive policies and strategies with allocated budgets)</td>
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<td>The sector's national authorities have expressed their availability and expectations with respect to the implementation of the sector Comprehensive Plan (see 1.6.3.3), evidence of institutional appropriation. Thus, it considers important the continuity of EU's support to this sector.</td>
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<tr>
<td>1.6.3.6</td>
<td>Degree of satisfaction of population with sustainable practices promoted with EU's support, and perception of the government's will to provide continuity to these practices and its capacity to maintain and expand achieved outcomes</td>
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<td>Field work included interviews of sector authorities at the institutional level of the central State, TA, involved specialists, CSOs and others; no field visits were made to research the perception of beneficiary populations.</td>
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**EC 6.4:**
EU's support strategy has favored more coordination and exchange at regional level for the comprehensive management of cross-border basins (the Amazon basin in particular) and the preservation of their ecosystems

<table>
<thead>
<tr>
<th>I.6.4.1</th>
<th>Evidence of generation of information and research to improve knowledge of Bolivia's Amazon basin and the region, in coordination with neighboring countries</th>
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<td>Bolivia has bi and tri-national cross-border basins whose management implies a more macro dimension, in which the Foreign Office and the VRHR meet together with other involved institutions. With respect to the PNC’s cross-border basin component, according to the PNC’s final evaluation of 2012, the following specific actions were identified: (i) development of diagnostics and evaluations on the situation of cross-border basins that will serve as inputs to create development actions and basin plans; (ii) provision of professional training for government officials, political decision makers, delegates and local representatives; and (iii) monitoring and systematization of emblematic cases such as the Pilcomayo and Bermejo basins; the Titicaca - Desaguadero - Poopó - Salar de Coipasa endorheic system (TDPS) and the Amazon basin. The PNC generated a systematization and exchange of experiences process concerning the management of cross-border basins that yielded a number of studies and projects, as well as the updating of the &quot;Strategy for the Comprehensive Management of Cross-border Basins&quot; (2008), for which purpose two seminars were organized in 2009 and 2012 with the presence of local and international experts. Based on the updated cross-border basin strategy, three basins were prioritized: Pantanal, TDPS and Amazon. The following step was the development of the Master Plan for the Pantanal basin. Furthermore, the VRHR has coordinated and participated in national and international commissions: Tri-nation Commission of the Pilcomayo river; Bi-nation Autonomous Authority of the Water System of Lake Titicaca (ALT), Bi-nation Commission of the Bermejo and Grande rivers of Tarija, Inter-governmental Coordinating Committee of the Amazonia Cooperation Treaty (OTCA). It is also worth noting field missions to cross-border basins, process to collect a data base of cross-border basin information, the “Atlas Preliminar de Cuencas transfronterizas”, and regulatory analysis and proposals (e.g. Chapter IV related to “Cross-border and underground water and fossils”; Title V of the proposal for Framework Law Project “Water for Life” of July 2012). Another major contribution is the strategy for Basin Master Plans promoted by the VRHR. Currently there is more approximation between the VRHR and the Foreign Office, where the VRHR plays an important role as technical body that contributes management information and instruments, part of an important input for negotiation and decision making processes. According to the VRHR, with respect to the publication of lessons learned from the ATI-ASPNC (2012), the EU has played an important role promoting this issue, given that Outcome 3 of the TAPs of the Financing Agreement specifically mentions that “through the sustainable management of cross-border basins it is possible to consolidate regional integration dynamics as well as the sustainable management of cross-border ecosystems”. Thus, the following studies, projects and relevant activities performed within the framework of cross-border basin component stand out, with special emphasis on the Amazon basin:</td>
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<td>“Propuestas de Estrategias Consensuadas para la Gestión de las Cuencas Transfronterizas en Bolivia – 2011”</td>
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| EQ 6 | **Sustainable management of natural resources**
To what extent has EU's support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation? |
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<td>“Primer y Segundo Seminario Nacional sobre Gestión Integral de Cuencas Transfronterizas”</td>
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<td>“Mapo de actores en Cuencas transfronterizas en GIRH y MIC en Bolivia”</td>
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<td>“Perspectivas del Medio Ambiente en el Sistema Hídrico Titicaca-Desaguadero-Poopó-Salar de Coipasa (TDPS)-GEO Titicaca”</td>
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<td>“Balance Hídrico Superficial de Bolivia”</td>
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<td>“Estudio de morfología fluvial y modelación hidrológica/hidráulica de las Cuencas del trópico de Cochabamba”</td>
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<td>Proyecto: “Manejo Integral de la Cuenca Mauri”</td>
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<td>Proyecto: “Manejo Integral de la Cuenca Arroyo Bahía”</td>
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<td>Proyecto: “Apoyo a la gestión integrada y participativa del agua en el sistema hídrico Titicaca – Desaguadero – Poopó – Salar de Coipasa (TDPS)”</td>
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<td>“Programa para la Gestión Sostenible de los Recursos Hídricos de la Cuenca del Plata”</td>
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<td>Proyecto: “Gestión Integrada y Sostenida de los Recursos Hídricos Transfronterizos en la Cuenca Amazónica”</td>
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<td>“Sistematización de Información de las Cuencas Transfronterizas: Pilcomayo y Lauca”</td>
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1.6.4.2 Evidence of the implementation of cooperation modalities between countries sharing the Amazon basin with Bolivia, favoring the exchange of information and knowledge to design, finance and execute plans for the comprehensive management of water resources (GIRH)

In spite of the inputs generated by the TA-EU with relation to cross-border basins (See 1.6.4.1), it is considered that there has been no effect on regional integration dynamics, in particular in relation to the Amazon basin, where EU’s support placed emphasis on. It is believed that it would have been important to perform a diagnosis of the institutional capacities of partners to, address an issue with complex problems, in a geographical area of considerable size, where decision making takes place through the Foreign Office, being the VRH more of an arm that provides technical inputs. The second phase of the basin policy includes cross-border basins as part of cross-cutting approaches and not as a specific component, demonstrating the lesser importance of this issue in sector policy.

1.6.4.3 Evidence of the search and scope, complementarity and synergies between EU interventions at national and sub-regional level during programming and execution phase

As part of EU’s support to cross-border projects in particular, through the CESCAN I and II, bi-national Bolivia-Peru projects have been implemented (Lake Titicaca), where the issue concerning water resources was addressed in coordination with ALT. Lessons learned from this initiative show finance-administrative difficulties in the project’s management and continuous turnover of Bolivian officials, which did contribute to the policy’s stability; furthermore, the Foreign Office’s interference over ALT was pointed out, and it became evident the need to have joint strategies that follow standard procedures in order to have clear game rules and achieve effective coordination between involved countries. There are positive experiences between Ecuador and Peru and Peru and Colombia, which could be shared (Information collected from field mission, EUD Peru videoconference).

With respect to regional integration, it also has some activities that do not manage to prosper, such as the case of ANDES Clima, within which framework a strategy was developed related to climate change issues in high-mountain and paramo ecosystems, with the participation of four countries, which at the end questioned the proposal because it did not reflect the political necessities of these four countries (Information collected from field mission, EUD Peru videoconference). It appears that more coordination of regional initiatives promoted by the EU with EUDs in countries (currently taking place at Foreign Offices’ level) is necessary to clearly establish objectives that can be realized in the field with concrete and common goals. For this purpose, it is necessary more physical presence of consultants in charge of formulating strategies in involved countries (Information collected from field mission, EUD Bolivia interviews).
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**EC 6.5:**

The application of environmental management, the provision and efficient use of natural resources and the participation of involved actors (not only State institutions) contribute to the sustainability of achieved goals.

1.6.5.1 Evidence of efficient water use (including the reuse of waste waters) and of measures to reduce losses in water's distribution network in EU’s intervention areas

In spite of achievements made with respect to increasing W&S coverage (See indicator I.6.1.1), it has been identified that the establishment of efficient service management is a challenge to the sector. (Information collected from field mission, environmental work group, TA-EU). Within GIRH-MIC projects implemented by the PNC, measures are included concerning the efficient use of water, such as irrigation by aspersion, better distribution of water for irrigation and human consumption, water harvest by means of reservoirs, protection of springs and water transportation through pipes for better use, among other alternatives. Furthermore, the Poopó Program has included as part of its actions, projects and works aimed at improving water’s management in the basin. Nevertheless, the technical and financial sustainability of the maintenance and operation of these projects are still pending tasks.

1.6.5.2 Evidence of effective disposal of solid waste and domestic and industrial sewage in EU's intervention area

Aspects related to the efficient management of the environment are still pending challenges in this sector. This is related, among other factors, with the fact that up to now, there has been no proper articulation between sub-sectors part of the MMAyA, in particular with environment, which is in charge of environmental management and quality and shows strong deficiencies concerning the application of current environmental regulations regarding the control and overseeing of the application of mitigation measures to lessen the degradation of environmental quality (water, soil and biodiversity in particular). Furthermore, as part of the Poopó Program, projects were executed related to sanitations fill-ins and dikes as mitigation measures for mining pollution, highly valued by the Program's technical staff who state that these were the initiatives with the most acceptance on the part of local beneficiaries, together with drinking water works. However, there are still many doubts with respect to their sustainability for service management and operation.

1.6.5.3 Evidence of monitoring of water quality and biodiversity preservation in EU’s intervention areas

The operation of monitoring systems (with respect to water's quality, preservation of ecosystems climate change) and their institutional framework to feed planning, are pending challenges to the sector in spite of performed efforts (See indicator I.6.2.4).

1.6.5.4 Degree of application of environmental education programs aimed at children and young people, community representatives, teachers and other actors in EU’s intervention areas

In spite of the following advances made, in general terms, more links should be promoted between the environmental sector and the education sector to promote information/education strategies. According to the PNC's final evaluation of 2012, the environmental education issue is still incipient and just started with an environmental education program in strategic partnership with SENASBA. The projection for 2013 was to insert this issue in the capacity development component, through the production of radio material and spots at municipal and departmental levels. Furthermore, in coordination with the Ministry of Education and Health (water Education Group), it has been planned to include the environmental issue with a GIRH/MIC approach in school curricula. As part of its training and awareness raising actions, the Poopó Program included the environmental education issue at two levels: 1) at the level of communitarian projects and development (DESCOM); and 2) at the level of education units through the involvement of education district administrations and teachers. In the first level, activities were started related to the collection of demands concerning sanitation and solid waste; afterwards, the viability of these demands was analyzed for their subsequent implementation. In the second level, basically, education material was prepared and disseminated, and the monitoring of acquired knowledge was monitored. The Program did not encompass education activities with communal representatives and local authorities, although as part of capacity strengthening, this work was performed at environmental units of the 6 municipalities part of the Program.
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To what extent has EU’s support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation?

1.6.5.5  Degree of development and application of social participation mechanisms of actors involved in the management of natural resources in EU’s intervention areas E

Within the framework of the EU’s thematic lines, the capacity of CSOs has been strengthened (local and international NGOs, local authorities) at financial, organizational and technical levels, to address issues dealing with the management of natural resources and protected areas, under the local economic development umbrella. Some evidence of this strengthening refers to the participation in majority fashion of Bolivian NGOs and local authorities, with respect to international NGOs (currently this participation is 80-90%), through project proposals that have improved their technical quality in time, given that previously, the resources of tenders aimed at local authorities were reverted because of these not being ready for the calls for tenders. Furthermore, it is important to point out that through these projects the EU has worked in geographical areas not necessarily covered by SBS actions and with local intervention beneficiaries, part of fruitful relation that makes possible better understanding of issues and the relation of different actors in the field. It is considered that these lessons learned could very well feedback protected areas and vice versa; to this respect, the EU is organizing the implementation of productive and alternative development projects in some protected areas of common interest. (Information collected from field mission, CSO Work Group, interviews of EUD program officers). Furthermore, advances have been made with respect to the complementarity of EU’s cooperation in Bolivia through ECHO, which through its thematic lines has included CC and disaster risk management, promoting the participation of ECHO’s humanitarian partners.

Basin Management Organisms (OGC) are social participation mechanisms to improve water and basin’s management. The PNC has placed strong emphasis on its strengthening during the Plan’s implementation process. There is a risk that structures maintained exclusively by the MIC plan will dissociate at the conclusion of programmed economic support. Therefore, one of the main functions of Basin Management Organisms (OGCs) is to give continuity to actions promoted by investment projects, expected to be inserted in the future in basin management platforms at local and sub-national levels. It is an important element for sustainability and the institutional framework. Furthermore, it is expected for Basin Management Organisms (OGC) to assume a self-monitoring function (responsibility with goal fulfillment) during the implementation of MIC/GIRH projects. An important role performed by Basin Management Organisms is their operation as nexus between the municipalities and grassroots groups; in this sense, they facilitate and channel communication between both parties. The municipality has support to socialize fiscal activities and communities have representatives that transmit their necessities directly to authorities. In this fashion, in addition, they also cancel the demand for resources. According to the PNC’s monitoring report, as of June 2013, there are 33 Basin Management Organisms OGC conformed by trained actors and leaders. This indicator exceeded the PNC’s expectation because its progress reached 132%. The PNC’s final evaluation of 2012 concludes that in many cases Basin Management Organisms are organisms created to accompany the execution of GIRH/MIC investment projects and, in general terms, represent the interests of a number, but not all, basin sectors. Therefore, there is a risk that these projects will create divisions within and between communities. Advances made in the consolidation of Basin Management Organisms, with respect to their real operation an sustainability vary quiet a lot because the context of biophysical, socio-economic and basin’s social organizational structures is quiet heterogeneous in Bolivia. In this sense, it is not simple to make generalizations about these social participation mechanisms; however, one of the conclusions reached by the aforementioned evaluations, supported by cases studied during the field mission, is that the success probabilities of Basin Management Organisms are increased if these are created within existing organizational structures and represent all basin sectors. Furthermore, it can be asserted that an indicator of the success of a Basin Management Organism is its capacity to include groups that previously had little representativeness in local organisms, operating as an organizational innovation arena within which, experimentation with new negotiation, planning and accountability modalities takes place at basin level.

Management committees as social participation mechanisms in protected areas, have plenty of information related to the test of innovative mechanisms for the management of natural resources in Bolivia. In 2006, the process for the formulation of the new SNAP’s management “Our Agenda for Change”, worked on and agreed with social and governmental institutions in charge, defines shared management as a political model for the management of protected areas. Based on the accumulated experience of management committees and lessons learned, it provides a broader space for decision-making (not just participation on the part of social actors in protected areas) in agreement with the State. This type of management represents a qualitative jump because it
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**Sustainable management of natural resources**

To what extent has EU's support (including budget support) contributed, and contributes to improving access to drinking water and basic sanitation, comprehensive management of water resources and biodiversity preservation?

is supported by decision-making in equal terms among social actor with land rights and the State. After a long highly-participative process, with the involvement of head social organizations, during recent years, the proposal of a Supreme Decree for shared management was submitted with much expectation. Sensibly, this proposal is paralyzed and currently it has not been formally ratified, although in many protected areas is being implemented de facto. PACSBIO includes an indicator referring to the development and implementation of instruments and structures that strengthen social participation and decision making within the framework of shared management. To advance with respect to this indicator, the Program has foreseen making a diagnosis of the application of shared management, and for this purpose, in 2012, a technical team was being conform by the Confederación Sindical Única de Trabajadores Campesinos de Bolivia (CSUTCB), Confederación Sindical de Comunidades Interculturales de Bolivia (CSCIB), Confederación Nacional de Mujeres Campesinas Indígenas Originarias de Bolivia Bartolina Sisa (CNMCTOB - BS), VMA and the SERNAP. Furthermore, among progress made in this indicator, the baselines of 3 current management plans (Isiboro Sécure, San Matías and Pilón Lajas) are included.

1.6.5.6 Key national counterparts at local, regional and/or national level (including EU’s staff (EC and Member States’) and other donors) confirm the effectiveness of the support and value the possibility for it to be sustainable in time

Local national-level sector authorities together with other actors consulted during the field mission, agree that the use of EU’s support to this sector through investments, has contributed to the implementation of public policies and the strengthening of institutional capacities, although there is no evidence of the effects of these policies at the level of beneficiary populations because neither studies nor evaluations of this nature have yet been performed. The sector points out: the openness and flexibility of SBS actions as an appropriate modality for environmental policies; the political dialogue promoted by the EU; the establishment of management for results to work in mores strategic and organized fashion, and the development of the Comprehensive Sector Plan for which the EU was pioneer (pertinent strategy of institutional framework that promotes the sustainability of the comprehensive approach in sector policies). Furthermore, its considered that EU’s TA, in spite of the fact that generated inputs are being gradually absorbed, and that in some cases have fed public policies through strategies and instruments, it has not fully meshed with this sector’s necessities. To this respect, the sector still identifies necessities related to TA and shared management that have to be taken care of to continue its strengthening.
### EQ 7 Good Governance principles

**To what extent has EU’s support strategy contributed, and contributes to the construction and strengthening of an institutional framework consistent with good governance principles?**

**DAC evaluation criteria:** Relevance, effectiveness, impact and sustainability  
**Additional key aspects:** Coherence, Declaration of Paris  
**Cross-cutting issues:** Vulnerable groups (women, indigenous peoples, etc.), human rights

#### Rationale:

The country has ratified most of Human Rights International Agreements, conventions and protocols. However, there are a number of concerns about a number of areas, related mostly to poverty, racial and gender discrimination and access to basic services (health, education, etc.) and marginalization. Complex conflicts of social, economic, geographical, ethnic and/or cultural nature are repeated, and there is a gap, on one hand, between the indigenous people in the majority, and the white and mestizo population, on the other. Child labor, mining industry work conditions, human trafficking, physical and psychological child abuse, particularly in remote areas, are serious problems.

The incorporation of the rights of most vulnerable groups has been important for EU’s operations in Bolivia, and their integration has been promoted in all design and execution of all phases of programmed actions. There are other interventions that at regional and thematic level (EUROsociAL y URBAL) also aim at raising awareness at political level of the importance of social cohesion and the improvement of the capacities of public authorities to formulate and apply policies that are effective with respect to social inclusion and cohesion.

This question will evaluate the extent to which EU’s assistance, in particular through interventions selected from activity sectors addressed in EQ 3 through 6, has contributed to the improvement of the State's governance, following the principles of the European Consensus on Development (ECD), as an example of good governance by the State in guaranteeing social cohesion.

#### Evaluation Criteria | Indicators
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**EC 7.1:** EU’s support strategy reflects national necessities and priorities following good governance principles over time, and takes into account the general objectives of the EU in the region  | I.7.1.1 EU’s programming (CSP/NIP), political dialogue and cooperation documents reflect and analyze the national priorities of the justice sector as described in successive National Development Plans (between 2007 and 2013) and other Bolivian policy programming documents, as well as in independent studies or analysis  
I.7.1.2 Degree of participation on the part of government institutions in the process of identification of priorities and redefinition of interventions  
I.7.1.3 Main interested parties at local, regional and/or national level (key State actors and non-state actors) confirm the consistency and capacity of EU’s response to national priorities

**EC 7.2:** EU’s support strategy contributes to promoting respect for the human rights of most vulnerable populations  | I.7.2.1 Existence of political dialogue between the EU and the government concerning human rights  
For the following cases, it is understood that indicators are promoted as a result (direct or indirect) of EU’s support  
I.7.2.2 Changes in the recognition of and access to rights to information, labor rights (organization, contracting, training, health benefits, etc.) and access to justice  
I.7.2.3 Changes in the recognition of and access to the right to equal opportunities for women and ethnic groups  
I.7.2.4 Main interested parties at local, regional and/or national level (key State actors and non-state actors) and EU’s staff (EC and Member States) and other donors, confirm that EU’s support and in particular, cooperation concerning human rights with the national government has contributed to the promotion of human rights

**EC 7.3:** The country is willing and positioned to maintain its capacity to promote the rule of law and human rights respect  | I.7.3.1 Existence of a gradual exit strategy or measures to that effect on part of the EU  
I.7.3.2 Effective participation space provided by the GoB to non-state actors to define national policies and strategies and their implementation  
I.7.3.3 Current and future public financing and investment on human rights
Good Governance principles

To what extent has EU’s support strategy contributed, and contributes to the construction and strengthening of an institutional framework consistent with good governance principles?

after the conclusion of foreign assistance

I.7.3.4 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) and other donors) confirm the political will on part of the State and its capacity to maintain and further develop (potential) benefits, in part generated with EU’s assistance

Information sources:
- National and international statistics (National Institute of Statistics, Institute of Human Development, CEPAL, Inter-American Commission on Human Rights of the OAS, Universities, etc.)
- GoB sector and global documents
- Documents from regional and/or local authorities of EU’s intervention areas
- CE’s CSP and NIP for the 2007-2013 period
- EUD’s AMPs
- EUD’s EAMR
- Inventory of EU’s financial commitments (bilateral level under programmable and non-programmable assistance)
- Financing agreements, action fiches, monitoring reports evaluations, etc.
- Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level
- Additional external studies and reports
- Field missions

Methods:
- Documentary analysis
- Analysis of selected interventions
- Interview analysis
- Inventory analysis

Between 2007 and 2013, EC’s strategy in Bolivia contributed to supporting change processes related to structural aspects at the root of the conflict lived during the first years of the new century, such as: a) extremely fragmented and confronted civil society; b) persistent exclusion, poverty and inequality affecting the majority of the population; c) serious institutional weakness and resulting lack of instruments to face the crisis; by developing specific instruments addressed the structural causes of the conflict and promoting good governance and the reinforcement of democracy in all cooperation activities.

Many of the aforementioned aspects began to change generating a substantial improvement of the situation starting in 2006. The most important achievements of EC’s contribution to this process have been the creation of dialogue spaces between different actors present in the territory; strengthening of networks and civil society organizations; promotion of the creation of partnerships between public and private actors.

Cooperation strategies are appropriate and coherent with policies defined by the government of Bolivia with respect to democracy and good governance. Within this framework, EC’s strategies were developed through consultations with a number of public and private institutions and thus, reflect the priorities established by the national government concerning the construction of more democratic environments.

EU’s cooperation has contributed to the legal reform process that started with the constitutional reform of 2009, which defines particular changes to be made in the judicial system. The most important ones are the recognition of “legal pluralism”, valuing again ingenious legal systems, as well as the process to select judges by popular vote. The constitution confers to human rights an additional 108 explicit rights (including the right to water, health, social security, etc.).

EC 7.1:
EU’s support strategy reflects national necessities and priorities following good governance principles over time, and takes into account the general objectives of the EU in the region

EC’s Cooperation Strategy is inscribed within guidelines and agreements that surfaced in the international arena of development cooperation. In this process, beyond the outcomes evaluated concerning the application of the commitments assumed by the EC and the government of Bolivia, it is worth making reference to the characteristics of the path being followed by this process in the recognition of civil society as development actor. The EC in its 2007-2013 Country Strategy Paper describes Bolivian civil society as a rich conglomerate of diverse
expressions and experiences that historically have been at the center of political, economic and social changes in Bolivia. This background legitimizes EC’s role as a development actor, and promotes the joint construction of an institutional framework that will make possible representing the rights of the population, to consolidate formal advocacy channels in the design of public policies and the constructive evaluation of the State’s actions.

EUD’s assistance mechanisms consist of outputs that can be achieved through the thematic axis of the Country Program, its diplomatic work and political dialogue and of thematic lines (financing) for Non-State Actors. There are no projects or programs included in the 2007-2014 Country Program that directly intervene on good governance, civil society and human rights issues.

This indicator is included because of the assertion made by the 2007-20 CSP that EC’s cooperation “must contribute to the general objective of developing and consolidating democracy and the rule of law, and respect for human rights and fundamental freedoms”. Although it is true that the CSP does not include specific programs for this issue; with respect to the formulation and implementation of concrete projects and programs developed within this thematic area, the aforementioned document mentions Democracy and Good Governance as cross-cutting issues. A successful implementation of these cross-cutting issues must take into account national priorities related to this thematic.

Bolivia’s 2006-2011 National Development Plan Bolivia (which was in force at the time of the formulation of the 2007-13 EU’s CSP and its NIPs) refers exclusively to governance, rule of law and democracy in its chapter dedicated to the Justice sector. The proposal to change the Justice sector is aimed at developing a plural participative, transparent, essentially restorative judicial system; establishing a culture of inclusion, equality and respect for the other, taking into consideration the specific necessities and demands of vulnerable populations. It should reassess cultural identities within the framework of a cosmovision free power asymmetries between men and women.

This Plan proposes the following policies:

1. Nationalization of justice de-colonizing this right
2. Institutionalization of the full force of communitarian justice
3. Eradication of institutionalized corruption, implementing administrative, judicial and legislative measures
4. Reduction of socio-economic, political and cultural gaps related to gender, age and disabled people.
5. Promotion of the full exercise of people’s fundamental rights from a multicultural perspective

The CSP has a thematic connection (and objective agreement) in policies 3, 4 and 5, administrative transparency, reduction of social inequalities and human rights.

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39 Transformation of the judicial system, taking into account the country’s economic, social, political and cultural reality and based on equality, equity, tolerance, respect of the other, social participation and no discrimination principles and values
40 “Making compatible Orignary and Formal Judicial systems”, promoting compatibility, complementarity and coordination between the exercise of Ordinary Justice and Communitarian Justice; framed within a new State policy implemented through an Indigenous, Orignary and Peasant Judicial system, recognized and endorsed within a new pluri-national and communitarian judicial system
41 Implementation of social participation and control to make public management and public official management transparent, becoming instruments through which the organized population participates and controls the actions of the State’s administration, supported by strategic partnerships with indigenous and social movements; framed within zero-tolerance for corruption and impunity, full transparency in the management of resources and full force of pertinent social control mechanisms.
42 Promotion of the expansion of labor insertion and strengthening of the active participation of women, age groups and disabled people.
43 Construction of a multicultural perspective to Human and Fundamental Individual Rights, prioritizing social, political, economic and cultural rights, which acquire first-grade importance in public policies; re-conceptualizing the Judicial field based on individual and collective rights and the country’s current reality; using a judicial system that recognizes justice as an inclusive and solidarity-based way of living together that promotes the common good, more benefits for the people and it’s extreme importance to the effective exercise of rights by rights holders.
The 2012-2015 National Development Plan continues along these same action lines focused on “A United Homeland with a new Constitution; consolidation of the construction of the Rule of law Unitary State in which we are a communitarian, free, independent, sovereign, State with fundamental rights for everyone”. The existence of a direct link between the CSP and the Justice sector may be appreciated through EC cooperation in the fight against the production of illegal drugs. With respect to this issue, GoB’s policy is based on the social control concept, included in the 2006 PND as a new central concept of a reformed judicial system (element of the previously mentioned fourth pillar).

Addition EUD Bolivia’s documents referring to political dialogue mention only in indirect fashion the judicial thematic.

Since the change of government in 2006, the reform of the judicial system was one of the thematics about which there was little clarity, being the reason why the planning of sector activities could not be very detailed (in 2007). The advances made by the GoB in the definition of policies made possible in the recent past, to deepen European cooperation in the judicial sector. However, this cooperation is developed through EU Member States and not the EC. Thus, in march 2014, the government of Bolivia and judicial institutions signed a Memorandum of Understanding with the European Judicial Group and the United Nations, with the key objective of organizing a sector dialogue and coordination group within the judicial area of this Andean country. This sector group will make possible developing along 2014 an institutional support proposal for the Judicial sector and will pave the way for future agreements related to judicial collaboration.

International cooperation, led by the European Union, its Member States, Switzerland and the United Nations System, have expressed their willingness to support processes related to the consolidation of an independent and respectful of international rules and standards Human Rights judicial system.

This document consolidates the cooperation between the European Union and main Bolivian judicial institutions, already promoted in 2013 by the EU’s “Strengthening of the Independence of the Judicial System in Bolivia” program.

This program was executed by the Spanish Cooperation through the Spanish Agency for International Development Cooperation (AECID) and the UN Office of the High Commissioner for Human Rights (OHCHR). All aforementioned activities are correctly framed within the EU’s Human Rights Strategy, adopted by EU’s Mission Heads in December, 2011, which established the priorities of the work performed by the EU and Member States present in Bolivia: 1) strengthening of the rule of law and justice administration; 2) protection of the rights of indigenous peoples; and 3) work to prevent and combat violence against women, girls and boys. As a key cross-cutting human rights concern that the EU identifies as deficient administration of justice and lack of access to justice, in particular on the part of vulnerable groups (women, indigenous people, rural population, children, etc.).

I.7.1.2 Degree of participation on the part of government institutions in the process of identification of priorities and redefinition of interventions

The activities of the CEP’s CP in Bolivia with respect to Good Governance are mainly executed through projects or budgets support actions. All thematic axis: employment, MSMEs and income generation opportunities, food security, water resources and fight against illegal drug production, include good governance elements such as citizen participation, accountability or institutional transparency.

The degree of participation of State institutions in the identification and definition of these modalities is high. In programs implemented under the budget support modality, the Government participates in the definition of all programmed outcomes and their corresponding indicators and furthermore, the project thematic requires the Government’s approval. In this sense, participation appears to be high, taking into consideration that the EUD showed high flexibility modifying projects already under implementation (e.g. with respect to the scope of projects funded through EMPLEOMIN, making possible more citizen participation), or with respect to changes

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44 Only mentioned as reference since the CSP and its two NIPS are fully based on the 2006 PND. The 2012 NIP was formulated after the CSP and its NIPS.

45 At bi-lateral level, political dialogue is also based on high-level meetings held to address main issues concerning relations with Bolivia, such as democracy and the rule of law, poverty eradication, regional integration, fight against drug trafficking, migration, development cooperation, etc. (political dialogue chapter of “The EU and its relations with Bolivia, DCE La Paz, March, 2009”).
EQ 7  **Good Governance principles**  
To what extent has EU’s support strategy contributed, and contributes to the construction and strengthening of an institutional framework consistent with good governance principles?

made to the PRODUCE BOLIVIA project (making possible the change of the counterpart institution (from the Ministry of Foreign relations to the Ministry of Productive Development and Plural Economy, which has a direct relation with producers making possible more participation on the part of final beneficiaries).

The answers to the rest of this report’s EQs point out to two outcomes that indirectly favor the exercise of good governance, the operation of civil society and fulfillment of human rights. These EQs describe the improvement of institutional capacities in productive development, food security and management of water and other natural resources sectors. This better institutional operation, together with the correct definition and implementation of sector policies and the additional financial support provided by the EUD and other donors, made possible achieving goals (e.g. income increase, poverty reduction, increases food security), which by themselves facilitate, based on a State’s action, the improvement of good governance and advancing in the fulfillment of human rights (mainly economic and social).

Furthermore, the answers to the remaining EQs describe a high degree of participation on the part of non-state actors in decision-making processes with respect to policies, programs and projects, which already takes place but not in exhaustive fashion.

1.7.1.3  Main interested parties at local, regional and/or national level (key State actors and non-state actors) confirm the consistency and capacity of EU’s response to national priorities

Main actors working on these thematics recognize EUD’s contribution; however, they point out that it could have had a broader scope if it had included a thematic axis related to good governance, civil society and human rights in the Country Program. However, taking into consideration that these issues are worked in cross-cutting fashion by the Country Program and through the NSA thematic budget line (in addition to ECHO and DIPECHO regional activities in Bolivia), the EUD’s capacities and consistency of activities are recognized. More visible outcomes (confirming EUD’s capacities and consistency of activities) are observed in the visible and substantial institutional strengthening of local civil society organizations (CSOs) that received support within the framework the NSA thematic lines.

ECHO and DIPECHO’s work in the country, centered on humanitarian aid, also makes an important contribution to the strengthening of civil society (counterpart in many projects) and improvement of intervention policies to be better prepared for disasters and be able to provide a better post-disaster response. Above all, during the 2007-2013 period Bolivia benefitted over proportionately from these regional funds (compared to the 8 other countries in the region that received resources). The concentration of resources in Bolivia is explained by ECHO precisely through the good outcomes and cooperation existing with this country.
EC 7.2: EU’s support strategy contributes to promoting respect for the human rights of most vulnerable populations

I.7.2.1 Existence of political dialogue between the EU and the government concerning human rights

In October, 2003, the Political dialogue and Cooperation Agreement between the EC and its State Members and the CAN was signed being in force up to the present. These agreement establishes permanent political dialogue between all parties (EC and CAN, but also bilaterally between Member States) on issues related to the rule of law, human rights, good governance (regulatory work and institutional support), democracy (also electoral processes), rights of indigenous peoples, etc. 46

With respect to specific political dialogue with the government of Bolivia, the EC states that it has allocated to Bolivia the largest cooperation budget of all Latin-American countries because it recognizes the important challenges facing the country: poverty reduction and increase of social cohesion, working on the main thematic axis of the CP (employment, drugs, natural resources) and cross-cutting issues (human rights, good governance, gender).

A more detailed answer to understand how frequent and how deep (and with which actors and specific outcomes) this permanent dialogue between 2007 and 2013 was, requires the execution of this evaluation’s field mission.

A visible outcome of the current dialogue is EU’s support to formal democratic processes, such as elections and constitutional debate (2008). The EU has provided critical support to democracy in Bolivia, executing assistance and election observation tasks and accompanying the national dialogue process that culminated with the Constitution of 2009. Part of this support was implemented through the Stability Instrument. In 2010, Bolivia was the only Latin-American country selected as “pilot country for democracy” and as practical case for the “Conclusions of the Council with respect to Support to Democracy- Toward more coherence and efficiency”, 47 as well as for the action program adopted on November 18, 2009.

With respect to Bolivia’s complaints to the UN High Commissioner for Human Rights, the scene during the past few years has been of much tranquility. Among countries raising complaints before this institution, Bolivia has the smallest portfolio with 12 to 15 cases per year (e.g. compared to 400 cases for Mexico). The institution with the most complaints is the judicial system with respect to the work of district attorneys and judges. Independently of these complaints, representatives of the High Commissioner who visited Bolivia in September 2014 were very much concerned with gender-related violence in the country. In spite of having a better legal framework for this problem, its correct implementation is being delayed.

I.7.2.2 Changes in the recognition of and access to rights to information, labor rights (organization, contracting, training, health benefits, etc.) and access to justice

Regulatory changes with respect to social, citizen and human rights are many. From the documentation reviewed it is not possible to clearly determine EC’s contribution to these changes because these take place in indirect fashion (political dialogue), or through thematic projects and programs (decent employment, food security, access to water and environment (basin management). Within this array of activities, political dialogue indirectly contributes to the debate about regulations and projects and programs, implementation of activities and creation of structures and institutional capacities for their compliance.

The new Constitution of Bolivia, in force since the beginning of 2009, is based on the concept of service access by right. The expansion of existing services (e.g. primary health coverage), or the creation of new initiatives (e.g. the creation of a human trafficking law and its corresponding unit at the Ministry of Justice, following political

46 Social rights, child protection, intellectual rights (author) and property rights (list in this foot note is not exhaustive).
47 The Council concludes that democratic and participative governance based on popular will constitute the best way to guarantee the right of men and women to live their life and raise their children with dignity and free of hunger and the fear of violence, oppression or injustice. As recognized by the Universal Declaration on Human Rights, everyone has the right to participate in his/her government, directly or through freely elected representatives. Democracy is inexorably tied to the full respect of human rights, among which we find gender equality.

Furthermore, the Council concluded that the EU can perform an important role helping States and civil society, in particular human rights advocates and activists in favor of democracy who aspire for more freedom, equality, justice and prosperity. For this purpose, the EU relies on the effective application of EU’s guidelines concerning human rights and in particular, on EU guidelines concerning human rights defenders.
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dialogue lines, in which the EU also participates, concerning the rights of migrant people) generate de facto recognition and facilitate access to corresponding services.

In addition to EUD’s direct cooperation with government institutions, the EU finances activities through third parties (NGOs, civil society, foundations, etc.) in the areas of health, human rights, local economic development, environment and food security (approximately a total of 50 projects).

**Human Rights**

CSP’s direct activities and EU’s regional projects do not intervene in specific activities related to advances or setbacks in the specific fulfillment of the following Human Rights. However, it is important for this evaluation to point out this trend because they constitute the environment in which indirect support generated by the implementation of the CSP to fulfill Human Rights, can have major or minor effects (e.g. through increased food security).

More specifically, in the area of human rights, Supreme Decree 29851, dated December 10, 2008, establishes the 2009-2013 “National Human Rights Action Plan: Bolivia Dignified to Live Well”, which is the State’s most important document to promote Human Rights. Based on information provided by the Ministry of Education and the Ministry of Foreign Relations, the EU has concluded the development of the Human Rights Education Plan expected to be approved in upcoming months. Furthermore, Education Law Avelino Sihnani – Elizardo Pérez and Law nº 070, dated December 20, 2010, include the enforcement of human rights in throughout the entire national education system.

Similarly, actions are being executed by Bolivia’s Police Department Directorate of Human Rights to train its officials in Human Rights, in particular through the training of instructors, having become a national level network.

The Armed Forces have a Directorate of Human Rights and International Humanitarian Law, and with similar directorates in each one of the three forces is preparing a strategy to promote human rights within the institutions.

There are no known measures adopted since 2012 aimed at judges, only those promoted by civil society.

As will be observed, important progress has been made with respect to the promulgation of public regulations and policies to promote the human rights of different population sectors, but all their effects have not been noticed yet because of the recent adoption of mentioned regulations and policies.

With respect to the execution of the 2009-2013 “National Human Rights Action Plan: Bolivia Dignified to Live Well”, although the monitoring report establishes that out of 525 programmed activities 229 had been executed, 42% progress made in three years. According to a number of organizations, the increase in social conflicts has created the impression that there has been no progress made with respect to the exercise of human rights because more confrontation events have been visible and in some cases, policy intervention and the excessive use of force have contributed to this perception.

I.7.2.3 Changes in the recognition of and access to the right to equal opportunities for women and ethnic groups

The equal opportunities right for women is a constitutional principle in Bolivia. In policy definition and implementation, line ministries focus their actives on having more women included in beneficiary groups. The EU supports these activities through its projects and programs (e.g. expansion of access to credit for women’s MSMEs through the PAMEFF, special attention paid to women MSMEs through PRODUCE BOLIVIA, or the promotion of women employment through Urb-AL). With respect to the recognition or materialization of the rights of ethnic groups, changes have taken place with respect to additional thematic areas (e.g. recognition of originary justice for autonomies of originary peoples), which complement the higher recognition of rights (by regulations and de facto, through service access) mentioned with respect to gender equality.

With respect to the rights of ethnic groups, EU’s support work (bilateral and regional) takes place more through cooperation projects with civil; for example, the project to Implement the Right to Previous Consultation as a tool to develop consensus between the State and Originary Indigenous Communities, which made possible the creation of dialogue spaces between the State and communities, and trained a number of indigenous organizations to use dialogue, negotiation, interest conciliation tools in their dialogue with the State (conciliating.

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48 The database of the Fundación UNIR Bolivia registered more than 1300 social conflicts in Bolivia between January and December 2011.
EQ 7

**Good Governance principles**

To what extent has EU's support strategy contributed, and contributes to the construction and strengthening of an institutional framework consistent with good governance principles?

**1.7.2.4** Main interested parties at local, regional and/or national level (key State actors and non-state actors) and EU's staff (EC and Member States) and other donors, confirm that EU's support and in particular, cooperation concerning human rights with the national government has contributed to the promotion of human rights.

In general terms, the EC, in its strategic documents, places strong emphasis on the strengthening of civil society and its participation in Bolivia. While a significant number of different interventions have been financed by the EC in this area, this evaluation poses the hypothesis that this support has taken place lacking a focused approach and that interventions do not take advantage from each other. According to information reviewed by the EU, within the framework of the 2007-2013 CP 20 projects concerning human rights were implemented through civil society organizations with for a total of approximately 3.8M€. This evaluation did not find among documentation available for this evaluation, a strategic planning document revealing the type of activity to be supported in Bolivia and for what specific purposes. Many activities are financed trough EU's general or regional frameworks (e.g. open call for tenders of the European Instrument for Human Rights (EIDHR)), reason why there may be incomplete information on the complementarity of civil society activities with the CP. If a lack of strategic perspective is confirmed with respect to decision making in support of civil society human rights issues and coordination with CP activities, EU's contribution may have been provided at sub-optimal effectiveness levels. A field mission is required to collect more information.

**EC 7.3:**

The country is willing and is positioned to maintain its capacity to promote the rule of law and human rights respect after the conclusion of foreign assistance.

Although between 2007 and 2013, extraordinary efforts were made in the field of social investments and financial transfers to specific groups and a vigorous expansion of the participation of social leaders in the formal political arena took place, the High Commissioner for Human Rights and the Ombudsman, notice a number of deficiencies to be corrected concerning the full exercise of human rights, among which the most important ones are: the Government and the Plurinational Legislative Assembly should their efforts to adopt the framework Bill for the general application of the indigenous peoples’ right to consultation, developed by the Ministry of Government within the framework of international standards; and that meanwhile, this right should be applied even in the absence of specific regulations to this respect; the Ministry of Hydrocarbon Fuels and Energy should evaluate its practice concerning the organization of consultations to introduce modifications that guaranteed to be performed in accordance with relevant international regulations; pertinent authorities should evaluate the results of the consultation held in the Isiboro Sécure Indigenous Territory and National Park (TIPNIS) to redirect dialogue processes taking into account all Territory communities and the search for agreement as stipulated in Sentence N.º 300/2011 the Plurinational Constitutional Court; the Government should implement in comprehensive fashion the Policy of the Plurinational State of Bolivia against Racism and all types of Discrimination (2012-2015 Action Plan), allocating the corresponding resources and increasing them for the operation of the National Committee in charge of supervising the Action Plan; national, departmental and municipalities should take without delay all necessary measures to implement Comprehensive Law N.º 348 to Guarantee Women a Life Free of Violence, including the allocation of the necessary resources to create specialized courts and prosecutor offices, as well for shelters for violence victims; the Public Ministry and the Judicial power should performed prompt and impartial investigations and punish those responsible for discrimination and violence against women; the Judicial body, Public Ministry and the Plurinational Constitutional Court should define institutional policies with a gender approach, aimed at improving women's access to justice, the working conditions of its female officers and women's access to the judicial and prosecutor career, among other policies aimed at reducing existing gender-related gaps and to fight against gender-related discrimination; the Legislative body should implement the recommendation made by the Committee for the Elimination of Social Discrimination with respect to adapting Law n°73 on Jurisdictional Domain (CERD/C/BOL/CO/17-20, par. 22); the Judicial body and Public Ministry should continue the process of defining and implementing institutional policies to improve access to justice, judicial transparency and independence.
and to reduce legal backlog, inclusive by implementing judicial conciliation and prosecutor and judicial careers; the Ministry of Economy and Finances should allocate an appropriate budget to the justice administration sector for the implementation of the aforementioned reforms; the Government should continue respecting the Ombudsman’s independence, facilitating the implementation of resolutions and recommendations that will make possible for human rights advocates and civil society organizations to perform their work without any restrictions; the Government and the Legislative power should modify Law nº 2640 that determines that the Government only assumes 20% of economic compensations awarded to the victims of unconstitutional regimes, for it to assume the full amounts of the awards.

1.7.3.1 Existence of a gradual exit strategy or measures to that effect on part of the EU

EUD’s activities in support of the fulfillment of human rights and facilitation to service access are executed through specific projects and programs (budget support). Although these national projects and programs have their own exit strategies (with respect to the definition of capacities to be created and goals to be reached), an exit strategy concerning the aforementioned cross-cutting issues does not appear to exist. Although EUD’s activities in support of civil society include a more precise definition of, for example, capacity development (e.g. project for the Strengthening of Bolivia’s indigenous and originary people with respect of the effective exercise of their rights) these also lack exit strategies in the sense that activities are not defined as of themselves for the transition of the management of these ongoing processes, from the project to national actors within the logical frameworks of projects.

1.7.3.2 Effective participation space provided by the GoB to non-state actors to define national policies and strategies and their implementation

There are a number of different civil society organizations and a deliberative tradition that sets this country’s socio-political dynamics. Within this framework, the civil society concept is not univocal. Particular interests and positions are as diverse as the sectors they represent. To talk about CSOs necessarily implies differentiating between NGOs and social organizations including their corresponding particularities. To this effect, different actors influence the degree of identification with civil society, aspects that determine its efficiency together with the incorporation or not of accountability practices and transparency principles. Although the national Government develops its actions with high degree of call for social participation, as legitimization mechanism, its quiet frequently mentioned by the media that particular social sectors feel not being sufficiently included in the definition of strategies and their implementation. A field mission is required to collect more details about this indicator.

1.7.3.3 Current and future public financing and investment on human rights

The Government has assigned little priority to the Ministry of Justice, and the sector as a hole, as indicated by its allocation of budgets that appear to be insufficient to cover the ambitious reform mandates conferred to this Ministry (See I.7.1.1), which, in addition, are only increased in slow fashion (in terms of today’s bolivianos, the total General Budget of the Nation (PGN) increased 89% between 2007 and 2013, while the budget of the Ministry of Justice only increased 46%, with an accumulated inflation rate of 48% for the same period). Currently, there is no budget planning data available for the future, and public accounts do not provide estimates on consolidated expenses on human rights by the public sector, through different State institutions.

1.7.3.4 Main interested parties at local, regional and/or national level and EU’s staff (EC and Member States) and other donors) confirm the political will on part of the State and its capacity to maintain and further develop (potential) benefits, in part generated with EU’s assistance

Since 2006, Bolivia’s civil society has expanded and diversified fostered by the new concept applied by the Government to encourage participation of grassroots organizations, through the development of different actor collectives among which we find primary producers (family-based agriculture), collectives of small, secondary and tertiary producers (MSMEs) and their link to local government institutions (municipalities, associations, governorates). Quiet frequently the activities of these new collectives are financed by the State through transfer programs and projects, under different modalities. This broadening of participation opportunities on the part of civil society and the increase in the number of actors, to this respect, is a noteworthy accomplishment, reached based on a Government initiative, which confirms the political will to expand participation opportunities for civil society.

However, the point criticized the most (by main actors and interested parties) within this context is that
**EQ 7**

**Good Governance principles**

*To what extent has EU’s support strategy contributed, and contributes to the construction and strengthening of an institutional framework consistent with good governance principles?*

Currently, two groups of CSOs have been generated, traditional ones and others of recent creation, faced with: a) unequal level of interest on part of the Government to be considered strategic partners and b) different positions with respect to the role that civil society has to play in the accompaniment of the Government and the definition itself of who should be considered as member of civil society. Faced with this disagreement, it is necessary to integrate more these groups to achieve effective contribution on part of civil society to ongoing development processes. Government officials are formally open to this pending dialogue which nevertheless, was never started.

The second positive sign of the political will of the Government, as recognized by the donor community and main actors, is the recognition by the State of the need to reinforce the work performed with respect to judicial reform (and its direct and indirect contributions to the rule of law and fulfillment of human rights). The future Justice axis of the EUD’s CP and the future Joint Response of CE’s State Members in Bolivia are just an example of the mutual commitment already assumed to this respect by the Government and donors.

Probably the most successful example of productive and efficient work between authorities and grassroots organizations /SC, showing political will, effective joint work and achieved outcomes beyond what was expected, is the Social Control work performed in relation to the production of coca leaf, drug trafficking control and alternative development. After a shift of the model’s approach applied to control of coca leaf production, abandoning the persecution and punishment approach and favoring social control (consisting of the gradual voluntary reduction of coca leaf production, supported by communitarian control and surveillance of volumes and surfaces authorized for the production of coca leaf for traditional consumption and its commercialization in legal markets), in joint work between authorities and grassroots organizations, a reduction of the surface area for coca leaf production was achieved, which is considerable, much more successful than the achievements made with the previous model, internationally recognized and certified by the UNODC (United Nations Office on Drugs and Crime).
**EQ 8**  
**Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)**

**To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?**

**DAC evaluation criteria:** Relevance, effectiveness, impact and sustainability  
**Additional key aspects:** 3Cs, EU's added value  

**Rationale:**  
The EC defines sector budget support SBS as the transference of financial resources from a financial institution external to the National Treasury of a counterpart country in support of a sector program, and with the partner country complying with the accorded repayment terms and conditions. Financial resources received this way become part of the resources of the counterpart country and thus, are used following the public management system of the counterpart country. The transference of resources takes place within a dialogue, harmonization, alignment and capacity development framework.

The EC favors the use of SBS when eligibility terms and conditions are met. The EC and other donors have pointed out a number of potential benefits related to the use of SBS as financial modality, such as:

- Strengthening of ownership, because it supports the execution of the counterpart government’s sector program.
- Improved framework for public policies and public expenditure, through the integration of the assistance provided by donors into the country’s budget.
- Increased coherence, by “bringing into the budget” what normally was left out of it, between sectors and different types of expenditures (capital/recurrent, salaries/non-salaries).
- Reduction of transaction costs (by using of national systems, transaction costs related to the delivery of assistance as budget support are potentially lower than those for other types of assistance).
- More harmonization of donor practices and alignment around national systems.
- Strengthening of accountability; donor funds are integrated as part of the national budget and therefore, are subjected to the same scrutiny as internal resources.
- Improved efficiency and sustainability through the use of national systems on the part of donors, contributing to their improvement and enabling for long-term effects to last longer.

This question aims at evaluating to what extent have the potential benefits of the SBS modality been achieved in Bolivia.

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<th>Evaluation Criteria</th>
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| **EC 8.1:** SBS actions have promoted the strengthening of national policy dialogue frameworks between the government of Bolivia, non-state actors and donors (EC, EU State Members, etc.) | I.8.1.1 Evidence of the commissioning, development and permanence in time of a formal dialogue framework for sector, inter-sector and sub-sector national policies (including the exchange of information and experiences and the use of other dialogue platforms)  
I.8.1.2 Evidence of the scope and involvement on part of government, private sector and civil society national actors in the aforementioned policy dialogue  
I.8.1.3 Evidence of the improvement of inter-sector dialogue (technical and financial (MEFP and sub-national governments)), aimed at improving the formulation and implementation of policies  
I.8.1.4 Main interested parties at local, regional and/or national level (including the EU and other donors) confirm the scope and positive influence of the SBS modality with respect to the definition of public policy, and value the probability of whether these advances would have taken place with or without SBS |

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49 This preference for the use of budget support is reflected by the European Consensus (Art. 26, 113) and in the communication accompanying the 2011 Agenda for Change.
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**EC 8.2:**
EU’s SBS actions have promoted the strengthening of institutional capacities and sector-level monitoring systems.

1.8.2.1 Evidence of the improvement of Performance Evaluation Frameworks (PEFs), M&E systems and accountability systems
1.8.2.2. Evidence and scope of the influence of these frameworks to the improvement of sector policy quality (more leadership of dialogue processes by the GoB, integration of policy dialogue in decision-making and definition of sector policy processes)
1.8.2.3 Evidence of linkage and alignment between PEFs’ indicators and MDGs
1.8.2.4 Evidence and scope of the improvement of reliability and durability of statistical data used at national, sectoral and sub-sectoral levels
1.8.2.5 Degree of institutional strengthening at sector and sub-sector level to deal with instability situations

**EC 8.3:**
SBS actions have promoted alignment around national budgeting processes and have promoted an increase of the national budget allocation to sector policies supported by the EU and the predictability of disbursements.

1.8.3.1 Evidence of the positive influence of SBS processes on the improvement of ODA’s alignment and harmonization around national procedures (policies, PEF, budget, reports and capacity development)
1.8.3.2 Evidence to the fact that the disbursement terms and conditions of each segment were defined jointly with the Government within the framework of policy dialogue
1.8.3.3 Existence of dialogue concerning public finance management
1.8.3.4 Evidence of the improvement of the situation concerning redistribution through direct transfers to sub-national levels, based on dialogue processes within the framework of supported sector policies
1.8.3.5 Evidence of the increase of the predictability of disbursements with respect to annual, bi-annual and quarterly disbursement goals
1.8.3.6 Trends of the General National Treasury (TGE) funds aimed at sectoral policies supported by the EU
1.8.3.7 Increase of available budget for discretiononal expenses.
1.8.3.8 Evidence of the increase of ODA’s amounts and participation managed through national budget processes as a result of SBS flow of funds
1.8.3.9 Evidence to the fact that indicators used for disbursements are derived from PEFs established within the framework policy dialogue

**EC 8.4:**
EU’s SBS actions have promoted an improvement of the links between Government and control entities in terms of policy formulation, its approval, financial and non-financial accountability and budget scrutiny.

1.8.4.1 Evidence of the improvement of financial and non-financial accountability processes, as well as budget scrutiny (Comptroller General’s role)
1.8.4.2 Evidence of the measures to take to avoid / eliminate macroeconomic distortions that may be caused by a primary surplus, if income flows from natural resources are correctly managed to prevent microeconomic distortions
1.8.4.3 Main interested parties at local, regional and/or national level (including EU’s staff (EC and Member States) and other donors) confirm the efficiency of the support in terms of better accountability and valued the capacity (and political commitment) to maintain and develop (potential benefits, partly generated by EU’s assistance, further
1.8.4.4 Evidence of the criteria used to establish the percentage of TA assigned to SBS or as a whole
1.8.4.5 Evidence of TA strategies within the framework of SBS actions they promote based on the principles of the Declaration of Paris, sustainability and ownership (inexistence of parallel TA units; integration of TA as advisors, etc.)
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**EC 8.5:**
EU's SBS actions have promoted cooperation's alignment and harmonization

| I.8.5.1 | Evidence and scope of the influence of dialogue frameworks between the GoB and donors with respect to the alignment and harmonization of international cooperation with Bolivia’s policy priorities (exchange of information, joint evaluations and analysis EC and State Members joint programming, etc.) |
| I.8.5.2 | Degree of coordination between EC and EU Member States, in particular in following up on the joint analysis of the added value of parties, with respect to EU’s Code of Conduct |
| I.8.5.3 | Reduction of transaction costs to provide assistance |
| I.8.5.4 | Main interested parties at local, regional and/or national level (including EU’s staff (EC and Member States) and other donors) confirm the scope and positive influence of the SBS modality with respect to alignment and harmonization processes and value the probability of whether these advances would have taken place with or without SBS. |

**Information sources:**
- National statistics (National Institute of Statistics, Central Bank, etc.)
- GoB sector and global documents
- Documents from regional and/or local authorities of EU’s intervention areas
- PEFA Reports
- CE’s CSP and NIP for the 2007-2013 period
- EUD’s AMPs
- EUD’s EAMR
- Inventory of EU’s financial commitments (bilateral level under programmable and non-programmable assistance)
- Financing agreements, action fiches, monitoring reports evaluations, etc. of SBS interventions
- Interviews of EC officers in Brussels, EUD’s officers in La Paz, other cooperation entities and main actors at national level
- Additional external studies and reports

**Methods:**
- Documentary analysis
- Analysis of selected interventions
- Interview analysis
- Inventory analysis
| EQ 8 | Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)  
To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes? |
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**EC 8.1:**  
SBS actions have promoted the strengthening of national policy dialogue frameworks between the government of Bolivia, non-state actors and donors (EC, EU State Members, etc.)

1.8.1.1 Evidence of the commissioning, development and permanence in time of a formal dialogue framework for sector, inter-sector and sub-sector national policies (including the exchange of information and experiences and the use of other dialogue platforms)

Budget support provides a dialogue platform with Bolivia (government, national control organisms and civil society) on supported policies, their financing, objectives and outcomes, in agreement with ownership, transparency and accountability principles. Policy dialogue is a central element of this instrument and contributes to making an assessment of the application of policies and reforms, as well as of donor commitments and the evaluation of progress on both sides based on information, criteria and indicators, as well as through broad discussions with the Government. Within the framework of SBS and policy dialogue, the aim has been to improve accountability schemes to contribute to the strengthening of the voice and legitimacy of national actors in budgeting processes; to structure the policy dialogue between the Government and donors and to guarantee that objective and verifiable information related to development outcomes I of public domain. With respect to Bolivia, the priorities and goals of the Bolivian government, with respect to equality and poverty reduction, are normally in line or even exceed the expectations of main donors. Therefore, current policy dialogue in Bolivia mainly faces challenges with respect to the monitoring, quality, sustainability and impact of actions within the framework of policies.

The existence of formal dialogue platforms was verified and their existence was confirmed in each sub-sector. Furthermore, the efficiency of the dialogue was confirmed based on eligibility and risk evaluations available during interviews with actors of the three supported sectors (Government, EU and civil society) under this modality, from which it is established that at the moment of the identification and formulation of SBS programs is when the dialogue is most intense and there are greater probabilities for the EU to contribute its experience. It was verified that cooperation sections have a high-degree of understanding of the national and sector coordination framework at the level of EUD’s dialogue officers, and its analysis takes place within a broader context to understand better actors, regulations and decision making mechanisms. Based on this understanding, the existence of a permanent dialogue strategy was verified, the “Policy Dialogue Action Plan Bolivia”, in which the most efficient dialogue methods and platforms will be used, and Action Program. Given the difficulties with attributing specific outcomes related to the provision of funds through the SBS instrument, it is particularly important for the dialogue to be properly documented to help demonstrate the contribution made by budget support. In this sense, records of sector groups meeting were requested showing each sector’s more technical aspect. The theamatics of the policy dialogue action plan taken up again at higher levels (Ambassadors) and at the dialogue level of Public Finance Management should be well documented. This documentation is important to lessen the problems caused by EUD’s staff turnover which apparently will be high during the upcoming years, and will facilitate subsequent evaluations on the impact of budget support.

**Sector 1 - PAMEFF**

According to Law 004, Ley Marcelo Quiroga Santa Cruz, all Bolivian public institutions must make public information related to their performance and provide accountability. This process usually takes place vis-à-vis civil society, international cooperation and sub-national institutions. Within this context, the MEFP executes accountability processes, on regular basis and consolidated fashion, during the first half of the year subsequent to the execution year and is in permanent dialogue with MSMEs. BDP SAM organizes reflection spaces at sector (7 or more sectors) and territorial level for the design of products and services with the productive sector.

At sector level, the MEFP has agreements with tax administration institutions (SIN and AN) to coordinate actions within the framework of sector policy and SBS based on which, follow-up meetings are generated.

At inter-ministry level, MEFP’s SBS has promoted the creation of an Inter-institutional Commission between this Ministry, the Ministry of Productive Development and Rural Economy, Ministry of Labor, National Institute of Statistics, the Financial System Supervision Authority and National Tax Service (SIN) to identify official criteria to classify MSMEs.

The government of Bolivia, within the framework of the Declaration of Paris and harmonization and alignment
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)

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principles, coordinates the GRUS (Group of Partners for Bolivia’s Development), which gathers together every month Government officials (Ministry of Planning and Development) and bi-lateral and multilateral cooperation. Furthermore, the GRUS is subdivided into Sector Groups: Environment (Basins, Climate Change, Biodiversity), Education, Macro-economy, Productive Development (INIAF, Production and Employment, Food Security) and Health.

According to PAMEFF’s disbursement reports, the EU is the only donor at this subsector’s level (there are other donors in this sector such as Switzerland and Denmark), indicating high-quality policy dialogue at this level. For its part, the 2013 monitoring report indicates that Policy Dialogue at Sector Level between the EUD and the MEFP is fluid, continuous and close, having available an internal EUD document on Policy Dialogue (Policy Dialogue Action Plan), which identifies priority issues with respect to the PAMEFF (4 common issues and a number of EU BS operations in Bolivia: fiscal reform, progress with respect to the transparency initiative for extractive industries (EITI), Public Institutions: efficiency and schedule for the new regulatory framework, and advances made with respect to the role, scope and quality of External Audits in Bolivia; one specific PAMEFF issue: there is a need to request from the MEFP qualitative reports concerning the performance of the complete sector policy as documentary analysis to backup variable disbursements). However, there is no formal (structured, with schedules, etc.) sector dialogue plan. This action plan was also made available to this mission.

**Sector 2 – PASA and PAPS I**

According to Law 004, Ley Marcelo Quiroga Santa Cruz, the MDRyT organizes large conferences in intervention areas to present the results of the current term and which may become an expanded policy dialogue platform. In the sector of Comprehensive Development with Coca, dialogue between the EU as well as with the Government is at the highest level. The dialogue between the Government and civil society is of the highest level and is where civil society has the highest degree of political advocacy. The Group of Municipalities of Chapare is an example of this.

Beginning in 2010, FONADAL as executing agency of the PNDIC, publishes a quarterly pamphlet that provides the public with information of the latest activities taking place in the sector. Furthermore, it is worth mentioning that sector authorities are participating in monthly local level coordination meetings (Group of Municipalities of Chimoré).

Within the framework of the GRUS, there is Productive Development Sector Group (INIAF, Production and Employment, Food Security). This sector has since 2007 a donor (Germany, Belgium, OAS, US (no longer present), Spain (concluded support) and the UN) coordination tool: The Comprehensive Sector Development Group (MESDI) as strategic coordination and dialogue space for aspects relevant to comprehensive development. It includes the participation of sector and cooperation officials under the leadership of the Vice-Ministry of Coca and Comprehensive Development. During the formulation of the PAPS II, we recommend incorporating to the MESDI operational sector actors such as: INIAF, PAR, SENASAG, EMAPA, Insumos Bolivia.

The monitoring report describes as incipient FONADAL and VCDI’s institutional framework during the inception phase of the PAPS, affecting the MESDI’s operability and recommends more institutionalization and consolidation, and more leadership on part of the VCDI. Ex post monitoring of the FONADAL Yungas Project included in its final observations a proposal made by the Vice-Ministry of the subsector aimed at having a group of leaders of coca producers, within the framework of the new PAPS or through a EU’s cooperation mechanism, visit Europe with a triple purpose: 1. To get to know firsthand the consequences of the consumption of drugs such as cocaine in Europe, in particular for young people; 2. To get to know concrete European experiences related to the limitation of crops (quota system): experiences with grapes in France, etc.; and 3. To explain in front of the corresponding institutions (e.g. European Parliament) what the historical value of Coca is in Bolivia and the ancestral uses of this crop. This proposal includes a demand to bring policy dialogue to broader policy dialogue platforms. In this sub-sector is important to verify the use of other specialized dialogue platforms such as: EU CELAC and COPOLAC’s meeting.

**Sector 3: PNC, PASAP and PACSBIO**

According to Law 004, Ley Marcelo Quiroga Santa Cruz and Articles 235 sec. 4 and 241 sec.2 of the Political Constitution of the State and the National Transparency and Fight Against Corruption Plan, DS. Nº 214, the MMAyA provides accountability reports twice a year. At these times, all advances made and projects and programs executed at national level are presented and civil society is able to evaluate, consult and propose
adjustment to the MMAyA’s entire operation. In this fashion, important participation is achieved in planning and decision making processes and above all, work is performed in transparent fashion reporting to civil society. (The field mission confirmed that these conferences also take place at sub-national level, but given the current weakness of organizations they cannot be considered as dialogue platforms that will make possible for these organizations to perform political advocacy yet, which is the goal searched for at any rate.)

Within the framework of GRUS there is an Environment Sector Group (Basins, Climate Change, Biodiversity) and an ad hoc group that includes the participation of the EU to establish commitments to improve the effectiveness of the sector’s assistance and which has programmed concrete actions in the following areas:

- Development of a comprehensive sector plan as strategy for the sector, coordinating better the strategies of the three Vice-Ministries and Chancellery
- Management for development results
- Tracking and monitoring systems
- Coordination of institutional strengthening actions between central and sub-national institutions
- Coordination of Technical Cooperation
- Agility in investment execution

According to the 2013 PASAP’s monitoring report, a peculiar situation can be observed with respect to the definition of development policies. Starting in 2006, the priorities and goals of the Bolivian government are normally in line and even exceed the expectations of main donors with respect to equality and poverty reduction. Policy dialogue in today’s Bolivia is not so much about convincing authorities to adopt equitable and pro-poor policies, but to call to the attention of authorities their existence and ensure the quality of their implementation. Joint actions within the framework of EU’s now four support actions now face common problems and the challenge of providing a response to common weaknesses found in sectors supported by the EU (Biodiversity, Drinking Water and Basins) in the MMAyA, such as (based on sector policy reports):

- Lack of inter-sector articulation mechanisms
- Lack of harmonization between the Mother Earth discourse and development strategies
- Weak legal framework for environmental management
- Absence of sector policy encompassing up to now segmented sub-sector policies
- Limited public financing of environmental sector
- MMAyA’ institutional weakness at the level of general directorates of planning and administration, overall with respect to information systems, procedures and processes.

It is worth pointing out that EU’s SBS for PNC II does not include a TA component, making this coordination even more important because any support provided to strengthen the MMAyA at central level on the part of the PACSbio or the PASAP can contribute to the sub-sector. PASAP actions stand out aimed at strengthening information systems, processes and procedures of the directorates general of planning and administration and to promote a basin-based approach in the actions of the drinking water sub-sector. The PACSbio must deepen ecosystemic functions of protected areas to ensure the provision of drinking water and start a more continuous dialogue with the VRHR concerning possible pilot actions in basins.

The water resources and irrigation sub-sector has a concrete coordination mechanism called “Basin Group” composed by donors linked to this subsector. It operates under the leadership of the VRHR and includes the participation of all donors and TA providers. This mechanism has successfully promoted between 2006 and 2012 the harmonization of donors around the policy, TA and PEF, and has served as a space to review the progress made in sub-sector policy. PNC1 TA’s systematization document recommends for the EU to continue with the MMAyA’s support strategy related to the consolidation of sector dialogue, foreseeing civil society’s participation and strengthening dialogue mechanisms with sub-national levels included in the LMAD.

The Water and Sanitation sub-sector has a concrete coordination mechanism called “Water and Sanitation Support Group (GRAS)”, within which framework a commission was created to develop a work agenda achieved with the participation of the MMAyA, MPD and other work groups part of the. The following are the corresponding work axis:

- Proposal to develop a comprehensive sector plan for environment and water.
- Proposal to overcome the difficulties found in the management of sector cooperation projects.
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With respect to the case of SNAP’s sub-sector, SERNAP’s Coordination Committee and donors for SNAP’s management meet four times a year and review the progress made towards policy outcomes, which has its regulatory framework. These meetings include the participation of donors such as Germany, Japan, Switzerland, Spain, USA, EU and Denmark. The entities executing of SNAP’s sub-sector PEF are: DGP (MMAYA), DGBAP (VMA), SERNAP’s Executive Management, Representatives of sub-national level protected areas, CSO representatives and invited experts. The 2013 monitoring report indicates that there is a good theoretical framework for policy dialogue through the protected areas sub-sector group, and although dialogue is fluid and continuous, it tends to be little documented and very informal. The EUD indicates that has made observations and recommendations, which are being incorporated, basically centered on policy dialogue.

**I.8.1.2  Evidence of the scope and involvement on part of government, private sector and civil society national actors in the aforementioned policy dialogue**

Based on accountability-related actions and spaces of the three sectors supported through SBS and on policy dialogue, the mission reviewed the verification sources of sector policy progress report, placing particular attention on the evidence and scope of the involvement of government national and sub-national level, private sector and civil society actors in them.

With respect to sector 1: attention was given to articulation at intra-sector level (MEFP, BDP, SIN etc.) with MSMEs, sector-level reflection spaces (7 or more productive sectors) at sector and territorial level for the design of products and services with the productive sector. The field mission established that MSMEs participate in sector dialogue through the chambers and the follow up on ROM recommendations with respect to the following was verified:

**A)** Policy dialogue should be supplemented with sector dialogue with a more territorial approach that will guarantee the close monitoring of progress made in inter-ministerial coordination (MEFP/BDP vs. MDPyEP). EU’s response to this is that sector policy is highly centralized, but that initiatives are executed to decentralize it such as Proinfo. It should be convenient to write up a Paper structuring PAMEFF’s Political Dialogue, which in addition to Public Finance Management will include a section on territorial and sector approach; a close monitoring of sector policy’s indicator nº 14 “number of productive units managed by women and men receiving financing in prioritized productive complexes” could help articulate/structure policy dialogue around this issue. In this sense, there is an aspect perceived to be in need of improvement on part of the EUD because the Public Policy Action Plan managed by the head of cooperation is general and does not reach more sector technical details for which there is no available dialogue strategy paper yet.

**B)** With respect to MSMES, in addition to the EU, the World Bank, UNPD, COSUDE DANINDA, ILO, Germany, The Netherlands and Spain are at least active. Interventions in this field have been difficult for all donors, except for those working directly with the private sector and local actors. This continues being the case being impossible to consolidate a donor group headed by the GoB. An essential condition for the use of the SBS instrument is for the GoB to open up a donor coordination/harmonization process, and this is a weak aspect in this sub-sector.

With respect to sector 2, attention was paid during the field phase to the articulation between the Comprehensive Development with Coca policy and Food Security, confirming that these two interventions are articulated even more in the upcoming process given that food security support will be centered on regions that expel labor force to go work in the production of coca leaf, for example. Articulation spaces used by the FONADAL with municipalities, organizations of municipalities, associations of producers of intervention areas and their corresponding documentation were verified:

FONADAL now works hand in hand with the region’s social organizations, something that remained as institutional policy based on this project’s experience. It organizes monthly meetings with the association of municipalities of Yungas de La Paz and Tropic of Cochabamba where it reports each month the financial-physical execution of the projects it finances, making possible direct social control on part of beneficiaries; furthermore, during these meetings thematic lines, distribution of resources, etc. are defined, making easier FONADAL’s intervention in the region. To this respect, recommendation 4 made by the ROM mission to the PAPS1 was followed up: To develop consultation spaces aimed at integrating the private sector to the definition of strategic economic development and territorial competitiveness to which investments are channeled (changing the call for tender’s current approach from projects to processes). This indicates a positive advance given that participation processes have evolved from the simple identification of demands to a reflection and construction.
EQ 8

Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

- Increased number of projects executed based on agreements with other sectors with public and private financing and emphasis on health, education and food security. It will be relevant to observe the progress of this indicator to respond to this evaluation criterion.

Furthermore, with respect to sector 3, the scope and level of involvement will be verified within the framework of: inter-institutional collaboration agreements between the VRHR and the academic sector, associations of municipalities and CSOs, for the execution of PNC I and II projects to implement the PDC aiming at generating synergies with respect to: institutional strengthening, basin diagnostics, identification and prioritization of micro-basin interventions and identification of investments in GIRH/MIC, and other actions aimed at the management and sustainable use of the natural resources of basins. Progress reports indicate that the VRHR has signed agreements with “Universities: Universidad Mayor de San Simón (UMSS - Centro AGUA), Universidad Técnica de Oruro (UTO), Universidad Mayor de San Andrés (UMSA), PIEB (Environmental Research Program); Civil society organizations (CSOs): Agua Sustentable, Fundación Natura, CARE and other communal organizations (Basin Management Organisms (OGC), Water Committees, Associations of Irrigation Providers, etc.).” This aspect has been of special interest within the framework of the PNC1 and is reflected by Outcome 1: At the level of intervened basins, organizational and technical capacities of local actors have been strengthened enabling the sustainable (promoting more participation in policy dialogue) and comprehensive management of the basin and its indicators that demand high participation on part of civil society.

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<tr>
<td>4</td>
<td>“N° of Pedagogic Basin projects under execution and/or concluded”</td>
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<td>5</td>
<td>“N° of created Basin Management Organisms (OGC) with trained leaders and actors”</td>
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This aspect was taken up again and evolved to become indicator 2 of the SBS/CRS for PNC2: “Increased number of ongoing and concluded investment projects in GIRH/MIC and their degree of sustainability, starting on December 31st 2012.” To measure this degree of sustainability, an ex post evaluation has to be performed of each concluded project to have information about the sustainability of concluded projects. A sustainability index is calculated for each concluded project starting with the onset of the PNC in 2007, based on two indicators: the degree of operation of Basin Management Organisms, and the degree of operation, maintenance and replication of GIRH/MIC measures applied in the project, once it has concluded. This indicator’s evolution aims at reinforcing and developing civil society’s participation in policy dialogue, which has been established as action sustainability criteria because actions involving Basin Management Organisms have shown higher sustainability levels.

Inter-institutional agreements between the VMA and SERNAP and civil society to promote productive projects and the preservation and good management of natural resources in protected areas. Civil society’s involvement was effective during the formulation process and will be verified on site with respect to the monitoring of the fulfillment of outcomes 3 and 5, which include as indicators: instruments and structures that strengthen social participation and shared responsibility decision making within the framework of Shared Management, generated and implemented; and the other being “Sustainable Productive Projects implemented within the framework of the strategy for the exploitation of renewable natural resources in protected areas”.

At Water and Sanitation level, the progress made toward service sustainability was verified with respect to the consolidation of Communitarian Development as a tool to promote civil society’s participation in policy dialogue, including pre-investment, communication actions and inter-institutional agreements. As well as with respect to the new regulatory framework that applies a basin, ecosystem and social approach foreseeing actions, such as the generation of mechanisms to be gradually incorporated into the regulations, that generate comprehensive and consensus generating actions for management for results. In this sense, it was learned that according to the social participation Law, each public investment project must hold public hearings at the places of their execution. In 12 months, 3 public hearing were held with the participation of beneficiaries (not just leaders). This information is formalized in a space in which the supervisor has the obligation to respond. DESCOM facilitates this activity.
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

I.8.1.3 Evidence of the improvement of inter-sector dialogue (technical and financial (MEFP and sub-national governments)), aimed at improving the formulation and implementation of policies

In the three sectors supported through SBS, evidence was found of inter-sector dialogue in reports submitted by the sector, at national and sub-national level, during the design and implementation of support actions. In general terms it has been verified that dialogue arises from actions included in PEFs, which foresee this articulation and preparation of reports for the disbursement of fixed and variable segment in their public finance, macro-stability and now budgeting transparency components.

At inter-ministry level for sector 1, the MEFP created an Inter-institutional Commission with the Ministry of Productive Development and Rural Economy, Ministry of Labor, National Institute of Statistics, Supervision Authority of Financial System and the National Tax Service (SIN) to identify official criteria to classify MSMEs. For its part, the BDP opens up sector policy dialogue spaces at territorial level where during the field mission it was possible to verify their inter-sector nature. Within the framework of PAMEFF, the MEFP and other sector institutions receive specific TA aimed at improving sector dialogue at technical level.

With respect to sector 2, the field mission verified that the degree of dialogue between the MDRyT and the MEFP must be intensified based now on the full fungibility of funds. It is worth noting that in this sector a wide array of public institutions (municipalities, governorates, research and extension institutions, decentralized actors, etc.) execute part of this policy’s budget in their respective technical programs in intervention areas (See following box, extracted from the policy analysis submitted for the disbursement of the PAPS 2’s fixed segment). Furthermore, sub-national levels such as municipalities and regional government contribute their own funds to this sector.

**Box: Actors linked to comprehensive development**

| National level | Ministry of Planning and Development (MPD), Vice-Ministry of Social Defense (VDS), National Service of Protected Areas (SERNAP), National Institute of Agricultural and Forestry Innovation (INIAF), National Service of Agricultural Health and Food Safety (SENASAG), Program in Support of Food Security (PASA), Enterprise Supporting Food Production (EMAPA), Insumos Bolivia, Vice-Ministry of Public Investment and Foreign Financing (VIPFE), CIAT Santa Cruz |
| Sub-national levels | 4 Autonomous Departmental Government (GAD), 37 Municipal Governments, 3 Associations of Municipalities, 4 National Park officials |
| Coca leaf producers | Federations of coca leaf producers from YDLP and TDC, ADEPCOCA, COFECAY |
| Civil society | Organizations of Producers Peasant Agricultural Corporations (CIORACAS), Peasant Economic Indigenous Agricultural Organizations (OECA), Communitarian Enterprises, Road Maintenance Organizations, Women Organizations, Economic Productive Development Councils, Cooperatives, local Universities |
| International Cooperation | UNODC, Belgian Technical Cooperation (BTC), German Cooperation, Program in Support of Biodiversity Preservation and Sustainable Development (PACSBIO/EU), Food and Agriculture Organization of the United Nations (FAO), CATIE (Costa Rica), Red Iberoamericana de ADEL (Local Development Agencies). |

Within the framework of PAPS1, support was provided to the development of the Action Plan to improve Public Finance Management. The capacities of sub-national government actors were strengthened with respect to planning and public investment execution in the territory, looking to through the participation and integration of these actors in comprehensive development processes the sustainability of undertaken actions. Within the framework of PAPS 2 the following indicators foresee close inter-sector articulation at national as well as sub-national level:

- Indicator 2: Increase in the number of people who have vocational training on areas prioritized by the ENDIC and on local and regional demanded fields.
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| Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP) |
| To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes? |

- Indicator 3: Increase in the number of local sustainable development projects executed in Protected Areas and buffer zones, in close coordination with the National Service of Protected Areas (SERNAP).
- Indicator 4: Number of projects executed based on agreements with other sectors, engaging public and private investment, with emphasis on health, education and food security.
- Indicator 7: Increase in the allocation of TGN resources to the sector (Vice-Ministry of Coca and Comprehensive Development (VCDI), National Alternative Development Fund (FONADAL), Autonomous Departmental Governorates, Municipal Governments, involved public institutions).

For its part, the PASA also assigned an important role to this type of policy dialogue within the framework of indicators such as: “activities related to municipal investment, strengthening of municipal management capacity and monitoring of impact of territorial actions”, as well as public investment activities that promote food availability and their impact.

The articulation of the MMAyA with sub-national governments (Departments, Municipalities and Indigenous Originary Peasant Communities) makes possible leveraging more resources for the three sub-sector supported policies. Within this context and according to the Law of Autonomies, sub-national levels are responsible for investments made to guarantee water and sanitation services; while the central Government is responsible for policies to consolidate the Human Right to Water and Sanitation. However, in practice, there’s evidence that 30% of municipalities don’t have the financial or human resources or management tools to guarantee service in their territorial areas. For these reasons, the government of Bolivia has assumed as policy to allocate resources to municipalities for these to, together with their counterparts, invest in water and sanitation to expand service coverage. Priority is given to municipalities with vulnerable communities or large-growth peri-urban areas resulting from constant migration processes. The axis of the water and sanitation sub-sector policy demand high coordination with sub-national levels as well as with other sectors (at this last level, an articulation strategy with other sectors such as the MDRyT, with respect to risks and food security and other issues, is not perceived in the documentation available).

The VRHR promotes effective actions related to the execution of master plans for the governorates of Cochabamba and Santa Cruz through its Departmental Basin Services, within the framework of the application of the master plan guide.

Within the framework of PNC2, inter-sector coordination is promoted (Indicator 3.1 of CRS for PNC2: Number of Municipalities with early warning system (SAT) between the VRHR, VIDECI, SENAMHI; and at intergovernmental level, between the central government, governorates and municipalities, to articulate efforts to create early warning systems as disaster prevention measure. Among other things, institutions must contribute to the maintenance and operation of these early warning systems. Municipalities are the main executing entities within the PNC’s framework. This sub-sector has an instrument to measure municipal capacity for GIRH and MIC, aimed at detecting potentials and deficiencies in municipalities where the VRHR works. Its objective is to direct institutional capacity development activities, a key aspect to insure verifiable and sustainable impacts of investments made by the PNC. Associations of municipalities also contribute in substantial fashion, within the framework of this component because of their mandates to strengthen capacities at municipal level. This aspect is of great relevance within the framework of the execution of PNC I and II projects; for the implementation of the PDC and looking to promote synergies in: institutional strengthening of municipalities, basing diagnostics, identification and prioritization of intervention micro-basins and identification of investments in GIRH/MIC and other actions aimed at the management and sustainable exploitation of natural resources in basins.

For its part, the VMA and SERNAP have signed inter-institutional agreements with ministries, municipal autonomous governments and governorates (Ministry of Cultures concerning Communitarian Tourism, with the MDRyT and FONADAL within the framework of PNDIC and Armed Forces (protected areas of national interest), as well as with governorates and municipalities to improve the Management of Resources or protected areas and promoter their preservation.

The strengthening of inter-sector articulation between national sub-governments and civil society takes place in order to increase the quality of policy dialogue.
I.8.1.4 Main interested parties at local, regional and/or national level (including the EU and other donors) confirm the scope and positive influence of the SBS modality with respect to the definition of public policy, and value the probability of whether these advances would have taken place with or without SBS.

Based on direct interviews of local, regional and national level actors, this evaluation confirmed during the field mission that SBS actions have had a positive influence on the definition of public policy and involved actors highly value the probability of whether these advances would have taken place with or without SBS. It is worth noting that at the same time, in sector 3, these advances are also the product of the alignment of other donors (The Netherlands, Sweden and Denmark) and the IDB, through their own mechanisms such as basket funds and policy-based loans (PBL).

**Sector 1:**
A number of interviews were held in this sector that ratified the promotion of SBS within the framework of close articulation with the MEFP and other national-level and private sector institutions.

**Sector 2:**
A number of interviews were held in this sector that ratified the promotion of SBS within the framework of close articulation with the MEFP and other national-level and private sector institutions and civil society, as well as with UNODC.

**Sector 3:**
Other donors ratify the importance and contribution of SBS to policy definition, specifically the MED, its indicators and goals, as well the harmonization of assistance and alignment around the MED. Within the framework of the support provided to the PNC1, donors such as the Swede Cooperation and KfW aligned with the EU. Within the framework of the PNC2 these institutions and the IDB were again aligned. The IDB within the framework of a second EU support program for the PNC2.

Management instruments (guidelines, strategies, planning and shared management instruments) promoted within the framework of SBS actions and supported by Technical Assistance actions also have contributed to the articulation of the sector's head with the sub-national level, achieving a greater approximation to local actors. Promoted training and exchange of experiences contribute to this process.

**EC 8.2:**
EU's SBS actions have promoted the strengthening of institutional capacities and sector-level monitoring systems

I.8.2.1 Evidence of the improvement of Performance Evaluation Frameworks (PEFs), M&E systems and accountability systems

At general level and for second generation PEFs (APS COCA II and ASPNC II), substantial improvement is perceived not only with respect to the reduction in the number of indicators, but in typology (migrations have taken place from process indicators to output and outcome indicators, as previously mentioned) and in the quality of indicators, making reference to substantial issues derived from policy dialogue priorities, such as: service quality, their sustainability and that of those institutions providing these services.

Although, according to the ToR of SBS actions’ TA in sectors 2 and 3 have had as programmed outcome the improvement of M&E systems, statistical data and information systems continue showing weaknesses according to the same TA reports available (PAPS Coca 1, PNC, PASAP), as well as possible articulation and synergies with institutions that provide country statistics.

Programmed outcome PAPS COCA 1: Support to the establishment of a sector monitoring system by the VCDI.

Programmed outcome 2 of PASAP’s TA: The MMAyA and sector entities have a sector information and monitoring system interconnected by modules making possible to: a) obtain information accessible to monitor the fulfillment of objectives, PNSB outcomes and indicators (PASAP-PEF)); verify sector policy’s progress and; c) identify and correct procedural and institutional weaknesses found in different sector institutions (MMAYA, VAPSB, AAPS, SENASBA).

Outcome 4 of PNC’s TA: Participation in proactive fashion in monitoring and evaluation activities of sector performance, which make possible the disbursement of fixed segments (Indicator 3) and variable segments (Indicator 4 and subsequent) and contributing, during the life of the contract, to the development and
implementation of sector visibility actions at the level of Bolivian civil society and other sectors.

This weakness results in a lack of good quality data affecting accountability on defined indicators. Accountability processes began to be assessed only after the effective date of the 2012 Budget Support Guide and not before; therefore, there aren’t enough verification sources available to make an assessment of a possible improvement in the quality of these systems up to now.

PAMEFF’s PEF indicators are considered as SMART indicators of moderate global consistency by the mission. It is worth noting that there are more than recommended (14; being 8 the number normally recommended), taking into account that in Bolivia, importance should be given to sustainability, quality and impact criteria: (6 outcome/output indicators all associated to the financial areas of PAMEFF’s operation; 8 process indicators of which 7 are associated to PAMEFF’s fiscal area).

**Sector 1:**

The following are the main indicators of the sector policy PEF, as well as of PAMEFF, which will make possible developing a robust financial system to enable income redistribution through the democratization of credit for strategic sectors of the economy:

- Number of jobs generated for men and women as a result of the allocation of resources of the BDP, based on loan requests.
- Percentage of male and female clients receiving financing based on the implementation of innovative mechanisms and instruments of the allocated portfolio.
- Female and male clients financed by the BDP who have received non-financial services.
- Percentage of women covered who has received BDP’s financing to execute their productive activities.
- The BDP directly takes care of a larger number of clients, knowledgeable about their needs and problem and monitoring its intervention.

However, some observations made to this respect: i) Financial area’s **Indicator nº 1:** “Nº of created, salaried and secured jobs resulting from the allocation of BDP resources, based on loan requests as of 12/31 of verification year” is the only indicator associated to the Specific Objective of the financial component and thus, it is particularly relevant to measuring PAMEFF’s efficiency and impact; this indicator is designed based on the hypothesis of associating number of allocated loans with number of jobs, which could seem as being a weak assumption (to be confirmed based on a review of its evolution in time through field interviews); Furthermore, the source of this indicator’s verification is the Argos system, which makes possible generating detailed information on loans granted by geographic area and gender, breaking down paid and not paid activities (for Productive Development Trust Fund’s data), but up to now does not provide clear information on the number of jobs secured and created; ii) to measure Outcome 1.3 “productive sector financing democratized, promoting the territorial development approach and women’s inclusion” (which therefore includes a gender and a territorial component) PAMEFF CF’s **Indicator nº 6** was selected (% of women receiving BDP’s financing to execute productive activities”), which makes possible measuring the degree of women’s inclusion; however, an indicator linked to disbursements that will make possible measuring policy progress with respect to territorial development has not been selected. The territorial development approach, which is not a supplementary but a central piece of the new economic, social, communitarian and productive model, fairly based on the prioritization of productive complexes at territorial level. Furthermore, this approach is also central to the National Production with Employment with Dignity Policy governed by the MDPyEP. In fact, measuring the progress of credit democratization with respect to the territorial approach will make possible measuring the degree of coherence of this sector’s policy as a whole, avoiding in this fashion the aforementioned partiality of PAMEFF’s policy. The absence in the PAMEFF CF’s a key territorial/productive complexes indicator reduces in our opinion ROM completeness and the solidity of a battery of indicators agreed on to free-up disbursements, and reduces PAMEFF’ potential contribution in terms of inter-ministry articulation (MEFP/MDPyEP) and thus, to the coherence and comprehensiveness of sector policy. The monitoring report recommends fixing this deficiency by means of policy dialogue; iii) There is a conceptual difference between the EUD and the MEFP with respect to the interpretation of the financial component’s Indicator 3: “Number of producers from poor municipalities who receive seed capital to develop their productive activities, as of December 31 of the year being verified”. For the EUD, seed capital must be not reimbursable but for the MEFP, it may be a concessionary loan. This conceptual differences shows the weakness of the design which as we’ll see, has affected execution, reducing PAMEFF’s
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efficiency; iv) Financial component’s Indicator 2: “Number of male and female clients receiving guaranteed loans through the Guarantee Fund” apparently was wrong having inverted men and women’s goals, affecting, as we'll see, the amount of the first Segment.

With respect to PASA’s case, the shift is from process indicators to a battery of 7 indicators including 2 process indicators, 2 output indicators and 1 outcome indicator (reduction by 15% of chronic malnutrition in children less than 2 years old). According to the 2012 sector policy report there was good fulfillment of goals, corroborated by comparing disbursements effectively made (96%).

During the 2011 term, through a cooperation and coordination process between the Ministry of Rural Development and Land and the European Union, the first version of the Performance Evaluation Framework (PEF) of the Food Safety and Sovereignty Policy (PASA) was developed. This effort joined institutional strengthening processes generated based on the DCI-FOOD/2009/22002 Financial Agreement. This first version consisted of a battery of 10 indicators aimed at measuring the effects and impacts of the implementation of sector policies mainly concerning the production of strategic food products. Each indicator includes a baseline and quantitative goals for 2011 - 2015.

With respect to the PAPSI, there’s a shift from 16 indicators (5 process, 7 output and 4 outcome (Improved Index of Unsatisfied Basic Needs in intervention areas of the sector policy; decrease in the % of population under the poverty line in intervention areas; surface of coca leaf crops rationalized in producing areas; coca leaf crps reduced in national parks)) to 8 indicators (1 process 5 output and 2 outcome); Indicator 5: Leadership and exercise of power strengthened for women, female executives and grassroots groups from Yungas of La Paz and the Tropic of Cochabamba. Indicator 8: Maximum surface (in hectares) of coca cultivated during the past 12 months according to UNODC and GoB’s annual reports.

Indicators contribute in indirect fashion to reporting on the achievement of policy objectives: 1) Diversification of the productive and economic base, generating employment, favoring private and communitarian initiatives, developing new production systems and consolidating current ones, through the sustainable exploitation of natural resources; 2) To contribute to improving the living conditions of populations in the strategy’s coverage area, strengthening coordination with competent institutions, supporting and supplementing economic, social and infrastructure programs and projects; 3) To promote the development of participation and communitarian and institutional participation capacities with respect to programming, execution and monitoring of the strategy’s activities, making possible the establishment of the corresponding regulatory framework; 4) To contribute to Coca Leaf Rationalization Processes, maintaining an agreement environment and social peace, mitigating and preventing conflicts, within the framework of the new Fight Against Drug Trafficking policy.

With respect to the quality of interventions, available information indicates that there are still some themsatics pending to be included in policy dialogue and which have been immersed explicitly or partially in PAPS 2 indicators, but which in the development of the sector must be refined and supplemented:

- Establishment of a sector PEF with an M&E system managed by the corresponding VCDI unit (Indicator 6)

The final report of the PAPS1’s TA points out that the lack of statistical data and/or sources of updated and reliable statistics complicated the documentation of the fulfillment of some indicators, creating problems for the disbursement of variable segments. However, it is worth noting that the baseline has contributed to providing better indications and clarity with respect to the way in which the fulfillment of objectives should be documented.

With respect to the PNC, the shift is from 7 PEF indicators (7 product and 1 process) to a PEF with 10 indicators, out of which 8 are selected for PNC2 SBS (5 product). The main evolution in this case is the measurement of outcomes in terms of water governance at the level of most strategic basins within the framework of a comprehensive sector policy, with institutional capacity on part of municipalities as main executors of this policy and its visibility.

With respect to PACSBIO, out of a very broad sub-sector PEF (over 20 indicators agreed by the Government and different donors) 8 indicators were selected for the SBS (3 output, 4 process and 1 outcome), whose goals are mainly related to outcomes. Based on disbursements made these have had a good fulfillment level (56% to 57% maximum).

With respect to PASAP and PASAP, selected indicators are mainly related to outcomes, having the PASAP 1 for
output and referring to the technical and sustainable technical and financial investments made by the EPSAS. The monitoring mission points out the following to this respect: “In general terms, selected indicators are SMART type and are totally connected to the PEF. However, keep in mind that it would have been desirable to have an additional indicator to measure the improvement in the quality of W&S services (Outcome 2), but there is no indicator of this type included in the PEF. Nevertheless, this appreciation does not rest importance to the serious fact that an important Project outcome cannot be measure. The response of the head of the PASAP’s TA to this assertion is that Indicator 4 provides some information that contributes to the Program’s Output 2 (Service quality). Lastly, it is worth pointing out the great deficiency existing at the time of the formulation of the PASAP, with respect to measuring systems for these indictors. In fact, the PEF establishes indicators and goals but there is no systematic collection mechanism of the corresponding information Institutions in charge of measuring these indicators lack an efficient collection, processing and real time presentation system of sector performance’s information and indicators that will make possible appropriate and timely decision making and continued management improvement. The TA has made efforts in this sense contributing to the design of information systems which up to date have not been implemented.

At sector level, it is worth noting that sub-sector PEFS are not only used by the EU, but also by donors in basket funds or convincing SBS actions (e.g. Sweden and Switzerland now). This indicates a very generous contribution made to sub-sectors for harmonization and alignment. The main risks and relevant themes for policy dialogue in the environmental and water sector have been correctly included in sub-sector PEFS for more quality, impact and sustainability of actions:

1. Institutional weakness at the level of the MMAyA (DGP and DGA), Vice-Ministries and executors at central level.
2. Institutional weakness at sub-national level.
3. Lack of comprehensive information systems.
4. Sector’s financial sustainability as a result of no financing from the General Budget of the Nation (PGN).
5. Strategic approaches for population/territorial natural resources coverages.
6. Involvement in policy dialogue on the part of civil society to formulate and implement actions.

I.8.2.2. Evidence and scope of the influence of these frameworks to the improvement of sector policy quality (more leadership of dialogue processes by the GoB, integration of policy dialogue in decision-making and definition of sector policy processes)

At PAMEFF’s level, interviews held provided evidence of the PEF’s influence on the improvement of sector policy quality in so far that it makes possible making an evaluation of this progress, existing limitations and thus, it results in the reformulation of the policy. Next we cite some of the evidence the improvement of the quality of other sectors’ policies based on final reports, systematizations and evaluations performed by the sectors.

With respect to the PAPS1, the final AT report points out the following contributions made to the formulation and implementation of policies:

- Establishment in agreed fashion of sub-national actors and their corresponding competencies related to education, health and economic developed based on information generated by the PEF; adjusting the pattern of public investment and donations from social infrastructure to productive investment to generate and improve income levels.
- Analysis of productive investment and its impact based on outcomes within PEF’s, promoting reflection at FONADAL and VCDI to apply the resources of the PAPS in territorial programs based on agro-ecological, territorial and regional comparative advantages.

The Netherlands performed an evaluation of the PNC1; the TA of the PNC1 SBS also executed systematization processes of lessons learned at TA level and from the postulates of the Declaration of Paris. All these documents point out the contribution made by policy dialogue, centered on a PEF used by sub-sector donors, to the implementation and thus, the reformulation of the policy; meaning, the PNC2 which includes the following lessons learned, among others, pointed out in these documents:

ASPNC’s TA: becoming a dialogue hinge within the sector; achievement of the appropriate connection between SBS and basket funds; improvement of the institutional capacities of sub-sector actors, and establishment of the PEF as sole monitoring instrument for the groups of donors and the verification of the fulfillment of its indicators
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and progress promoted more policy dialogue and management for results.

Within the framework of sector policy support, Basket Funds and SBS instruments supporting sector policies have had a pedagogical effect on other donors and the Government, because these are tools which not only make possible the alignment with national policies on part of cooperation entities, but also promote institutional strengthening and ownership on part of national institutions of the maturing policy. Alignment can only be directed by the government and therefore, it is based on a political decision and policy dialogue that must come from a top government authority that establishes the mandatory nature of alignment and harmonization. The strength of this process in this sub-sector is based on the capacity of the VRHR to organize cooperation agencies’ offer.

I.8.2.3 Evidence of linkage and alignment between PEFs’ indicators and MDGs

There is linkage and alignment between PEF’SBS and the MDG as follows:

- **Goal 1: Eradication of extreme poverty and hunger**

  Contributing programs: PAMEFF and PAPS (1.1, 1.6 and 1.7), PASA (food security: Indicators 1.8 and 1.9).

  - 1.1 Share of population with less than US$1 per day income according to purchasing power parity (Project Approach).
  - 1.6 Share of working population with less than US$1 per day income according to purchase power parity
  - 1.7 Share of population self-employed or working in family businesses
  - 1.8 Underweight children less than five years old
  - 1.9 Share of population that does not reach the minimum consumption of dietary energy

- **Goal 2: Universal primary education**

  The PAPS contributes through the articulation of the ENDIC policy with others such as the education policy. Indicator 4: Number of projects executed based on agreements with other sectors, engaging public and private investment with emphasis placed on health, education and food security.

- **Goal 3: Promotion of gender equality and woman’s autonomy**

  The PAPS contributes through its leadership promotion explicit indicator. Indicator 5: Leadership and exercise of power strengthened for women, female executives and grassroots groups from Yungas of La Paz and the Tropic of Cochabamba.

- **Goal 4: Reduction of infant mortality**

  The PASA contributes through its direct intervention in municipalities with high VAM indexes and the reduction of chronic malnutrition in children less than 2 years old.

- **Goal 7: Guarantee environmental sustainability**

  ASPNC and PACSBIO contribute.

  - 7.1 Proportion of land area covered by forests
  - 7.2 CO2 emissions (total, per capita and per each dollar of GNP (Project Approach) and consumption of substances that deplete the ozone layer
  - 7.3 Proportion of fish populations within safe biological limits
  - 7.4 Proportion of total water resources used
  - 7.5 Proportion of protected land and water areas
  - 7.6 Proportion of species facing extinction

PASAP and PASAR

  - 7.7 Proportion of population with access to improved sources of drinking water
  - 7.8 Proportion of population with access to improved sanitation services.

I.8.2.4 Evidence and scope of the improvement of reliability and durability of statistical data used at national, sectoral and sub-sectoral levels

Efforts are made through SBS in the three sectors to improve data’s quality, reliability and durability. To this respect, in the three sectors this aspect is a policy dialogue issue and thus, it is present in PEFs. The TA’s ToR
program specific outcomes related to the improvement of monitoring and information systems. During the first interviews made during the inception phase, feedback was provided by the TA of the PASAP and PACSBIO, and the final report of the PAPS Coca also includes information to this respect.

The inter-institutional character of supported policies requires information systems articulated between them at sector level and with sub-national levels, as well as a function of the information demands of different actors, other sectors and management levels. The articulation upgrading and development of information systems to measure impacts continues being an important challenge within the framework of policies, most of all in sector three, according to interviews with the Planning Directorate General (DG) and the PASAP’s TA.

For its part, the country has already developed actions that should strengthen the quality of the PEF’s definition. The National Institute of Statistics (INE) is the executing entity of the National Statistical Information System (SNIE) and its function is: To collect, classify, codify, compile and disseminate the country’s official statistical information. In this sense, it is the institution in charge of census and home surveys in the country (population, housing, agricultural, etc.). The Eleventh Population Census and the Fifth Housing Census were conducted in November 2012, and in 2013 preliminary results were reported by the Department. This is the most complete database useful for a number of national goals and the only source of information of minor geographic areas. Information generated by the Census is essential because it makes possible: the formulation of poverty indexes, having knowledge about the education and health situation, the labor and economic activity of the population; quantification and qualification of existing homes and basic services available and the updating of the rural and urban statistical mapping.

Another important source of statistical information for the ENDIC will be the National Agricultural Census of 2013. Its information will be used to updates the ENDIC’s baseline, mainly Indicator 1, as part of subsequent evaluations of sector policy performance.

During the field mission, research was performed on links between the INE and supported sectors and actions programmed to improve the quality of information, mainly with respect to measuring policy impact, which continues being a pending issue because of the unavailability of indicators and statistical information systems. In this sense, the INE reported that the 2025 Agenda establishes indicators to measure all by results. In Bolivia, meetings have been held with the World Bank to start the “Modernization of the Statistical System of the Plurinational State” program. A law is being promoted to this respect. The international trend is to replace census with administrative records. They don’t want to repeat negative experiences and for information to be provided by institutional systems. Statistics should not be a burden; these should be inter-operational systems that generate statistics, which is related to e-government under the Ministry of Development Planning. The challenge is to interrelate one sector with another: for example, a doctor should ask whether there is a drinking water connection available...This is what working with the WB is going to entail.

The INE does not know everything sectors need to evaluate sector policies and therefore, inter-sector dialogue and sectors dialogue with the INE is essential.

The following institutions are responsible for data collection for the presentation of reports:

- The Operational-technical unit of the Vice-Ministry of Treasury and Public Credit is in charge of collecting information for reports within PAMEFF’s framework. For this sector is important to monitor the follow up of the recommendation made by the mission, with respect to developing a monitoring, follow up and evaluation system that will make possible improving financial monitoring and the social impact of BDP activities, and the evaluation of the social impact of BDP activities and the review of the BDP’s Strategic Plan aiming at incorporating gender and environmental sustainability approaches into institutional culture, as well as into its financial services and products.
- VCDI and FONADAL, with respect to statistical data of areas and to articulate with other government units that according to the PAPS1’ TA report, encountered difficulties preparing reports.
- DGP of MMAYA, VRHR and VMA/SERNAP have basic tools and collect data by hand up to now.

These bodies corroborate the fact that information collection should improve in order for it to be dynamic and not collected by hand but automatically. The problem does not entail only systems, but also back up documentation of indicators. Perhaps, in the opinion of some actors (MEFP), verification sources should be simplified.
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At the PAMEFF's level, it is estimated that Vice-Ministries (Treasury and Tax Policy) according to available policy analysis, have good professional capacity and only with respect to program monitoring they may need to contract additional professional capacity. For its part the BDP's capacity, also according to available policy analysis, seems to be of sufficient quality to assume its role in the implementation of the Sector Plan: this role coincides almost entirely with the Institutional Strategic Plan. The following are weak points identified by analysis presented for disbursements:

The following are weak points identified by the analysis submitted for disbursements: monitoring system of the social impact of Bank activities; more integration of gender and environmental sustainability approaches, which are currently managed and are part of the activities programmed during the first implementation stage of the Plan and through supplementary assistance.

At the VCDI and FONADAL level, it is worth noting the process for the strong strengthening of FONADAL during the execution of the FONADAL Yungas project (during which a strengthening plan for over 10 areas was executed in full). The PAPS Coca’s TA continued supporting the FONADAL and the VCDI as indicated by the TA report, as well as municipal-level units (very relevant weakness for the execution of funds).

The policy analysis submitted to formulate the PAPS2 includes the following to this respect: “with respect to FONADAL as indicated in chapter 3.2, “Institutional Framework”, is a decentralized entity working under the VCDI and operationally dependent of the VCDI. The FONADAL operates in ENDIC’s coverage areas and along the years, it evolved from being a traditional alternative development program to an entity with strong operating capacity that executes programs and projects under the Comprehensive Development with Coca approach. FONADAL was institutionally strengthen during the past few years, capturing and executing public investment resources, EU’s funds and those of other donors in economic-productive and social projects. Starting in 2007, the FONADAL has substantially improved its organizational structure, its infrastructure and equipment. Management has been consolidated through the use of procedure manuals and computer systems. Meanwhile, the institution's sustainability up to now mostly dependent of cooperation funds, and the strengthening of the institutional framework and maintenance of the operating structure are still great concerns for FONADAL’s management.

The extensive internal strengthening process of the last few years has yielded good outcomes. Among the effects achieved it is worth noting the improvement of the following management operations: i) management structure and manuals, ii) audit monitoring, iii) documentation system, iv) accounting and budget management, v) processing before the VIPFE and the MEFP, vi) System for the physical and financial monitoring of projects, vii) System for the closing and transference of projects, viii) Comprehensive (on line) information system.

With respect to financial management, important progress has been made through the implementation of an accounting system (“Visual accounting”), which makes possible the parallel management of the project and institution's accounting. Starting in 2010, the Comprehensive System for Technical and Administrative processes (SIPTA), aimed at project, process tracking, operating controls of contracting processes, whose main characteristic is on line work through an internal network with FONADAL’s regional offices, partners and governing institutions.\(^50\)

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\(^{50}\) SIPTA is an on-line system with four modules: projects, contracts, files, correspondence. It's interconnected with the accounting system making possible the management of comprehensive data for Project management (physical-financial information).

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Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

The result of these projects has resulted in the increase of resource management capacity, as shown by the following diagram:

![Execution 2005 – 2010 in million Bolivianos](image)

Source: “Final Yungas Presentation FONADAL (PowerPoint).”

There are some institutional strengthening issues still pending, as shown by the following FODA analysis of the PAPS2 sector policy:

**Box: FODA analysis of VCDI**

<table>
<thead>
<tr>
<th>STRENGTHS</th>
<th>WEAKNESSES</th>
</tr>
</thead>
</table>
| 1. The VCDI’s staff is committed to the current comprehensive development policy.  
2. VCDI's authority is recognized by the sector.  
3. Good coordination between the staff of the Coordination and Planning Link and International Cooperation.  
4. Good coordination between the staff of Directorates and coca leaf producers.  
5. Decentralization of MDRT’s administrative processes in favor of the VCDI. | 1. The VCDI has not managed to articulate all of its structure to applying the comprehensive development integration and industrialization.  
2. The previous structure separating development from rationalization operating activities is still persistent.  
3. No attributions are assigned for the full compliance of the Directorate functions.  
4. More internal perception of the impact of comprehensive development is necessary.  
5. It is required for technical staff to gain more knowledge with respect to industrialization.  
6. Lack of effectiveness in coordination and facilitation with other sector actors.  
7. High dependency on international cooperation financing.  
8. TGN’s insufficient financial resources to make possible strengthening VCDI’s activities.  
9. Physical division between the offices of the VCDI and its Directorates.  
10. High staff turnover due to political reasons. |

<table>
<thead>
<tr>
<th>OPPORTUNITIES</th>
<th>THREATS</th>
</tr>
</thead>
</table>
| 1. There is a constitutional mandate to re-value coca leaf.  
2. The development of the agricultural sector is a strategic issue of the PND.  
3. The international cooperation is willing to support the PNDIC.  
4. Coca producers want to improve their living conditions through comprehensive development.  
5. High level of interaction between coca leaf producers and the Executive administration.  
6. Formalization of the social control of coca by coca leaf producers.  
7. Existence of institution such as FONADAL and projects financed by the international cooperation | 1. Ministries, prefectures, municipalities, international cooperation and private sector not committed to Comprehensive Development Plan.  
2. Social organizations push only for short-term projects without a long-term perspective.  
3. Risk of international cooperation not continuing financing development policies.  
4. Insufficient National Treasury resources.  
5. Markets are not opened for alternative products.  
6. Illegal uses of coca leaf generate more revenues than its industrialization.  
7. Political and social instability forcing policy changes. |
Another pending issue for this policy is the strengthening of sub-national entities: departments and municipalities that play an important role in policy implementation. To this respect, the policy's analysis states that: "The important challenge with respect to the institutional capacity of sub-national levels is to increase municipalities' level of budget execution in ENDIC's coverage areas because most of them show important sub-level execution levels. This situation is a major concern for sector strategic actors interviewed by the formulation mission: MDRyT, VCDI, FONADAL, VIPFE, taking into consideration the attributes conferred by the ENDIC to sub-national levels in terms of responsibilities related to formulation, execution and monitoring of the activities of the Strategy."

At the level of the MMAyA, TAs for PNC1, PASAP and PACSBIO have made strengthening efforts through diagnostic and timely actions whose effect and application must be verified by a field mission. For example, the PNC1, for which there is a TA systematization available, executed 16 missions related to management instruments. The sector assumed ownership of these instruments, some applied in practice such as strategies for master plans. However, the VRHR demands a higher degree of application of management-related generated inputs. At sub-national level, the strengthening of actors such as, mainly, municipalities is still pending and a specific instrument has been considered within the framework of PNC2.

Policy analysis establish that at this level, the VRHR has improved its structure through the differentiation of operational areas within the organization of the Vice-Ministry and the gradual but permanent adoption of new challenges and a change of emphasis. The organization has also implemented a limited but successful decentralization, through a regional office in Sucre that provides support to the three southern departments, and an office in Trinidad that represents the VRHR in the low-lands Beni department. These decentralized VRHR offices can serve to expand its presence in provinces through the reinforcement of the staff of other ministries. A recent evaluation of the institutional capacity of the VRHR point out the need to expand decentralized offices to other departments to make possible effective coordination with local governments.

Although institutional capacity has been satisfactory at VRHR level, the capacity of sub-national levels, in general terms is considered insufficient to achieve lasting effects. In the nine departments the situation varies and even more important differences are found at municipal level. While the legal system assigns large scope responsibilities, related to the management of water resources, basin protection and development of water resources to cover basic needs, the conditions to comply with these responsibilities are generally absent.

The Protected Areas sector receives support from different donors, in concrete PACSBIO’s TA, which is included in the 2013 policy analysis. As an example, some interventions are described below, all framed within the Master Plan of this subsector which is an important document that articulates institutional strengthening actions. During the field phase it was established that the EU has become the first donor for this sub-sector and thus, the degree of donor harmonization has not been high. The absorption capacity of counterparts at different levels continues being a challenge because of staff turnover and persistent institutional weakness.

Institutional strengthening of the environmental sector has included different action areas training, management, equipment, tourism, communications, etc.

Institutional strengthening during the 2012 term has been diverse and important of the SNAP because in this fashion the Master Plan is executed.

Table 10. SNAP: Institutional Strengthening by Financing Entity and/or Thematic

<table>
<thead>
<tr>
<th>ENTITY OR THEMATIC</th>
<th>BRIEF DESCRIPTION OF STRENGTHENING (ACTION)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Embassy of Japan</td>
<td>Provision of equipment and logistics for PAs covering forests facing the risk of fire or other natural disasters. This project has been running since 2013.</td>
</tr>
</tbody>
</table>
| Embassy of Denmark | 1. Strengthening of protection team through equipment provision.  
|                    | 2. Turtle Cemetery Paleontology Center.  
|                    | 3. Ticucha Camp at the ANMI Iñao National Park.  
| BIAP               | 1. Support through the provision of the following equipment to 9 protected areas: |
### EQ 8

**Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)**

**To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?**

<table>
<thead>
<tr>
<th>EQ 8</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>GPSs, cameras, full communication radios, motorcycles, boats, 4x4 vehicles, satellite phones and computer equipment, in addition to the maintenance of vehicle, motorcycles and boats.</strong></td>
<td><strong>2. The Management consulting action was concluded.</strong></td>
</tr>
<tr>
<td><strong>3. Provision of latest-generation servers to the SERNAP.</strong></td>
<td><strong>4. Short consulting works: social perception in Cotapata and Madidi; forest coverage and change of land use.</strong></td>
</tr>
<tr>
<td><strong>BIAP projects have had continuity since 2012, with all technical assistance provided to projects concluded.</strong></td>
<td></td>
</tr>
</tbody>
</table>

**FUNDES SNAP**

Creation of guide for the development of Strategic Financial Plans for protected areas so that they may develop financing alternatives to ensure self-sustainability.

**UNDP**

Seventeen projects have been established in 4 protected areas of the Chaco’s eco-region, taking into consideration focal biodiversity preservation areas, soil degradation and climate change.

### EC 8.3:

SBS actions have promoted alignment around national budgeting processes and have promoted an increase of the national budget allocation to sector policies supported by the EU and the predictability of disbursements.

**I.8.3.1 Evidence of the positive influence of SBS processes on the improvement of ODA’s alignment and harmonization around national procedures (policies, PEF, budget, reports and capacity development)**

According to the PNC’s systematization within the framework of the Declaration of Paris, the Declaration states that “There are important advances made with respect to the lessening of the terms and demands the Government has to comply with to receive foreign aid (…)”. “The biggest added value of the donor community to Bolivia’s development, within the framework of the Declaration of Paris, it is observed in its capacity to adapt to structural changes taking place in the country since 2006. Donor-driven practices have decreased substantially in the country, probably not because of the Declaration of Paris per se, but because Bolivia’s fiscal capacities allow it to be more selective with the cooperation it receives, exercising its sovereignty principle. In this fashion, a number of cooperation agencies that traditionally supported strategic areas, such as institutional framework, justice and governance left at the request of the GoB.”

In Bolivia, cooperation agencies and the GoB, through the Ministry of Development Planning, agreed to implement the Group of Partners for Development (GRUS), composed by the main bilateral and multilateral cooperation agencies and the GoB. This high level body is replicated at three other levels: dialogue and conceptual construction, executive and operating level for the sector’s case. The GRUS is headed by the international cooperation and it is the highest hierarchy coordination and harmonization body. There are 8 sector groups under the GRUS in which cooperation agencies related to the corresponding sector and respective ministries participate. At a third level there are (sub) sector groups for issues of special interest to the GoB and/or cooperation agencies whose development, level of participation on part of the GoB, operational level, etc. could be very asymmetrical between them. At this level, GoB’s leadership is greater.

With respect to the PAMEFF, the monitoring report indicates that there is “insufficient donor harmonization because the EU is the sole donor within the framework of this sub-sector policy and at the time of the ROM mission (November 2013) other donors such as DANIDA, COSUDE and GIZ are financing MEFP/BDP’s subcomponents also supported by PAMEFF (Guarantee Fund, Non-financial Services, etc.) In spite of MEFP reporting and sharing Sector Policy within the GRUs’ framework, a harmonized performance framework has not been reached between donors. During the field progress was not perceived at the sector’s level.

With respect to PASA, according to the progress report of food security policy of August 2012, it is worth noting the interest on part of the MDRyT to assume the effective leadership of the assistance coordination process, up to now scanty coordinated, and the implementation of the Food Security with Sovereignty Platform aimed at the implementation of Law 144. The platform aims at its consolidation as a discussion, coordination and strategy construction space, through periodic meetings (two up to now) and the use of an interactive webpage (under
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**Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)**

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

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construction), which may include not only cooperation agencies, but also NGOs, local governments (governorates and municipalities) and education institutions (mainly universities). Furthermore, EU’s International technical assistance (ITA) for this program developed a SBS guide to implement development programs under this modality, considered at sector level as a central element to generate synergies with the International Cooperation, civil society and sub-national governments, making possible joining efforts to implement national strategies. Currently the EUD prepares a policy dialogue with the MDRyT, FONADAL, FAO and WFP, within the framework of the development of a new 2015 SBS, taking into account as intervention areas those most vulnerable according to the 2013 VAM index.

With respect to the PAPS1, according to the last policy progress report of November 2010, there is an MESDI Sector Group whose activities were taken up again at the beginning of 2010 and has been promoted through SBS, there is a need to consolidate a dialogue mechanism under governmental leadership that will make possible not only monitoring the EU’s SBS, but also the strengthening alignment, harmonization and coordination of relevant sector donors. The objective of this group has been to consolidate a joint strategic vision of the sector, identification of priorities in consensus with the GoB and the allocation of resources as a function of these priorities, evaluation of the 2006-2010 National Comprehensive Development Plan and the design of the new PNDC.

With respect to sector 3, it has an Environmental and Natural Resources Group with three sub-groups: 1) work group for basin sector, 2) Water and Sanitation Group and 3) Protected Areas Group, which include the participation of basket fund donors, SBS and other bilateral and multilateral cooperation. These groups have been dialogue and alignment platforms with significant development based on the political dialogue established between the MMAyA, Vice-Ministries and Executing Agencies (SERNAP, EPSAS, SENASBA, etc.), donors and cooperation agencies, where each one can identify and recognize the position and direction of international cooperation actors under the development priorities, plans and strategies of each sector.

Joint financial mechanisms such as SBS (EU, Sweden (water and sanitation) and now the IDB (within the framework of PNC) and basket funds (Joined Financial Agreement signed by the Netherlands, Denmark, Sweden, Switzerland and Germany) stand out for making a qualitative jump since 2008 (systematization within the framework of the Declaration of Paris) because they are developed in coherent fashion with respect to the alignment and harmonization principle, strengthening sub-sector policies. These instruments make possible for the sector to have better mapping of capacities and offer specialties to request financial support and capacities from different international cooperation organizations.

However, one of the biggest limitations to the implementation of these modalities is the weakness of the Directorate General of Planning and Administration and Finances of the ministries receiving assistance, vice-ministries and their executing entities. To deal with this weakness, donor groups promote coordination to execute actions through fluid and correct communication. Without doubt, the establishment, application and monitoring of the 3 existing PEFs, as harmonized instruments of management for results, is one of the main achievements of SBS actions in this sector.

Currently, the biggest challenge facing these groups consists of joining efforts to create one group centered on a policy that integrates the 3 sub-sectors and thus, consolidates the support provided to the 3 policies into one. According to information provided by the EUD, within the framework of interviews held at the Planning DG of the MMAyA, the goals is to have by 2017 an Environmental and Water comprehensive policy, for the 3 current SBS programs to continue up to that date and starting in 2017 to have only one SBS for this sector.

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I.8.3.2 Evidence to the fact that the disbursement terms and conditions of each segment were defined jointly with the Government within the framework of policy dialogue

I.8.3.9 Evidence to the fact that indicators used for disbursements are derived from PEFs established within the framework policy dialogue

Policy dialogue has become a tool for the joint definition of disbursement terms between donors, government and even civil society (e.g. report of the formulation of the PAMEFF, PACSBIIO and PAPS 2), based on sector indicators with process goals, outputs and concrete outcomes by sectors. SBS formulation missions in charge of proposing the first versions of the terms and conditions, include as a mandate in their terms of reference, the facilitation of this dialogue based on participative spaces and playing the role of catalyzing agents to promote
EQ 8

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consensus with and within the EU, other donors (Member States in particular), Government and civil society. This effort, which normally takes place in very short time periods (sometimes too short (4 weeks to produce a series of documents and establish proposals for sector indicators or review existing ones), contributes to facilitate the subsequent dialogue between the EU and other donors up to the effective signature of agreements. These activities are described in the reports of these formulation missions. Furthermore, EUD’s documentation concerning this policy dialogue could be verified during formulation phases or the adjustment of disbursement terms and conditions.

During the field phase, researched was performed about processes to define indicators through interviews of sector heads who confirmed that their respective negotiation within the framework of the preparation of financing agreements center on policy PEFS in participative fashion.

It is worth noting that with respect to sector 2 (Coca) a task still pending is the definition of a sector PEF within the framework of a second generation SBS, which could be perceived as a weakness of the policy formulation process since it does not have an accompanying PDF. This as a follow up of a previous SBS that included 16 indicators, which although articulated with the policy, were not part of a sector document in forma terms.

I.8.3.3 Existence of dialogue concerning public finance management

Within the framework of PAPS1 and its permanent TA, contribution was made to the management and functionality of public finances, at central level as well as the level of sub-national actors. PAPS TA’s technical and methodological contributions were aimed at:

- Identification and technical accompaniment to develop an action plan to improve public finance management (PAMGFP), based on a number of diagnostics developed by the GoB (EFIP) and their situation analysis, developed by means of the PEFA’s reference framework. As well as its socialization and validation by the donor community within the context of the Macro-economy Group.
- The optimizing of public finances at sub-national level, working in joint fashion with a number of municipalities from PNDIC/ENDIC coverage areas.

The EUD holds a policy dialogue with the GoB based on this Improvement Plan, which is permanently monitored and documented in exemplary fashion. The credibility or the reform process is based on, according to EUD’s information, the progress made in the implementation of the PAMGFP since its approval. Financial execution as of June 2013 reached 31.4% and physical progress exceeds 50%. General progress is satisfactory, in addition to being credible and relevant, including specific events such as:

- Policy dialogue effectiveness making possible the application of the PAMGFP
- Major progress made in the application of the Plan, mainly with government resources
- New Budget Management law waiting to be approved by the Assembly
- Application of the Macro Medium-Term Fiscal Framework to develop the budget for 2012 and 2013
- Design, development and implementation of the Public Management System
- Preparation of the National Treasury and Public Credit system law
- Preparation of the Tax and Tariff Reform bill
- Tax Code update
- Preparation of Public Contracting bill
- Promulagation of Public Enterprise Law
- Bill of the Organic law of the State Comptroller General, submitted to the National Assembly for its approval
- Major increase in tax revenues, SIN (taxes) and ANB (tariffs) between 2012 and 2013.
- Development of regulations for local public finance management (local debt, territorial statistics, local fiscal sustainability) and promotion of public institutions.

Main challenges to Public Finance Management will be middle-term (PNCZ’ action fiche): overcoming weakness indentified in the six areas of budget cycle; consolidation of main reforms; more involvement on part of the Assembly in Public Finance Management processes; ensuring a solvent tax collection system; improvement of corruption control mechanisms; promotion of the new focus of the new budget support guide; offsetting of dependency on state revenues related to the sale of hydrocarbon fuels and conclude the
delegation and subsequent promulgation of the new investment law that will reduce uncertainty and will promote local and foreign private investment.

Public finance management has improved without major foreign financing, which has been assigned to purely technical activities, showing the great interest on part of the national Government on this issue, according to reports submitted up to now.

The filed mission consulted the corresponding documentation of this policy dialogue and interviewed EU and involved national counterparts’ people.

1.8.3.4 Evidence of the improvement of the situation concerning redistribution through direct transfers to sub-national levels, based on dialogue processes within the framework of supported sector policies

Bolivia is one of the few countries that collects, for example, the IDH (direct tax on hydrocarbon fuels) and transfers funds the same day to sub-national institutions (co-participation tax system) within the framework of an automatic process and thus, resources are accumulated in the accounts of sub-national levels. In terms of decentralization, Bolivia is making progress in terms of the transference of resources. The Constitution and the autonomy framework law establish an autonomic regime and autonomous management without national level intervention. Furthermore, these levels can create certain types of taxes (real state and vehicle taxes), but progress to this respect is slow. Tarija receives a lot and Oruro not very much for production and is entitled to a compensation based on co-participation in spite of not being a producer department.

The GoB has executed direct redistribution policies, favoring most vulnerable sectors of the population. Beginning in 2006, the redistribution of resources has been implemented through stipends such as the Juancito Pinto, Renta Dignidad and since 2010, the Juana Azurduy stipend. The goal is to prevent children from dropping out of school, the improvement of the living conditions of the elderly and reduction of maternal-infant mortality. The Juancito Pinto stipend is for students attending public schools. They receive direct cash transfers once a year. Breastfeeding mothers and children less than 5 benefit from the Juana Azurduy stipend, which is paid based on visits to health centers. People over 60 years old benefit from the Renta Dignidad stipend, consolidated cash transfers started in 1997. Through these cash transfers, State’s assistance reaches in direct fashion 31% of Bolivia’s population, with an investment of approximately US$370 million. Another redistribution mode is evident since 2008, when municipal governments’ investments is larger than governorates’ investments; bit the most relevant is the growth of investments managed by the central Government as shown by the following table.

| DEGREE OF DECENTRALIZATION BASED ON INVESTMENTS (in millions of US$ USD) |
|-----------------------------|-----------------|------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
|                             | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 |
| TOTAL                       | 636  | 880  | 1,005| 1,351| 1,439| 1,521| 2,182| 2,873| 3,07 |
| Regional Co-financing       | 90   | 71   | 55   | 73   | 107  | 100  | 125  | 128  | 62  |
| Departmental Administration  | 149  | 326  | 357  | 324  | 398  | 271  | 344  | 484  | 709 |
| Municipal Administration     | 96   | 202  | 266  | 493  | 423  | 460  | 556  | 731  | 867 |
| Central Administration       | 301  | 281  | 327  | 461  | 511  | 690  | 1,157| 1,530| 2,169|


Another important consideration is that in Bolivia the distribution of State resources is performed based on the number of people per municipality and some additional criteria, incorporating poverty indicators at municipal level emitted by the INE every 10 years. Based on this criteria, the volume of resources corresponding to each municipality is determined, global amount which may vary depending on the price of hydrocarbon fuels in the international market.

The presence of this issue in policy dialogue processes will have to be verified to improve redistribution through this type of transfers to prioritized intervention areas, most vulnerable and extreme poverty ones in particular.
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

This fact has particular relevance since in spite of important achievement made marking a positive trend in Bolivia toward the reduction of poverty factors and increase of opportunities, there are still high persistent levels of inequality. The Gini coefficient was 0.53 in 2008, 0.50 in 2009 and 0.50 in 2010. For country officials, the challenge now is to reconcile the economic growth of the past few years to promote investment and productive development that generates employment through redistribution policies that decrease inequalities in access to opportunities and offer more income distribution equity.

Within the framework of the PAPS1, it was possible to confirm through surveys, given the lack of updated INE statistics, a reduction in Unsatisfied Basic Needs (UBN) and poverty in intervened municipalities with respect to the 2001 census.

Furthermore, the objective of the policy supported by the PAMEFF is to improve the promotion of the development and formalization of SMEs from a financial and fiscal perspective to create employment and improve income. This general objective is supplemented by better access to financing (financial inclusion) for economic sectors generally excluded from financing from traditional sources, to promote economic justice, development and economic production to achieve social and economic development.

The 2012 MMAyA’s report points out that it has increased drinking water coverage to 89%, implying that the millennium goal has been exceeded in urban/peri-urban areas of the country’s backbone by 10.5%. It also points out that work needs to be performed in intermediate size cities, as well as in rural areas, through actions to be executed starting in 2012. Sanitation coverage reached 2% meaning that achieving the millennium goal is still distant. With respect to irrigation, following the poverty reduction and food security premises, the MMAyA increased the productive capacity of small and medium-size farmers, benefiting 32,120 families during 2012, in addition to increasing production levels by incorporating approximately 75,116 hectares to the national productive agricultural apparatus since 2006. The PNC II considers poverty reduction as a cross-cutting issue, and contributes in major fashion to the fulfillment of this objective while promoting water resources management aimed at and articulated to human development objectives and the wellbeing of people to generate social and economic benefits for people.

I.8.3.5 Evidence of the increase of the predictability of disbursements with respect to annual, bi-annual and quarterly disbursement goals

There is no problem with variable segments. SBS tends to improve predictability; however, there have been problems getting dossiers ready for variable segments because they include a good amount of information to verify the fulfillment of indicators and it causes delays. The problem is not the systems but the information backing up indicators. Furthermore, the EU sometimes has delays sending resources from Brussels. If the dossiers are sent in August, people are on vacation in Brussels and resources do not arrive until December and therefore, to allocate them there is only one month to register them. Law 2042 allows for these resources to be used based on an estimate and to use them when they arrive. For example, the PAMEFF is programmed calculating the total amount of the Variable Segment. In the financial planning section, the Agreement sets March as the month to submit the dossier but it is submitted in August. During the first months account balances are closed which is a priority.

EU’s SBS in Bolivia has a high disbursement rate (96%) for the 3 already concluded (in red) SBS programs as follows:

<table>
<thead>
<tr>
<th>No. of Agreement</th>
<th>Title</th>
<th>Total Disbursement</th>
<th>Programmed Total</th>
<th>Current disbursement level</th>
<th>Pending disbursements</th>
<th>% Pending</th>
<th>% Projected</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2011/022-861</td>
<td>PAMEFF</td>
<td>17.600.000,00</td>
<td>33.000.000,00</td>
<td>53%</td>
<td>14.000.000,00</td>
<td>42%</td>
<td>96%</td>
</tr>
<tr>
<td>DCI/ALA/2007/019-027</td>
<td>PAPS1</td>
<td>22.525.000,00</td>
<td>24.000.000,00</td>
<td>94%</td>
<td></td>
<td></td>
<td>99%</td>
</tr>
<tr>
<td>DCI/ALA/FOOD/2009-022-002</td>
<td>PASA 2009</td>
<td>10.081.500,00</td>
<td>10.500.000,00</td>
<td>96%</td>
<td></td>
<td></td>
<td>99%</td>
</tr>
</tbody>
</table>
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

<table>
<thead>
<tr>
<th>DCI/ALA/2008/019-306</th>
<th>ASPNC</th>
<th>15,850,000.00</th>
<th>16,000,000.00</th>
<th>99%</th>
<th>99%</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2011/022-834</td>
<td>PACS BIO</td>
<td>7,800,000.00</td>
<td>14,000,000.00</td>
<td>56%</td>
<td>6,000,000.00</td>
</tr>
<tr>
<td>DCI/ALA/2010/021-927</td>
<td>PASAP</td>
<td>15,350,000.00</td>
<td>18,500,000.00</td>
<td>83%</td>
<td>2,500,000.00</td>
</tr>
</tbody>
</table>

Current average 80%

Average SBS concluded 96%

For ongoing SBS actions the trend continues being high and is expected for them to also reach high levels at their conclusion.

I.8.3.6 Trends of the General National Treasury (TGE) funds aimed at sectoral policies supported by the EU

We use as example ENDIC and PNC policies. However, we have to take into account that this aspect is part of policy dialogue and part of most SBS’ PEFs in Bolivia because it has been identified as one of the main weaknesses of supported policies (ENDIC, PNC, PACS BIO). With respect to the ENDIC, TGE’s contribution represented between 2010 and 2011 less than 30% reaching 37% by 2012; however, this increase is not due to an increase of domestic resources but a considerable decrease of cooperation contributions for that year.

Box: Allocation of TGN and international cooperation’s resources by zone and term

<table>
<thead>
<tr>
<th>Zone</th>
<th>TDC</th>
<th>YDLP</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Domestic</td>
<td>External</td>
</tr>
<tr>
<td>2010</td>
<td>49,12,977</td>
<td>95,028,95</td>
</tr>
<tr>
<td>2011</td>
<td>135,302,841</td>
<td>73,304,086</td>
</tr>
<tr>
<td>Total</td>
<td>351,884,901</td>
<td>228,48,105</td>
</tr>
</tbody>
</table>

Source: Own development (sector policy report attached to the PAPS 2’s action fiche)

As previously mentioned, FONADAL’s technical team in spite of being financed by the TGE, does not have permanent quality staff but only temporary, which creates a risk for the sustainability of this policy.

TGN’s budget allocated to the MMAyA, and as part of sector national policies, is Bs. 467,275 million for 2011 and Bs. 646,463 for 2012, registering an increase of 38% for that term. This increase made possible for executing entities such as EMAGUA, SENASBA, UCP CAF and UCP PAAP to have resources to expand coverage. In PNC’s case it is worth noting a constant participation of the TGN in this policy, most of all based on municipalities’ investment co-financing mechanisms:

<table>
<thead>
<tr>
<th>Year</th>
<th>TGE Budget Bs. PNC</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>728,262.00</td>
</tr>
<tr>
<td>2007</td>
<td>1,186,471.00</td>
</tr>
<tr>
<td>2008</td>
<td>1,397,002.00</td>
</tr>
<tr>
<td>2009</td>
<td>1,605,273.00</td>
</tr>
<tr>
<td>2010</td>
<td>2,604,233.00</td>
</tr>
<tr>
<td>2011</td>
<td>3,844,303.00</td>
</tr>
<tr>
<td>2012</td>
<td>5,464,543.00</td>
</tr>
</tbody>
</table>

Source: VRHR

Furthermore, a good share of the VRHR’s technical team (25 items) is being assumed by the TGE; However, this aspect is part of the policy dialogue process and a task that must be given continuity aimed at gradual independence from cooperation, with more participation, for example, of departmental and municipal governments. Investment percentages have remained constant around 80% and institutional strengthening (recurring expense) at 20%. Out of this 20%, 10% go to salaries.
EQ 8

Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

Within PAMEFF’s framework, SBS contribution (33 million euros) represents approximately 58% of the budget programmed for sector policy (57 million euros). The challenge continues being to increase financing from other sources, mainly from the National Treasury. However the risk of this sector policy stopping being financed is considered to be low based on the last sector policy report.

It will be important to verify with respect to these sectors if the increase that took place during 2013 was sustained.

Furthermore, according to monitoring and TA reports at PAMEFF’s level (monitoring report), there is evidence of excessive delays in the preparation of payment requests dossiers and subsequent disbursement analysis-release process affecting the predictability of SBS funds.

With respect to PAPS1, the report pointed out the importance of having the “indicative” disbursement schedule, established by the Financing Agreement, be compatible with the regulations and the schedule of national budgeting processes (Development of Sector and National Budget and National Financial Law; Central Bank Reports; MEFP Reports) and with international institutions that provide financial and macroeconomic information for reports since the PAPS required one year for the agreement’s addenda. The field mission establishes this experience or lesson learned as relevant and to take into account in following SBS actions in order for the review and adjustment of the “indicative” schedule to be one of the first activities undertaken by the Sector Institution.

I.8.3.7 Increase of available budget for discretional expenses

In Bolivia, as previously described, TGE’s contribution has increased for supported policies. Supported sectors depend to a high degree on ODA, notwithstanding the increase in budget assistance and the resulting additional budget thanks to SBS actions, which although varying from one year to another, has increased the budget available for discretional expenses within the framework of these policies.

The case of the coca sector:

<table>
<thead>
<tr>
<th>Ejercicio</th>
<th>Total recursos internos (4)</th>
<th>Recursos de la cooperación (5)</th>
<th>Total (6)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>45,178,416</td>
<td>125,072,642</td>
<td>170,251,058</td>
</tr>
<tr>
<td>2010</td>
<td>50,186,372</td>
<td>155,715,365</td>
<td>205,901,737</td>
</tr>
<tr>
<td>2011</td>
<td>51,179,577</td>
<td>126,905,731</td>
<td>178,085,308</td>
</tr>
<tr>
<td>2012</td>
<td>43,299,095</td>
<td>73,715,101</td>
<td>117,014,196</td>
</tr>
<tr>
<td>Total</td>
<td>189,843,460</td>
<td>481,408,839</td>
<td>671,252,299</td>
</tr>
</tbody>
</table>

The following amounts corresponding to the EU (important percentage of cooperation for this sector)

<table>
<thead>
<tr>
<th>Year</th>
<th>EU</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>62,265,198</td>
</tr>
<tr>
<td>2010</td>
<td>115,058,854</td>
</tr>
<tr>
<td>2011</td>
<td>79,511,317</td>
</tr>
<tr>
<td>2012</td>
<td>62,763,633</td>
</tr>
</tbody>
</table>
I.8.3.8 Evidence of the increase of ODA’s amounts and participation managed through national budget processes as a result of SBS flow of funds

The sector showing an increase of ODA managed through national budgeting processes as a result of SBS actions is the MMAyA sector, where basket funds and co-financing has been created, as shown in the previous indicator’s table.

In this sense, it will be relevant to take a look into is the evolution from 2008 to 2013 of these ODA modalities for this sector, and the percentages of ODA managed through these instruments. This information will be requested from the MMAyA updated from year to year to see the evolution of funds received under the SBS modality, which

<table>
<thead>
<tr>
<th>Finance source</th>
<th>Estimate January 2013</th>
<th>Estimate April 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co-financial assistance by subnational governments</td>
<td>30.0</td>
<td>35.0</td>
</tr>
<tr>
<td>National treasury</td>
<td>3.0</td>
<td>5.0</td>
</tr>
<tr>
<td>Joint Finance Agreement (PNC1)</td>
<td>1.5</td>
<td>1.5</td>
</tr>
<tr>
<td>Belgian Cooperation</td>
<td></td>
<td>15.0</td>
</tr>
<tr>
<td>Bilateral finance of projects</td>
<td>9.0</td>
<td>7.0</td>
</tr>
<tr>
<td>KFW (PNC)</td>
<td>13.0</td>
<td>13.0</td>
</tr>
<tr>
<td>KFW (POC Ravelo)</td>
<td></td>
<td>6.5</td>
</tr>
<tr>
<td>GIZ/PROAGRO (TA)</td>
<td>1.0</td>
<td>1.3</td>
</tr>
<tr>
<td>COSIDE/GESTOR (TA)</td>
<td>2.5</td>
<td>2.5</td>
</tr>
<tr>
<td>COSIDE/GESTOR 2 (TA&amp;finance)</td>
<td></td>
<td>5.0</td>
</tr>
<tr>
<td>EU SBS (ASPNC1 y 2)</td>
<td>13.0</td>
<td>13.0</td>
</tr>
<tr>
<td>EU (advisory SBS)</td>
<td></td>
<td>22.3</td>
</tr>
<tr>
<td>Swedish SBS</td>
<td>3.5</td>
<td>3.5</td>
</tr>
<tr>
<td>PPCR (IM/BID)</td>
<td>24.0</td>
<td>19.0</td>
</tr>
<tr>
<td>Additional funds required</td>
<td>15.3</td>
<td></td>
</tr>
<tr>
<td>Total ODA</td>
<td>115.8</td>
<td>149.6</td>
</tr>
<tr>
<td>% of total estimate 2014</td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

Decree 1841 of December 2013 is a regulation concerning the management of accounts regulating the fungibility of funds flowing through EU’s SBS actions in Bolivia. This decree has been assumed with little motivation by line ministries who feel that although additional goals have been established to be met, resources do not go to the sector but to the TGE. This requires a serious dialogue between the sector and the MEFP and EU’s support is requested. The regulation for its application came out just in June 2014 and now sectors are preparing the registration of expenditures for 2015. The decree aims at organizing this process making the management of SBS less discretionary, establishing for SBS resources to be deposited in one sole Treasury account, following fungibility and not traceability principles. Sectors acted as small treasuries themselves. With respect to the MEFP, this new modality organizes what used to be SBS processing, conferring control to the MEFP of all received resources, opposite to what had taken place in the past where it was only the executing body that knew what it was doing. At program level there will be an execution period to avoid having entities complaining when the budget ceiling is lowered. Line ministries now complain for not being to manage these resources. Everything ministries do has to be framed within their plans. The MEFP has held meetings with the administrative units of ministries and the VIPFE, and meeting records are available where they express being happy with this instrument. Now, within the framework of the new regulation, FONABOSQUE’s requirement was disbursed in 48 hours. The regulation stipulates, system c31, that SBS has priority without restrictions. The State has its levels of control and operation. Conclusion: the MEFP sees no inconvenience with ministries accessing funds and fulfilling their goals.
| EQ 8 | Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)  
To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes? |

as expected include not only the EU but also Belgium, Sweden and more recently the IDB.
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

CJ 8.4:
Evidence of the increase of ODA’s amounts and participation managed through national budget processes as a result of SBS flow of funds

I.8.4.1 Evidence of the improvement of financial and non-financial accountability processes, as well as budget scrutiny (role of the Comptroller General)

Budget scrutiny

Governmental control in Bolivia is exercised by the National General Comptroller Office (CGE) and institutional mechanisms established by law; however, statutes or organic charts at departmental level can institute other control and overseeing mechanisms within the framework of the law promulgated by the State’s central level, without any regulation of the autonomous governments being able to prevent governmental overseeing and control. Overseeing and control procedures, acts, reports and results are open, transparent and public. Law No. 1178 of governmental management and control (SAFCO) includes 7 management instruments, over which a specialized unit (internal audit) conducts an annual audit by instruction of the CGE determining: the degree of compliance and effectiveness of management systems and internal control instruments, incorporated into them, to determine the reliability of these records and account balances and analyze outcome and operation effectiveness. This report is submitted to the CGE for its consideration. Sector heads follow this procedure as established by this law and receive a report only after the CGE’s criteria has been emitted. It is worth noting that no special audits have taken place in any of the tree supported sector during the last terms (according to EUD and MEFP information). The CGE is the only entity that can determine public service responsibilities as a result of audits performed in the exercise of governmental control.[51]

Within the framework of cooperation and dialogue with the EU, the strengthening of the CGE has been pursued because it does not audit the account balances of the Central Government as performed in other countries. Each ministry writes up a report and submits it to the CGE and parliament. The CGE performs special audits related to corruption actions. These audits have not been performed for supported sectors. Page 43 of PAMGFP External audits describes the auditing process of these account balances as a whole. The MEFP in the Improvement Plan states that this process will be improved. The EU convinced the GoB that it is healthy for public scrutiny to have audits performed of these account balances. The MEFP estimates that external audits of the entire Treasury are a good practice and it has began to be performed.

Accountability

According to Law 004, Ley Marcelo Quiroga Santa Cruz, all public entities must make public information related to its performance and provide accountability for it. The three sectors receiving SBS perform these accountability processes vis-à-vis civil society, cooperation and sub-national entities once or twice a year. The field mission confirmed the performance of these processes and verified if any improvement had been made to them.

According to the VIPFE, progress has been made with respect to accountability, not only because it is regulated but because it is public and performed twice a year. CSOs demand for information and require public entities to work in understandable fashion. Information is made public and the WB has supported this process. It may be considered that accountability of public accounts becomes a dialogue with civil society, but also through tools in everyday’s work. The Ministry of Transparency promoting the improvement of these instruments. What’s missing is for it to be appropriate for audit issues.

Aside from these mechanisms at MMAyA, MDRyT (FONADAL) and BDP level, the consolidation of spaces promoting accountability at all levels is sought after. On one hand, through sector coordination spaces, as well as at the level of sub-national spaces and with civil society. The According to the sector policy report, within the ASPNC2’s framework, policy dialogue centered on the monitoring of these mechanisms will be promoted. With respect to public finances, also interesting are issues related to transparency and audit issues and Bolivia has expresses its will to join the Extractive Industry Transparency Initiative (EITI).

### EQ 8

**Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)**

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

<table>
<thead>
<tr>
<th>I.8.4.2</th>
<th>Evidence of the measures to take to avoid / eliminate macroeconomic distortions that may be caused by a primary surplus, if income flows from natural resources are correctly managed to prevent microeconomic distortions</th>
</tr>
</thead>
<tbody>
<tr>
<td>An essential area of the <em>Agenda for Change</em> is the elimination of macroeconomic distortions that may be caused by a primary surplus, if income flows from natural resources are correctly managed to prevent microeconomic distortions. According to Delegation’s note to this respect, Bolivia’s medium-term fiscal sustainability perspectives are favorable and risks may considered as limited due to existing strong financial reserves. Save for an external shock resulting from a drastic decrease in the prices of raw materials, demand for natural gas at regional level and an increase in public expenditure exceeding revenue growth, Bolivia’s fiscal and external situation will remain strong. In order to maintain medium-term high sustainable growth, the investment climate will have to improve through the reduction of uncertainties concerning the judicial framework and the promulgation of key laws (i.e. investment, hydrocarbon fuels and mining). According to the MEFP: The budget increase is due to the revenues of natural resources. Hydrocarbon fuels is 0.64, followed by financial services, 0.58; public administration, 0.49; transportation, 0.45…Beginning in 2006, a model to change the productive matrix is being implemented in order for revenues coming from natural resources to finance the industrialization process. In Cochabamba, an industry that produces urea is being financed. It will change agricultural production making possible exports to other countries. These actions will make Bolivia not being just a raw material exporter country but one that also produces added value products. Furthermore, an attempt is being made for Bolivia not to export rich gas but dry gas. Bolivia will keep the liquid gas to produce gasoline. Bolivia has grown as a result of domestic demand and not just external demand. Reserves are high (50% of product), sp there is no worry that increasing expenditure will generate a macroeconomic risk. Public investment, which went form a modest US$600M in 2005 to US$3,800M in 2013. Up to 2007, total investments barely reached US$1,000M and the share of governorates and the Central Government were equal, larger both that investments made by municipal governments.</td>
<td></td>
</tr>
</tbody>
</table>

| I.8.4.3 | Main interested parties at local, regional and/or national level (including EU’s staff (EC and Member States) and other donors) confirm the efficiency of the support in terms of better accountability and valued the capacity (and political commitment) to maintain and develop (potential benefits, partly generated by EU’s assistance, further |
| National level actors and donors present in the MMAyA sector confirm the effectiveness of EU’s ODA in terms of having contributed in considerable fashion to the benefits and advances made within the framework of supported sub-sector policies. This contribution is recognized at sector 3’s level, where direct intervention has taken place, and also at sector 2’s level where municipalities and associations of municipalities maintain a fluid policy dialogue at national level. This fact will have to be confirmed in sector 1 through interviews of sub-national level actors because the national level also confirmed the positive assessment of EU’s contribution as sole contributor to this policy. More research will have to be performed in terms of accountability on part of the public sector vis-à-vis beneficiaries of supported policies. |

| I.8.4.4 | Evidence of the criteria used to establish the percentage of TA assigned to SBS or as a whole |
| Within the framework of ongoing and concluded SBS actions, a formulation mission was executed to establish TA necessities if necessary. In some cases, it is also requested to prepare a terms of reference draft (e.g. PAMEFF’s formulation mission). The main criteria applied up to now is based on sector institutional capacity including all actors. TA’s average share of support actions is 12% of total budget agreements (see box below). The MMAyA sector is characterized for being the one reaching higher percentages, in particular ASPNC (16%) and PACSBIO (22%). It is worth noting that the ASPNC was the first support action provided to the sector and its systematization included important contributions to the sub-sector in terms of institutional strengthening, facilitating policy dialogue and that the ASPNC2 does not include any TA. With respect to PACSBIO’s case, it is worth noting that this Agreement, aside from having traditional TA, has an special component to establish the Digital Observatory of Protected Areas |

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Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework- EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

(DOPA), first in Latin-America, inserting in this fashion a sector policy dialogue between the country and the EU, in particular with the Joint Research Center (JRC). It will be important within the mission’s framework to assess the contribution of this component to the expansion of specialized dialogue platforms. In particular because, as corroborated by DEVCO’s managers, the biodiversity issue is gaining importance at regional level and Bolivia’s SBS is a unique experience, expecting, thus, for the program to be successful. DEVCO’s G2 unit has a link with the JRC and the JRC with Bolivia. Furthermore, the G2 unit reports, as a sample of the interest placed on these issues at regional level, that a new program “Amazon Vision” is being implemented by FAO, with headquarters in Bogota where the Secretariat is in charge of Natural Parks. Within the framework of the mission, it will be important to see other criteria applied within the framework of recent formulation missions: Fight against Drug Traffic and Support to PNC2 with the IDB.

<table>
<thead>
<tr>
<th>No. of Agreement</th>
<th>Title</th>
<th>Total amount (Agreement)</th>
<th>Supplementary support</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2011/022-861</td>
<td>PAMEFF</td>
<td>35,000,000.00</td>
<td>2,000,000.00</td>
<td>6%</td>
</tr>
<tr>
<td>DCI/ALA/2007/019-027</td>
<td>PAPS1</td>
<td>26,000,000.00</td>
<td>2,000,000.00</td>
<td>8%</td>
</tr>
<tr>
<td>DCI/ALA/FOOD/2009-022-002</td>
<td>PASA</td>
<td>11,750,000.00</td>
<td>1,250,000.00</td>
<td>11%</td>
</tr>
<tr>
<td>DCI/ALA/2008/019-306</td>
<td>ASPNC</td>
<td>19,000,000.00</td>
<td>3,000,000.00</td>
<td>16%</td>
</tr>
<tr>
<td>DCI/ALA/2011/022-834</td>
<td>PACS BIO</td>
<td>18,000,000.00</td>
<td>4,000,000.00</td>
<td>22%</td>
</tr>
<tr>
<td>DCI/ALA/2010/021-927</td>
<td>PASAP</td>
<td>20,000,000.00</td>
<td>1,500,000.00</td>
<td>8%</td>
</tr>
<tr>
<td><strong>Average</strong></td>
<td></td>
<td><strong>29,720,000.00</strong></td>
<td><strong>5,700,000.00</strong></td>
<td><strong>12%</strong></td>
</tr>
</tbody>
</table>

I.8.4.5 Evidence of TA strategies within the framework of SBS actions they promote based on the principles of the Declaration of Paris, sustainability and ownership (inexistence of parallel TA units; integration of TA as advisors, etc.)

Based on the analysis of the PAPS1 TA's reports and the systematization of the ASPNC1’s TA, the following common factors and recommendations are worth mentioning:

SBS actions without doubt have contributed in terms of image, effectiveness, functionality and harmonization, to positioning and achieving the ownership of the SBS instrument in Bolivia. It is for this reason that SBS is highly positioned in the corresponding sectors as an ODA instrument. This success is also attributed to the attitude, personal dedication and professionalism of the permanent and auxiliary TA, which has not been limited to the performance of professional services, nor to the becoming integrated as advisors within institutions to perform tasks of local officials, but to:

- The constant generation of ideas and management instruments related to policy processes
- The promotion of ownership and application of SBS’ best practices del APS, which has resulted in a process that has kept on improving for the disbursement of variable segments, thanks to work performed to improve the quality of reports and back up documentation.
- The improvement of planning, presentation and project execution capacities on the part of sub-national actors (Association of municipalities, municipalities, federations), which is seen as a crucial element for the impact, durability and sustainability of public investments.

As far as recommendations are concerned, these same TA actions suggested:

- Importance of knowing the reality of a sector through previous diagnosis of the institutional capacities and potential risks for a new SBS or TA actions, to facilitate and improve the formulation of ToR to correctly manage the sector’s necessities and requirements, as well as preparation of the sector to receive SBS services. The sooner coordination activities and work is started, the ground will be better
<table>
<thead>
<tr>
<th>EQ 8</th>
<th>Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?</td>
<td></td>
</tr>
</tbody>
</table>

Prepared for technical cooperation and budgetary interventions. Here we can point out the ASPNC TA’s capacities and experiences to assess conflicts, achieve consensus among participating actors, and a high degree of adaptation to manage sector demands.

- Importance of actions to achieve more capacity strengthening at sub-national level and its active incorporation to policy dialogue, crucial factors for ODA’s sustainability and impact.
- Need to diversify Technical Assistance modalities, including typologies such as Exchange of experiences, tools, intermittent coaching combined with long-term, “inside advice” for long duration processes. In this sense, it is worth researching into FONADAL’s case which implemented this modality.
- Importance of promoting knowledge management through the creation of networks and platforms of institutional and academic actors and experts from the region and Europe, as well as the systematization of information and evaluation of TA actions from the beginning, and not just at the conclusion of the intervention.
- Importance of the monitoring and evaluation of sector performance and the use of the PEF as monitoring instrument, with reportable goals which you can add to, flexible and based on sector’s priorities, and linking the sub-national level.
- Incorporation of impact indicators to the PEF as a function of the characteristics of the TA and based on a maturation process of sector policy to create incentives for the sector.
- Design of institutional strengthening plans and capacity development as indicators to measure physical and financial progress.
- Promotion of strong involvement on the part of national, departmental and municipal technicians in the strengthening of planning, management, monitoring and evaluation capacities at national and sub-national level.

TA supplementary reports received during the field mission make evident that PACSBIO’s TA promotes the principles of the Declaration of Paris (Harmonization and results approach). With respect to sustainability, the most relevant action is the Training Program for staff involved in the comprehensive management of Protected Areas, whose curriculum is being developed with strong participation on the part of national, departmental and municipal technicians, which will strengthen planning, monitoring and evaluation capacities at national and sub-national level.

**CJ 8.5:** EU’s SBS actions have promoted cooperation’s alignment and harmonization

**I.8.5.1 Evidence and scope of the influence of dialogue frameworks between the GoB and donors with respect to the alignment and harmonization of international cooperation with Bolivia’s policy priorities (exchange of information, joint evaluations and analysis EC and State Members joint programming, etc.)**

Within PAPS1’s framework and its policy dialogue spaces joint actions have been promoted that include joint analysis and evaluations. For instance, the UNODC has important statistical information, which is included in sector policy analysis. Within the PASA’s framework, EU’s Task Manager documents joint programming actions and spaces between the MDRyT, EU, WFP and FAO.

Within MMAyA’s SBS actions and effort is made to promote the comprehensiveness of the sector looking in this fashion to having more assistance harmonization and a dialogue framework covering sub-sector policies. The PEFs of protected areas, PNC and Water and Sanitation have promoted the alignment of sector donors within the framework of SBS and basket funds and there is a TA sub-group to also promote the harmonization of technical cooperation. It will be important to have verification and confirmation sources on part of actors of how dialogue frameworks have contributed to alignment and harmonization.

Another important source of verification is the OECD 2010 survey, on the progress of commitments assumed under the Declaration of Paris, and which reveals that Bolivia has made progress in areas related to alignment with national priorities, use of national public financing systems and planning for management for results. Improvements must be made in other areas such as assistance predictability, united assistance, joint analytical work and joint missions, in addition to decreasing the use of parallel systems. Two principles of the Declaration of Paris, which were a challenge for the Bolivian government as well as for donors, are management for results and accountability in which progress is being made within the framework of actions, mainly with respect to the
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)

To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

It is worth noting that in Bolivia, a joint programming process on the part of Member States has been programmed, as reported to the mission by Francisco García. It consists of political dialogue between Member States and the government of Bolivia to achieve more efficient and effective programming of actions to be developed. Starting in 2014, the new states with direct presence in Bolivia’s direct cooperation (Germany, Belgium, Denmark, Spain, France, Italy, the Netherlands, UK and Sweden, will coordinate joint actions with the Government. Thus, more efficiency and effectiveness of actions is expected, avoiding duplicating functions in supported sectors. Main evidence to this respect is shown by sectors 2 and 3.

I.8.5.2 Degree of coordination between EC and EU Member States, in particular in following up on the joint analysis of the added value of parties, with respect to EU’s Code of Conduct

The main evidence of important progress made with respect to this indicator is the draft of the European Coordinated Response (final version available) that includes a cooperation framework for member States willing to develop their respective programming in coordinated fashion. The draft of the European Coordinated Response was developed and approved by EU’s Delegation in Bolivia and the representatives of Germany, Belgium, Denmark, Spain, France, Italy, Sweden and Switzerland, and will direct the programming exercise of participating agencies and is the basis for joint dialogue concerning development cooperation with the Bolivian government. This joint approach will result in a cleared division of work, more and better coordination and complementarity between different interventions, observing the international principles of Assistance Effectiveness and the EU’s Code of Conduct. The European Coordinated Response represents a first step toward better coordination between EU’s development cooperation programs observing international principles agreed on with respect to assistance’s effectiveness. Main participating agencies are currently exploring the possibility of moving in the future to a joint programming process (2017), aligning the programming of their strategies with national cycles thus making possible the joint development of one sole strategic document for the next term of the National Development Plan (2017-2020). In general terms, EU’s objectives in Bolivia concern five main areas:

- Stability, democracy and Bolivia’s development.
- Reduction of the offer and transit of drugs.
- Predictable and transparent legal framework under the rule of law for investments.
- Reduction of the gap between free-trade countries or aimed at the market and ALBA-member countries, that will facilitate trade, integration and cross-border collaboration.
- Climate change adaptation.

It will be important to search the added value of Member States participating in Joint Programming.

I.8.5.3 Reduction of transaction costs to provide assistance

In order to respond to this indicator, we will use sectors 2 and 3 as reference (Basins in particular) and the comparison of agreements under project approach, first generation and second generation SBS actions. Next we present the share of TA as a transaction cost of proving assistance under a project approach, which reaches 15%:

<table>
<thead>
<tr>
<th>No. of Agreement</th>
<th>Title</th>
<th>Total amount (Agreement)</th>
<th>Technical Assistance</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI-ALA/2004-016/688</td>
<td>FONADAL Yungas</td>
<td>13,000,000.00</td>
<td>1,400,000.00</td>
<td>11%</td>
</tr>
<tr>
<td>DCI-ALA/2009/021-614</td>
<td>Poopó</td>
<td>10,935,000.00</td>
<td>2,000,000.00</td>
<td>18%</td>
</tr>
</tbody>
</table>

Average 15%
Direct and induced effects of financial and non-financial contributions (Step 1, Level 2 and 3 of Comprehensive Evaluation Framework - EAP)
To what extent has the use of Budget Sector Support (SBS) favored the improvement of the design and formulation of public policies in intervention sectors and in budgetary and accountability processes?

First generation SBS actions (already concluded) required 12% TA to be implemented:

<table>
<thead>
<tr>
<th>No. of Agreement</th>
<th>Title</th>
<th>Total amount (Agreement)</th>
<th>Supplementary Assistance</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2011/022-861</td>
<td>PAMEFF</td>
<td>35,000,000.00</td>
<td>2,000,000.00</td>
<td>6%</td>
</tr>
<tr>
<td>DCI/ALA/2007/019-027</td>
<td>PAPS1</td>
<td>26,000,000.00</td>
<td>2,000,000.00</td>
<td>8%</td>
</tr>
<tr>
<td>DCI/ALA/FOOD/2009-022-002</td>
<td>PASA</td>
<td>11,750,000.00</td>
<td>1,250,000.00</td>
<td>11%</td>
</tr>
<tr>
<td>DCI/ALA/2008/019-306</td>
<td>ASPNC</td>
<td>19,000,000.00</td>
<td>3,000,000.00</td>
<td>16%</td>
</tr>
<tr>
<td>DCI/ALA/2011/022-834</td>
<td>PACS BIO</td>
<td>18,000,000.00</td>
<td>4,000,000.00</td>
<td>22%</td>
</tr>
<tr>
<td>DCI/ALA/2010/021-927</td>
<td>PASAP</td>
<td>20,000,000.00</td>
<td>1,500,000.00</td>
<td>8%</td>
</tr>
</tbody>
</table>

Average 12%

It is expected for it to decrease in the following generations, which can be checked through the reduced amounts available for new projects as shown in the following box. The field mission collected evidence through interviews of actors who confirmed a reduction of transaction costs of provided assistance. Specifically with the MEFP:

<table>
<thead>
<tr>
<th>No. of Agreement</th>
<th>Title</th>
<th>Total amount (Agreement)</th>
<th>Supplementary assistance</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>DCI/ALA/2013-024/438</td>
<td>PAPS2</td>
<td>24,000,000.00</td>
<td>1,000,000.00</td>
<td>4%</td>
</tr>
<tr>
<td>DCI-ALA/2013-024/445</td>
<td>PNC2</td>
<td>8,000,000.00</td>
<td>-</td>
<td>0%</td>
</tr>
</tbody>
</table>

Average 2%

1.8.5.4 Main interested parties at local, regional and/or national level (including EU’s staff (EC and Member States) and other donors) confirm the scope and positive influence of the SBS modality with respect to alignment and harmonization processes and value the probability of whether these advances would have taken place with or without SBS

Within the framework of the evaluation and systematizations performed within PNC1’s framework, interested parties at national level, including the EU and other donors, in particular those contributing to the basket Fund, confirm the positive influence of SBS in alignment and harmonization process and values the probability of whether these advances would have taken place without SBS and Basket Fund modalities. This confirms in general terms the 2010 ODCE survey concerning the progress made in commitments assumed under the Declaration of Paris, which reveals that Bolivia has made progress in alignment areas with national priorities, use of national public financing systems and planning for management for results. However, it will be important to research, through interviews of interested parties at local and national level, EU and other donors, confirmation of the positive influence on the MMAyA as well as other sectors.
Annex 9 - Effects and outcomes by intervention sector

Marco de Evaluación Integral Sector 1: Oportunidades económicas y empleo digno

1. Entradas
- Transferencia de fondos a TGE basados en condicionalidades previamente acordadas (PAMEFF: 17,6 de 33 M€)
- Transferencia de recursos financieros a proyectos (Produce, Proex, Empleomin: 24,5 de 35M€)
- Diálogos de políticas e indicadores de desempeño
- Servicios para el desarrollo de capacidades institucionales (8,5 M€)
- Entradas del Gobierno de Bolivia (PAMEFF y contrapartidas para proyectos, presupuestos políticos)

2. Productos Directos
- Mejora en relación ayuda externa y presupuesto nacional y presupuesto público (PAMEFF)
- Aumento de ayuda externa disponible a través de presupuesto nacional (PAMEFF)
- Seguimiento a implementación de políticas sectoriales (MED y PAMEFF)
- Avances en la implementación de políticas sectoriales (PAMEFF y proyectos)
- Reducción de costos de transacción para proveer ayuda (PAMEFF)
- Generación de nuevos modelos de intervención del GdB (transferencias) (PAMEFF y proyectos)
- Creación de las estructuras institucionales para implementar el modelo nuevo (PAMEFF y proyectos)

3. Productos Inducidos
- Política pública, instituciones sectoriales, gasto público y prestación de servicios públicos mejorados.
- Incremento en la cantidad y calidad de bienes y servicios del sector público
- Fortalecimiento de la GGF y sistemas de adquisición (transferencias a 38 empresas – 3.000 empleos directos e indirectos)
- Mejora en la formulación de política pública y procesos de implementación
- Instituciones sector público fortalecidas. (141.000 microcréditos directos vía BDP)
- Mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH.)
- Otras mejoras en asuntos de gobernabilidad (inc. DD.HH, buen gobierno, otros)

4. Resultados
- Incremento en el uso de bienes y servicios provistos por el sector público y mejor focalización de beneficios resultantes.
- Incremento y fortalecimiento del vínculo del sector productivo (informal) y empresarial con el Gobierno. Reducción de la tasa de desempleo urbana abierta de 8% (2007) a 3.2% (2013).
- Mayor inversión pública (preinversión en producción) y incrementada capacidad productiva de los beneficiarios directos
- Ampliación de las oportunidades para generación de ingreso a nuevos grupos de beneficiarios

5. Impactos
- Ampliación del alcance del crecimiento sostenible e inclusivo
- Incrementado potencial para la reducción de la pobreza por ingreso y pobreza no económica.
- Empoderamiento e inclusión social de gente pobre y vulnerable (inc. Mujeres).
- Otros aspectos definidos en documentos de asociación (DD.HH, buen gobierno, otros)

Factores externos, contexto y retroalimentación

- Alto nivel de desembolso > 90% con excepción Empleomin
- Mejora en la definición de políticas sectoriales
- Capacidad del gobierno para implementar políticas sectoriales
- Compromiso político para procesos de reforma de políticas sectoriales
- Capacidad del sector público mejorada
- Alta demanda por servicios del gobierno
- Sostenido crecimiento económico considerable
- Contribución de las políticas públicas al sostenimiento de este crecimiento
Marco de Evaluación Integral Sector 1: Oportunidades económicas y empleo digno

Intensidad del Vínculo

- Fuerte
- Medio
- Débil

1. Entradas
- Transferencia de fondos a TGE basados en condicionalidades previamente acordadas (PAMEFF: 17.6 de 33 M€)
- Transferencia de recursos financieros a proyectos (PP 24.5 de 35M€ (PP) + AL-Invest)
- Diálogo de políticas e indicadores de desempeño
- Servicios para el desarrollo de capacidades institucionales (6.5 M€)
- Entradas del Gobierno de Bolivia (PAMEFF y contrapartidas para proyectos, presupuestos políticos)
- Líneas temáticas: Actores no estatales y autoridades locales

2. Productos inducidos
- Política pública, instituciones sectoriales, gasto público y prestación de servicios públicos mejorados
- Incremento en la cantidad y calidad de bienes y servicios del sector público
- Fortalecimiento de la GFP y sistemas de adquisición (realización de concursos para transferencias)
- Mejora en la formulación de política pública y procesos de implementación
- Instituciones sector público fortalecidas
- Otras mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH.)

3. Impactos
- Ampliación del alcance del crecimiento sostenible e inclusivo
- Incrementado potencial para la reducción de la pobreza por ingreso y pobreza no económica.
- Empoderamiento e inclusión social de gente pobre y vulnerable (incl. Mujeres).
- Otros aspectos definidos en documentos de asociación (DD.HH, buen gobierno, otros)

Factores externos, contexto y retroalimentación

- Alto nivel de desembolso > 90% con excepción Empleomin
- Mejora en la definición de políticas secorales
- Capacidad del gobierno para implementar políticas sectoriales
- Compromiso político para procesos de reforma de políticas secorales
- Alta demanda por servicios del gobierno
- Capacidad del sector público mejorada
- Contribución de las políticas públicas al sostenimiento de este crecimiento
- Sostenido crecimiento económico considerable
Marco de Evaluación Integral: seguridad alimentaria con soberanía

1. Entradas
Transferencia de fondos a TGE basados en condicionalidades previamente acordadas
Diálogo político e indicadores de desempeño
Servicios para el desarrollo de capacidades institucionales (incl. AT)
Entradas del Gobierno de Bolivia
Entradas de otros programas de ayuda externa

2. Productos Directos
Mejora en relación ayuda exterior y presupuesto nacional y procesos de política
Aumento de ayuda externa disponible a través de presupuesto nacional
Aumento presupuesto disponible para gasto discrecional
Seguimiento a implementación de políticas MED - GpR
Avances en la implementación de políticas sectoriales
Reducción de costos de transacción para proveer ayuda
Generación de nuevos modelos de intervención del GdB (transferencias)
Creación estructuras institucionales implementación modelo nuevo

3. Productos inducidos
Política pública, instituciones sectoriales, gasto público y prestación de servicios públicos mejorados
 incremento en la cantidad y calidad de bienes y servicios del sector público
Fortalecimiento de la GFP y sistemas de adquisición (realización de concursos para transferencias)
Mejora en la formulación de política pública y procesos de implementación.
Instituciones sector público fortalecidas
Otras mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH)

4: Resultados
Incremento en el uso de bienes y servicios proveídos por el sector público y mejor focalización de beneficios resultantes.
Incremento y fortalecimiento del vínculo del sector productivo (informal) y empresarial con el Gobierno
Mayor inversión pública (preinversión en producción) y incrementada capacidad productiva de los beneficiarios directos
Ampliación de las oportunidades para generación de ingreso a nuevos grupos de beneficiarios

5: Impactos
Ampliación del alcance del crecimiento sostenible e inclusivo y aumento de la seguridad alimentaria
Incrementado potencial para la reducción de la pobreza por ingreso y pobreza no económica.
Empoderamiento e inclusión social de gente pobre y vulnerable (inc. Mujeres).
Otros aspectos definidos en documentos de asociación (medio ambiente, DD.HH, democracia, otros)

Factores externos, contexto y retroalimentación
- Alto nivel de desembolso 93%
- Mejora en la definición de políticas sectoriales
- Capacidad del gobierno para implementar políticas sectoriales
- Compromiso político para procesos de reforma de políticas sectoriales
- Capacidad del sector público mejorada
- Alta demanda por servicios del gobierno
- Sostenido crecimiento económico considerable
- Contribución de las políticas públicas al sostenieto de este crecimiento
Marco de Evaluación Integral - seguridad alimentaria con soberanía

Intensidad del Vínculo

• Fuerte
• Medio
• Débil

1. Entradas

Transferencia de fondos a Tesoro Nacional basados en condicionalidades previamente acordadas

Diálogo político e indicadores de desempeño

Servicios para el desarrollo de capacidades institucionales (incl. AT)

Entradas del Gobierno de Bolivia

Entradas de otros programas de ayuda externa

2. Productos inducidos

Política pública, instituciones sectoriales, gasto público y prestación de servicios públicos mejorados.

Incremento en la cantidad y calidad de bienes y servicios del sector público.

Fortalecimiento de la GFP y sistemas de adquisición (realización de concursos para transferencias)

Mejora en la formulación de política pública y procesos de implementación.

Instituciones sector público fortalecidas.

Otras mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH).

3. Productos inducidos

Otras mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH).

4. Impactos

Ampliación del alcance del crecimiento sostenible e inclusivo y aumento de la seguridad alimentaria

Incrementado potencial para la reducción de la pobreza por ingreso y pobreza no económica.

Empoderamiento e inclusión social de gente pobre y vulnerable (inc. Mujeres).

Otros aspectos definidos en documentos de asociación (medio ambiente, DD.HH, democracia, otros)

Factores externos, contexto y retroalimentación

• Alto nivel de desembolso 93%
• Mejora en la definición de políticas sectoriales

• Capacidad del gobierno para implementar políticas sectoriales
• Compromiso político para procesos de reforma de políticas sectoriales

• Sostenido crecimiento económico considerable
• Contribución de las políticas públicas al sostén de este crecimiento

• Capacidad del sector público mejorada
• Alta demanda por servicios del gobierno

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Marco de Evaluación Integral Sector 2: Lucha contra el narcotráfico

1. Entradas
- APS al desarrollo integral con coca (24,5 de 50M€ desembolsados)
- PP CONALTI y Control Social (10,6 de 19M€ + 11,6 Fonadal Yungas)
- Diálogo de políticas para la definición de acuerdos sectoriales entre Gobierno y UE
- Desarrollo de capacidades institucionales (7,2 M€)
- Proyectos regionales realizados con la CAN y UNODC
- Instrumentos para la Estabilidad

2. Productos Directos
- Proyectos de inversión social y productiva en áreas de intervención
- Planes, estrategias y programas sectoriales
- Asignaciones presupuestarias estaduales (TGE)
- Participación social en diseño e implementación de políticas
- Procesos de articulación con OSC formalizados y reglamentados
- Servicios básicos mejorados en áreas de intervención
- Procesos administrativos y de gestión adecuados y actualizados
- Instituciones locales de desarrollo fortalecidas
- Creación de las estructuras institucionales para implementar el modelo

3. Productos Inducidos
- Aceptación social en diseño e implementación de políticas
- Diversificación productiva en áreas de intervención
- Mejora formulación de política e implementación
- Instituciones sector público fortalecidas
- Visiones de desarrollo mejoradas en las OSC y actores locales

4. Resultados
- Política nacional fortalecida
- Gobernabilidad fortalecida para implementación política
- Nuevo modelo de Lucha contra el Narcotráfico coherente con compromisos internacionales y principios democráticos y de inclusión social
- Procesos de planificación participativos y legítimos frente a las OSC

5. Impactos
- Recuperación de soberanía y control de las instituciones estatales por parte del Gobierno
- Reducción neta de la superficie de cultivos de hoja de coca de 28.900 Has en el 2007 hasta las 23.000 Has en el año 2013.
- Escenario de paz social en torno a la implementación de las políticas sectoriales

Factores externos, contexto y retroalimentación

- Propuestas innovadoras y participativas como el Control Social se implementan con las OSC
- Lecciones aprendidas
- Capacidad del gobierno para implementar reformas al modelo de LCN
- Compromiso político y social para la reforma de LCN
- Capacidad del sector público mejorada
- Nuevo contexto en el escenario de cooperación internacional del sector
- Inversión social y productiva legitimada y reconocida por las OSC
- Reducción completa de los saldos de heridos y muertos por implementación del modelo previo de LCN
Marco de Evaluación Integral Sector 2: Lucha contra el narcotráfico

Intensidad del Vínculo
- Fuerte
- Medio
- Débil

1. Entradas
- APS al desarrollo integral con coca (24,5 de 50M€ desembolsados)
- PP CONALTIM y Control Social (10,6 de 19M€)
- Diálogo de políticas para la definición de acuerdos sectoriales entre Gobierno y UE
- Desarrollo de capacidades institucionales (7,2 M€)
- Proyectos regionales realizados con la CAN y UNODC
- Instrumento para la Estabilidad

3. Productos inducidos
- > aceptación social en diseño e implementación de políticas
- TGE por encima de lo proyectado
- Diversificación productiva en áreas de intervención
- Mejora formulación de política e implementación
- Instituciones sector público fortalecidas.
- Visiones de desarrollo mejoradas en las OSC y actores locales.

5: Impactos
- Reducción neta de la superficie de cultivos de hoja de coca
- Recuperación de soberanía y control de las instituciones estatales por parte del Gobierno
- Escenario de paz social en torno a la implementación de las políticas sectoriales

Factores externos, contexto y retroalimentación
- Propuestas innovadoras y participativas como el Control Social se implementan con las OSC
- Lecciones aprendidas
- Capacidad del gobierno para implementar reformas al modelo de LCN
- Compromiso político y social para la reforma de LCN
- Capacidad del sector público mejorada
- Nuevo contexto en el escenario de cooperación internacional del sector
- Inversión social y productiva legitimada y reconocida por las OSC
- Reducción completa de los saldos de heridos y muertos por implementación del modelo previo de LCN
1. Entradas
Transferencia de fondos a TGE basados en condicionalidades previamente acordadas (PASAP, PASAR, PACSBIO y PNC: 43 de 76 M€)
Transferencia de recursos financieros a proyectos (Poopó: 8 de 10 M€, ECHO y proyectos regionales)
Diálogo de políticas y enfoque de gestión por resultados (MED)
Servicios para el desarrollo de capacidades institucionales (10,5 M€)
Entradas del Gobierno de Bolivia (contrapartidas para proyectos, presupuestos políticas subnacionales)
Entradas otros donantes: FC, PBL y proyectos

2. Productos Directos
Mejora en relación ayuda exterior y presupuesto nacional y procesos de política (APS+FC+PBL)
Aumento de ayuda externa disponible a través de presupuesto nacional (APS+FC+PBL)
Aumento presupuesto disponible para espacio fiscal (APS+FC+PBL)
Seguimiento a implementación de política sectorial (MED subsectores)
Avances en la formulación de políticas sectoriales: Plan integral (APS+FC+PBL y proyectos)
Reducción de costos de transacción para proveer ayuda (APS+FC+PBL)
Integración del cambio climático y gestión de riesgos
Capacidades para una gestión por resultados (APS)

3. Productos Inducidos
Política pública, instituciones sectoriales, gasto público y prestación de servicios públicos mejorados.
 Incremento en la cantidad y calidad de servicios del sector público (1,184,275 hab. Accedieron a agua). PASAP contribuyó a 58,682 conexiones periurbanas de agua y 38,917 de alcantarillado. 100 mil familias beneficiadas directamente (y 245 mil indirectamente) de proyectos de conservación de cuencas.
 Fortalecimiento de la GFP y sistemas de adquisición (realización de concursos para transferencias)
 Mejora en la formulación de política pública y procesos de implementación
 Instituciones sector público fortalecidas para la gestión por resultados
 Otras mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH.)

4. Resultados
Incremento de 4,8% de la cobertura agua potable y 2,3% de saneamiento básico entre 2006 y 2012
Consolidación del PNC, incluyendo el PDC Poopó, e integrando el cambio climático y gestión riesgos (PNCII)
Recursos del TGE comprometidos para la gestión de las AP (12 ítems adicionales)
Aportes a ODM y el DHA, especialmente en acceso al agua potable.
Políticas públicas mejoradas, Plan integral del sector bajo coordinación intra-intersectorial
Sociedad civil fortalecida para la implementación de proyectos sostenibles
Sinergias positivas: desarrollo productivo y AP de (ENDIC y Plan Maestro AP)

5. Impactos
No se pueden valorar los impactos de las políticas ambientales en aspectos socio-económicos, productivos en poblaciones beneficiarias, ni en la calidad ambiental. No se dispone de información para ello

Factores externos, contexto y retroalimentación
- Voluntad política GdB.
- Compromisos importantes GdB (DHA y ODM).
- Inversiones considerables al sector de otras fuentes externas (CAF, BID, KfW, otros).
- MMAyA joven y cambiante, creado en 2006 y reconfigurado en 2009.
- Paradigmas emergentes que involucran al sector: Madre Tierra, proceso autonómico, Agenda 2025.
- Capacidad de coordinación mejorada.
- Incremento de demanda de servicios proveídos por el sector.
- Insumos de DC absorbidos de manera gradual, aunque con necesidades todavía.
- Visión más estratégica y estructurada del sector.
- Mejoras en la formulación de políticas.
- Inclusión Enfoque integral y cambio climático.
- Mejoras en el diálogo político.
Marco de Evaluación Integral Sector 3: Gestión sostenible de recursos naturales

Intensidad del Vínculo

1. Entradas
- Transferencia de fondos a TGE basados en condicionalidades previamente acordadas (PASAP, PASAR, PACSIBIO y PNC: 43 de 76 M€)
- Transferencia de recursos financieros a proyectos (Pooó: 8 de 10 M€, ECHO y proyectos regionales)
- Diálogo de políticas y enfoque de gestión por resultados (MED)
- Servicios para el desarrollo de capacidades institucionales (10,5 M€)
- Entradas del Gobierno de Bolivia (contrapartidas para proyectos, presupuestos políticas niveles subnacionales)
- Entradas otros donantes: FC, PBL y proyectos

2. Productos inducidos
- Política pública, instituciones sectoriales, gasto público y prestación de servicios públicos mejorados.
- Incremento en la cantidad y calidad de bienes y servicios del sector público.
- Fortalecimiento de la GFP y sistemas de adquisición
- Mejora en la formulación de política pública y procesos de implementación
- Instituciones sector público fortalecidas para la gestión por resultados
- Otras mejoras en asuntos de gobernabilidad (descentralización, estado de derecho y DD.HH.)

3. Impactos
- No se pueden valorar los impactos de las políticas ambientales en aspectos socio-económicos, productivos en poblaciones beneficiarias, ni en la calidad ambiental. No se dispone de información para ello

Factores externos, contexto y retroalimentación

- Voluntad política GdB.
- Compromisos importantes GdB (DHA y ODM)
- Inversiones considerables al sector de otras fuentes externas (CAF, BID, KfW, otros).
- MMA joven y cambiante, creado en 2006 y reconfigurado en 2009.
- Paradigmas emergentes que involucran al sector: Madre Tierra, proceso autonómico, Agenda 2025.
- Capacidad de coordinación mejorada.
- Incremento de demanda de servicios proveídos por el sector.
- Insumos de DC absorbidos de manera gradual, aunque con necesidades todavía.
- Visión más estratégica y estructurada del sector.
- Mejoras en la formulación de políticas
- Inclusión Enfoque integral y cambio climático
- Mejoras en el diálogo político
**Annex 10 – Recommendations made with respect to improving policies, budgeting processes and accountability - SBS**

**Support to the formulation of public policies with IS and CD components**

- Performance measurement based on statistical systems administrative records (R.5), systematization and analysis of policy improvements to extract lessons learned and on this basis make adjustments to policies. (R.1 and 7)

**Public policies and PEF linked to national statistical systems: better sources of verification and with IS and CD components and social participation (R.2, 5 and 10)**

**Identification of SBS or CRS**

- Support of public policies in which the EU shows added value (R.1)

**Sectoral policy dialogue (quality, impact and sustainability and Public Finance Management intersectoral MEFP and sectors (full application of fungibility and traceability principle (R.3, 5))**

**TF and TV disbursement decision process: administrative simplification in dialogue between the GoB, EUD and Brussels (R.3)**

**Follow up and evaluation**

**Implementation**

**Formulation**

- IS and CD for sectoral actors and INE and Planning DGs of line ministries to have better monitoring systems and standardize disbursement schedules with national budget. (R.5 and 8).
### Recommendations applicable to SBS

| R.1. | To ensure work distribution based on the added value of the EC and each Member State, which should be reflected on a joint strategy beginning in 2017, totally aligned with the current Government program and the 2025 Patriotic Agenda. |

| R.2. | Promote the scaling up and proper combination between the Project approach and budget support. The project approach requires of an existing institutional framework to promote sustainable achievements and nimble start-up. This combination scaled up by means of a subsequent sector budget support provides motivation for the intervention sector to correctly perform processes related to institutional strengthening, capacities and policy innovation. Furthermore, an institutional strengthening and capacity development axis should be incorporated as a component of each supported sector policy. |

| R.3. | Just as SBS contributions to Policy Dialogue and Budget Support are inserted within existing national strategies and spaces, promote the inclusion of capacity development in an existing national strategy. If this policy does not exist, promote and support its design. |

| R.5. | Promote the measurement of the effects/impacts of the implementation of public sector policies. This task will require capacity strengthening dynamic work to generate information and monitoring systems appropriate for this purpose. Therefore, we recommend promoting correct articulation with the National Institute of Statistics (INE) based on policy formulation. |

| R.7. | Perform and exhaustive analysis of the mechanisms behind the improvement of food security and of the forces determining its progress, to be able to implement adjustments to intervention model and tools for example, based on the needs of different geographical regions or types of products. At the same time, take advantage of the opportunity to analyze the contribution of the achievements made in food security to generate employment or income (poverty reduction). |

| R.8. | Reinforce technically capacity development, institutional strengthening and specifically, update the existing regulation to consolidate new dynamics concerning the Fight Against Drug Trafficking and Comprehensive Development with Coca. We recommend continuing promoting the participation of civil society organizations in the design and implementation of strategic perspectives related to Comprehensive Development with Coca and the Fight Against Drug Trafficking. |

| R.10. | Support the consolidation of the new expanded civil society, without it losing diversity and autonomy. This can be achieved by reinforcing and consolidating major achievements related to good governance cross-cutting, human rights and civil society’s support issues achieved by the EU, emphasizing it even from the justice axis of the future cooperation strategy given the potential offered by this direct intervention axis. |

The Political Situation

General

Recurrent crises of the Bolivian State, together with inauguration of the current administration in January 2006, formed the basis for a proposal for the so-called "reconstruction" of the country through the transformation of the state, together with the Constituent Assembly and measures thereafter adopted by the new government. The currently denominated "process of change" has as its core themes greater state participation in the economy; overcoming racial and social discrimination; and the recognition of the pluri-national nature of Bolivia, together with the construction of a State which includes autonomous regions.

The new Political Constitution of the State (CPE – Spanish acronym) of 2009 is the cornerstone of the ongoing transformation in Bolivia. The Constitution sets out an ambitious agenda aimed at the inclusion of the poor and indigenous majority and the comprehensive reorganization of the State. So far, the results include a significant reduction in extreme poverty and greater representation and participation in the political system by previously marginalized social and ethnic groups. Nevertheless, reforms have been accompanied by a growing number of social conflicts that have exerted a strain on already fragile institutions. The government is struggling to meet the high expectations for better living conditions and the effective implementation of constitutional provisions. The challenge is therefore to further develop the State’s capacity to address and respond to the expectations generated by the new Constitution.

Human Rights, Justice and Democracy

The Political Constitution of the State recognizes a great number of rights, including collective rights. Bolivia has ratified the main regional and international treaties on human rights, and national legislation is, with some exceptions, consistent in principle with its international obligations. However, the effective implementation of the norms remains a major challenge, and is essential for the country’s development over the coming years. The quality of legislative deliberations could be improved in order to avoid inconsistencies in the judicial framework. The main problems of human rights in Bolivia have to do with poor administration of justice, a large number of cases of violence against women and girls; the lack of procedures for the effective implementation of the right to consultation of indigenous peoples; cases of excessive use of force by police against citizens; and political and / or legal pressures to individuals and organizations deemed in opposition.

The collective rights of indigenous peoples recognized by the new Constitution need to be clarified and implemented effectively, in particular their right to be consulted in matters that concern them and in relation to the administration of their territories according to their uses and customs. Progress in this direction could help reduce tensions between the government and indigenous peoples, and avoid major conflicts concerning development projects and the exploitation of natural resources in indigenous territories.

The reform of the judicial system is one of government priorities and plans are being made in this direction, but the population has yet to see clear progress related to effective access to justice and the rule of law. The presence of administrators of justice is practically limited to urban areas; political and economic influence on the legal system is common; sentences suffer long delays; and the percentage of people in custody without being brought to trial, is exceptionally high. The Bolivian "pluralistic" judicial framework (including indigenous justice systems as part of the national legal system) could improve poor access to justice in rural areas and indigenous territories. Much work remains to be done to clearly define the respective responsibilities and to achieve coordination between the two judicial systems, and to enforce the law with respect to human rights. The new judges of the high courts of Bolivia, elected by popular vote in October 2011, have been given the important task of

52 In spite of Law No. 348 dated March 9, 2013 - Comprehensive Law to Ensure Women to a Life Free of Violence
contributing to necessary legal reforms, strengthening judicial independence, and restoring the credibility of the legal system.

In brief, the recent evolution of Bolivian democracy shows considerable progress, as well as areas of significant difficulties. On the positive side, the inclusion of indigenous peoples, women and other previously marginalized groups has irreversibly changed the country. Legislative progress has been made against racism, discrimination and corruption, as well as on issues related to human rights. An unprecedented number of voters are participating in the electoral process. Furthermore, there is a growing concern about the effectiveness of partisan political pluralism and the independence of the branches of State. The high levels of social conflict, protests and blockades raised doubts about the ability of democratic institutions to mediate and effectively channel citizen's demands. Among the challenges for effective democratic governance, institutional weakness; the fragility of the capacities of public administration; a political culture prone to confrontation rather than consensus and dialogue; and the need for a more consistent application of the principles of the rule of law should be mentioned.

**Decentralization and Local Autonomies**

The adoption of the Framework Law on Autonomy and Decentralization together with the departmental and municipal elections of 2010, were important formal steps towards greater decentralization and autonomy. But further progress has been interrupted by the lack of momentum from some central government authorities and the lack of an overall financial agreement or "fiscal pact"\(^{53}\) between the various levels of government. While departmental royalties and transfers to local governments, municipalities and public universities represented an increase of 242% between 2005 and 2012, the three autonomous levels of government\(^{54}\) have significant amounts of unused resources in their fiscal accounts. The limited experience and capacity of newly elected sub-national officials and uneven progress in adopting the necessary legislation for implementation at the departmental and municipal level are other factors that hinder the full implementation of this law. There are still limitations as to the capacity of regional and municipal administrations, and it is necessary to strengthen the strategic vision for local development. However, the formal framework for the process of national decentralization remains one of the most advanced in the region.

The scenario for the coming years poses the following challenges: (a) the effective construction of departmental and native indigenous peasant self-government; (b) consolidation of municipal autonomy, which could generate tensions with the national government and the state structure (popular citizens’ participation in both the development of autonomy statutes and charters as well as in public administration at the local and intermediate governments will be considered of primary importance); and (c) development of a process for the construction of a new fiscal pact.

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\(^{53}\) Framework Law of Autonomy, seventeenth transitory provision

\(^{54}\) The law provides for a total of 4 autonomous regions (regional, departmental, municipal and indigenous peoples), but only departments and municipalities are clearly established administrative entities. By definition, an autonomous region can transcend administrative boundaries of departments and municipalities (at the beginning of 2014 there was a regional autonomy established, the Gran Chaco Tarijeño), so that "regional autonomy" can overlap with departmental and municipal autonomy. Similarly, the autonomy of indigenous peoples (Indians) also has to be defined on the territory overlaps with municipal autonomy (at the beginning of 2014 there were 11 municipalities that debates on the definition of indigenous or local autonomous status). These problems of overlapping autonomies add to the problems of definition of competencies and resource availability.
Social Conflicts and Internal Security

The period between 2009 and 2012 was characterized by an increasing level of social conflict. Roadblocks and protests organized by various social movements, trade unions and other civil society actors motivated by political, economic or social issues have been common. These protests and conflicts occasionally turned violent, and have been hampering the implementation of development plans, the provision of social services and the efficient functioning of public administration at the central and local levels. Conflicts have also had a negative impact on the effectiveness of programs and projects supported by development cooperation.

The general situation is under pressure, particularly due to the weakness of the judicial system and the police, the fragility of state institutions vulnerable to corruption, border control issues, and persistent inequality and poverty. There is a general lack of confidence in the legal system and in a police force which limits the possibilities of ensuring order and security. A high number of violent crimes are committed, including popular acceptance of lynchings resulting from the lack of trust in people in the effective functioning of the judicial system and the police. Other serious security threats include the trafficking of people, goods and drugs, and a growing presence of international criminal groups in the country and related criminal activities such as money laundering, corruption and increased violence.

As mentioned above, the key reforms taking place in Bolivian governance structures in the coming years (for example, the effective implementation of constitutional principles on human rights, reforms of the judicial system and the police, and the decentralization process) are considered essential by all observers for the future sustainable development of the country.

Economic Situation

Macroeconomic Framework

According to the International Monetary Fund (IMF), Bolivia had a good economic performance in 2013, with strong fiscal and external results, and improvements in living conditions. The short-term prospects are favorable but some vulnerabilities persist that will require in the future an improvement of policy frameworks. In short, the IMF recognizes that macroeconomic performance and the implementation of active social policies since the mid-2000s contributed towards Bolivia practically tripling its per capita income, as well as in reducing poverty. In recent years, the economy benefited from high international commodity prices and increasing volumes of natural gas exports. Together with twin surpluses in the fiscal and external accounts, the IMF has disclosed that net international reserves increased to almost 50% of GDP, which provides a comfortable margin to absorb external shocks. Social policies have been aimed at achieving ambitious redistribution goals and poverty reduction, raising living standards of the most vulnerable households.

Provisional data from the IMF (Table 1) project a real GDP growth of 6.7% in 2013, the highest annual rate of growth in the last 30 years, underpinned by strong exports of hydrocarbon fuels, a strong private consumption and accommodating macroeconomic policies. It also projected that growth will remain above the potential level once again in 2014, supported by exports of oil and a moderate fiscal stimulus. Despite high export volumes, it is anticipated that the surplus in the current external account will decline in 2013, and in the medium term, due to less favorable terms of trade. The shocks affecting food supplies led to higher inflation in mid-2013, but the authorities responded quickly by monetary tightening and measures to improve the food supply. The IMF technical personnel expected that the authorities will be successful in anchoring inflation expectations and thus, inflation is projected to fall to 5.5% by the end of 2014, although further tightening may be needed if inflationary pressures prove...
to be persistent. It is also expected to continue with an expansionary fiscal stance, with major investment projects underway to industrialize the natural resources sector. It is projected that the overall fiscal surplus was reduced to 0.6% of GDP in 2013 and in 2014 an overall deficit of 0.4% of GDP was recorded. It is also expected that the gross debt will maintain a downward trend and be reduced to 32.5% of GDP by the end of 2013, compared to 40% of GDP registered in 2009\(^57\).

According to the IMF report, the financial sector shows continuous growth, whose creditworthiness is manifested through levels of reserves, reserve requirements higher than required by the regulatory and supervisory instances. The default loan portfolio is one of the lowest in the continent, reaching 1.6% at the end of 2013. As for savings, the financial system reported growth of 5.2% in management, and the equity of financial institutions has increased by about 15%\(^58\).

The Bolivian financial system remains strong and is adequately capitalized, but the new Financial Services Law could significantly modify the financial landscape. This law establishes a comprehensive legal framework for regulation of financial services, financial institutions and financial groups. It contains a number of good provisions that if effectively implemented, will help to strengthen network security and the integrity of the financial system. Nevertheless, the law is generally aimed at subordinating the activities of the financial sector to social objectives with instruments that could create risks to financial stability. The law includes the following main characteristics: i) provisions governing set minimum lending rates and loan fees for the productive sector and low-cost public housing; ii) discretion to determine thresholds for deposit rates; and iii) mechanisms that enhance consumer protection and access to financial services in rural areas.

The good current macroeconomic situation in Bolivia depends largely on high international prices of hydrocarbon fuels and minerals and on boosting domestic demand. The Government has been making efforts to increase the level of tax revenues (26% within four years) by the National Tax Service (SIN) and the National Customs of Bolivia (ANB), in order for the country to be able to meet its expenses, even at times when the prices of raw materials are not so favorable.


\(^{58}\) Calculated based on figures from ASFI and IMF information.
# Table 1: Bolivia: Selected economic indicators

<table>
<thead>
<tr>
<th></th>
<th>Projection (Average percentage change)</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
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<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Real GDP</td>
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<td>5.2</td>
<td>6.7</td>
<td>5.4</td>
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<td>6.9</td>
<td>2.5</td>
<td>6.0</td>
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<td>CPI inflation (period average)</td>
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<td>3.3</td>
<td>2.5</td>
<td>9.9</td>
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<td>CPI inflation (end of period)</td>
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<td>0.3</td>
<td>7.2</td>
<td>6.9</td>
<td>4.5</td>
<td>6.5</td>
<td>5.5</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenue</td>
<td></td>
<td>35.8</td>
<td>33.2</td>
<td>36.2</td>
<td>37.9</td>
<td>38.6</td>
<td>37.3</td>
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<td>Of which: Income for hydrocarbons</td>
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<td>11.3</td>
<td>10.2</td>
<td>11.4</td>
<td>13.0</td>
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<td>31.5</td>
<td>35.4</td>
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<td>37.7</td>
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<td>Tax results</td>
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<td>1.8</td>
<td>0.6</td>
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<td>Gross public debt</td>
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<td>38.5</td>
<td>34.7</td>
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<td>Current accounts</td>
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<td>4.3</td>
<td>3.9</td>
<td>0.3</td>
<td>7.8</td>
<td>4.0</td>
<td>3.1</td>
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<td>Exports</td>
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<td>28.4</td>
<td>32.4</td>
<td>34.7</td>
<td>41.3</td>
<td>39.1</td>
<td>38.2</td>
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<td>Of which: Natural Gas</td>
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<td>11.3</td>
<td>14.1</td>
<td>16.1</td>
<td>20.1</td>
<td>18.4</td>
<td>16.7</td>
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<tr>
<td>Imports</td>
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<td>26.0</td>
<td>28.3</td>
<td>32.9</td>
<td>30.4</td>
<td>31.0</td>
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<tr>
<td>International reserves</td>
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<td></td>
<td></td>
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<tr>
<td>In millions of dollars</td>
<td></td>
<td>8,580</td>
<td>9,730</td>
<td>12,019</td>
<td>13,927</td>
<td>14,534</td>
<td>16,089</td>
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<td>As a percentage of money in a broad sense</td>
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<td>79.8</td>
<td>80.0</td>
<td>83.0</td>
<td>80.0</td>
<td>71.3</td>
<td>68.0</td>
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<td><strong>Monetary and financial sector</strong></td>
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<td>Net foreign assets of the banking system</td>
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<td>18.8</td>
<td>8.2</td>
<td>14.7</td>
<td>13.5</td>
<td>16.2</td>
<td>10.8</td>
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<td>Net domestic assets of the banking system</td>
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<td>6.7</td>
<td>1.4</td>
<td>1.6</td>
<td>4.4</td>
<td>1.0</td>
<td>5.1</td>
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<tr>
<td>Of which: Credit to the private sector (as a percentage of GDP)</td>
<td></td>
<td>34.0</td>
<td>36.0</td>
<td>36.8</td>
<td>39.0</td>
<td>42.1</td>
<td>42.5</td>
</tr>
<tr>
<td>Money in a broad sense</td>
<td></td>
<td>19.7</td>
<td>12.5</td>
<td>17.7</td>
<td>20.2</td>
<td>17.2</td>
<td>15.9</td>
</tr>
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<td>Interest rates (percentage, end of period)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Deposits in local currency</td>
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<td>2.1</td>
<td>0.9</td>
<td>1.7</td>
<td>1.2</td>
<td>...</td>
<td>...</td>
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<tr>
<td>Loans in local currency</td>
<td></td>
<td>9.1</td>
<td>10.4</td>
<td>10.8</td>
<td>10.6</td>
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</tbody>
</table>

Sources: National authorities and calculations by IMF technical staff, Consultation Article IV, 2013
The GDP per capita of Bolivia has increased from US$ 1,010 in 2005 to US$ 1,700 in 2010, reaching US$ 2,700 in 2013\(^\text{59}\). Since 2009 Bolivia forms part of the group of Lower-Middle Income countries. According to the IMF, during the 2005-2011 period, moderate poverty declined from 60.6% to 48.5% and extreme poverty from 38.2% to 24.3%. Recent data from the Analysis of Economic and Social Policy showed that in 2012 moderate and extreme poverty was reduced to 43.2% and 21.6%, respectively\(^\text{60}\). The Gini coefficient increased from 0.53 in 2008 to 0.47 in 2012\(^\text{61}\).

The level of indebtedness of Bolivia is low and the debt service does not present any risk. External debt represents 14.9% of GDP and debt service represents 4.8% of the value of exports. Thus, both indicators are well below internationally recommended limits (40% and 20% respectively)\(^\text{62}\).

The national economy is increasingly using the Boliviano (national currency) as a means of transaction and savings. 86% of loans and 75% of savings now take place in bolivianos\(^\text{63}\), and this represents an additional possibility to address crises processes through counter-cyclical monetary measures.

In the event that an acute crisis occurs due to a sharp decline in international hydrocarbon fuel and mineral prices, Bolivia can deal with this, and reduce the intensity by cautiously using its net international reserves, which in December 2013 amounted to US $ 14,543 million\(^\text{64}\), equivalent to approximately 50% of GDP, as well as by reducing and focusing social spending. The situation could also be attenuated by providing greater legal security to investors.

**Public Finance Management**

The actions of the Government regarding the improvement of Public Finance Management (GFP acronym in Spanish), is implemented through the "Action Plan for the Improvement of Public Finance Management (PAMGFP acronym in Spanish)"\(^\text{65}\), which comes from tax assessments and is linked to the National Development Plan (PND), to the extent that "its attainment enables efficient management of public resources to finance development policies. Improving the GFP aims to strengthen tax collection systems, with the aim of contributing to economic growth and the implementation of policies, especially redistributive social policy, and under an increased state role in the productive sector; all this with the aim of reducing poverty, and ensuring sustainable and inclusive economic growth. Having adopted this strategy, together with the drafting of laws and regulations and improvements in governmental control, the capacity to raise revenues for the State is improving in a substantial and convincing manner.

The credibility of the reform process is given by the progress made in implementing the Action Plan for the Improvement of Public Finances - PAMGFP since its adoption. The financial performance in the first half of 2013 reached 31.4% and physical progress is above 50%. Overall progress has been satisfactory. Some specific advances are:

- Substantial progress in implementing the Plan, mainly with government resources;
  - The preparation of the Bill on Public Procurement;
  - The promulgation of the Law for Public Enterprises;
  - The Bill on the Organic Law of the Comptroller General (CGE), sent to the National Assembly for approval;
  - The significant increase in tax revenues, SIN (National Tax Service) and ANB (customs) during the period 2012 -2013;
  - The development of standards for the management of local public finances (local debt, territorial statistics, Local fiscal sustainability) and the promotion of public enterprises;

\(^{59}\) Approximate figures taking into account that the GNP projected for 2013 and population and housing data of the 2012 Census

\(^{60}\) Source: IMF

\(^{61}\) MEFP


\(^{63}\) MEFP, data as of October 2013.

\(^{64}\) IMF, Consultative Article IV, 2013

\(^{65}\) Presented in December 2010 by the Ministry of Economy and Public Finances and approved by Ministerial Resolution
- The promulgation of the Law for Public Enterprises;
- The Bill on the Organic Law of the Comptroller General (CGE), sent to the National Assembly for approval;
- The significant increase in tax revenues, SIN (National Tax Service) and ANB (customs) during the period 2012-2013;
- The development of standards for the management of local public finances (local debt, territorial statistics, Local fiscal sustainability) and the promotion of public enterprises;
- Effective policy dialogue between the Government and the donor community.

The management of public finances has improved without significant international funding, which shows the great interest and political will of the Government in this matter.

In terms of budget transparency, the Ministry of Economy and Public Finance (MEFP acronym in Spanish) published on its website the full state budget, which is approved by law. Annual reports on the implementation of the nonfinancial public sector budget broken down by institution are also available for review. In addition, monthly reports to the Treasury cash flow have been made available to the public. Furthermore, the Fiscal Digest is uploaded to the website with information related to the central government, state enterprises, public debt, fiscal balances and sub-national levels.

Issues that deserve special attention are: i) increased efficiency in public accounts, ii) promoting better and more effective monitoring and control of public expenditure (by the CGE and the Assembly), and iii) budget transparency.

**Vulnerabilities**

It can be said that a major vulnerability of the Bolivian economy is its overdependence on the export of hydrocarbon fuels. The increase in the primary-export orientation of the economy has been a constant during the period under review.

Although the macroeconomic outlook, based on performance in recent years, is positive, public accounts rely heavily on income from the hydrocarbon and mining sectors.

Table 2 shows how the sustainability of income level required by the State, taking into account that it has assumed high levels of spending on expanding its presence in the economy, is vulnerable, since over 40% of revenues are from the sale of hydrocarbon fuels. These revenues are fluctuating and subject to the stability of international prices. If the revenue from the sale of hydrocarbon fuels (mainly destined for Brazil and Argentina) are excluded, the IMF has projected figures that would register a negative fiscal balance.

Although up until now the country has not been overly affected by the global economic crisis, this dependence on international prices of hydrocarbon fuels highlights the risk of a sustained global decline in commodity prices, or affect the situation of emerging economies as a result of the global financial crisis, which would lead to a rapid deterioration of national public finances\(^6\). The private sector could also be highly vulnerable to external shocks due to a reduced development of its competitiveness and the lack of institutional capacity to deal with sudden crises. To reduce the vulnerability of the economy, the government has proposed a change in current patterns based on the export of raw materials, aiming at greater economic diversification and industrialization.

\(^6\) Between 2010 and 2012, internal tax revenues and customs revenue grew by 20% on average
Table 2: IMF Medium-Term Outlook for Bolivia

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Real GDP growth (in percent)</td>
<td>6.7</td>
<td>5.4</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
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<tr>
<td>Inflation (in percent, end of period)</td>
<td>7.5</td>
<td>5.5</td>
<td>5.2</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
<td>5.0</td>
</tr>
<tr>
<td>Fiscal balance</td>
<td>0.6</td>
<td>-0.4</td>
<td>-0.1</td>
<td>-0.1</td>
<td>-0.4</td>
<td>-0.7</td>
<td></td>
</tr>
<tr>
<td>Nonhydrocarbon balance</td>
<td>-10.2</td>
<td>-10.4</td>
<td>-10.1</td>
<td>-9.5</td>
<td>-9.3</td>
<td>-9.3</td>
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<tr>
<td>Public debt</td>
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<td>29.7</td>
<td>27.8</td>
<td>25.9</td>
<td>24.1</td>
<td>22.3</td>
<td></td>
</tr>
<tr>
<td>Net public debt</td>
<td>9.5</td>
<td>8.9</td>
<td>8.3</td>
<td>7.7</td>
<td>7.4</td>
<td>7.4</td>
<td></td>
</tr>
<tr>
<td>Current account</td>
<td>4.0</td>
<td>3.1</td>
<td>1.9</td>
<td>1.4</td>
<td>1.1</td>
<td>0.9</td>
<td></td>
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<tr>
<td>Reserves</td>
<td>48.8</td>
<td>48.3</td>
<td>48.1</td>
<td>47.3</td>
<td>46.5</td>
<td>45.5</td>
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<tr>
<td>Reserves (in months of imports)</td>
<td>16.3</td>
<td>16.1</td>
<td>16.3</td>
<td>16.6</td>
<td>17.1</td>
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<tr>
<td>External debt</td>
<td>20.2</td>
<td>19.1</td>
<td>18.4</td>
<td>17.7</td>
<td>17.0</td>
<td>16.3</td>
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</table>

Sources: Ministry of Economy and Public finances, Central Bank of Bolivia, National Institute of Statistics, and Fund staff calculations.
This improvement in the living conditions of the population is mainly due to poverty reduction, especially in the population of urban areas. In cities, homelessness fell by 36% cumulative, which has a greater effect on the overall rate due to the concentration of the population in urban areas; on the other hand, the reduction of rural poverty reached 29% accumulated over five years.

At the same time, since 1980 (base year for the Human Development Index-HDI) until the present, the country’s progress has been substantial and sustained. Thirty-three years ago, Bolivians had a life expectancy of 52 years, an average schooling of 4.5 years, and a per capita income of US$ 3,791 (calculated in constant 2005 dollars). Today, life expectancy at birth is about 67 years, with an average 9.2 years of schooling and an income of US$ 4,444. In conclusion, life expectancy has improved by almost a quarter and schooling has doubled, while progress in the economic sphere was rather modest. Thanks to these advances, between 1980 and 2012, the Bolivian HDI (see Table 3) increased from 0.489 to 0.671.

Meanwhile, income inequality at the national level, as measured by the Gini coefficient, was reduced during the 2001-2009 period. This reduction is mainly due to the fall in the index in urban areas, which decreased by three percentage points. However, in rural areas, a stagnant rate is observed, revealing the persistence of inequality away from global improvement trends. Assuming the reliability of this coefficient to reflect the general situation of income distribution, it should be remembered however that the information source (household surveys) does not cover the situation of assets held by individuals in an exact manner.


68 For comparison: the average value of HDI in Latin America and the Caribbean is currently 0.741, surpassed only by the average of Eastern Europe and Central Asia
Table 3: Tendency in the Human Development Index in Bolivia

<table>
<thead>
<tr>
<th></th>
<th>Life expectancy at birth (years)</th>
<th>Average number of years of schooling (years)</th>
<th>GNI per capita ($US PPA 2005)</th>
<th>HDI</th>
</tr>
</thead>
<tbody>
<tr>
<td>1980</td>
<td>52</td>
<td>4.5</td>
<td>3.791</td>
<td>0.489</td>
</tr>
<tr>
<td>1990</td>
<td>55.8</td>
<td>6.4</td>
<td>2.922</td>
<td>0.557</td>
</tr>
<tr>
<td>2000</td>
<td>63</td>
<td>7.4</td>
<td>3.472</td>
<td>0.620</td>
</tr>
<tr>
<td>2010</td>
<td>66.3</td>
<td>9.2</td>
<td>4.163</td>
<td>0.668</td>
</tr>
<tr>
<td>2011</td>
<td>66.6</td>
<td>9.2</td>
<td>4.315</td>
<td>0.671</td>
</tr>
<tr>
<td>2012</td>
<td>66.9</td>
<td>9.2</td>
<td>4.444</td>
<td>0.675</td>
</tr>
</tbody>
</table>

Source: UNDP Bolivia 69

However, significant challenges in planning and coordinating social, economic and industrial policies persist. Improvements are needed in policy guidelines and strategic long-term planning by the State, which in turn would enhance productivity, competition and broader inclusion of the private sector. Moreover, the environment for international investment should be strengthened and promoted. The recent nationalization of foreign companies, in addition to creating an unfavorable regulatory environment for investments, has reduced the potential for greater foreign investment. Bolivia has not yet adopted the new Investment Law which could help to provide a clearer overview for investors, particularly if it includes international arbitration as a means to resolve conflicts resulting from nationalization.

The new Constitution states that the "electricity" sector shall promote research and development in alternative energy. These energy sources shall be compatible with environmental concerns, in addition to meeting criteria of quality, efficiency and low costs. Bolivia still lacks a specific legal framework, which represents a significant impediment to the development of the sector and as a result, electricity generation is primarily derived from conventional sources. In late 2011, the Ministry of Hydrocarbons and Energy introduced the current state policy related to alternative and sustainable energy.

Bolivia’s approach to poverty reduction emphasizes stimulating small and medium enterprises and creating opportunities for decent work, decent income and adequate social protection, in order to improve social cohesion and thus aid in overcoming poverty in a sustainable fashion. The level of the minimum wage doubled in real terms between 2005 and 2012. This measure undoubtedly contributed to poverty reduction, however with limited scope given the high level of informality in the country’s business sector.

Consistent with sustained economic growth, official government statistics speak of a historic drop in unemployment, but the Bolivian Observatory of Employment and Social Security believes that the major problem is the precariousness of the country which affects 86 of 100 people employed in the

69 http://idh.pnud.bo/d7/content/el-desarrollo-humano
country. The unemployment rate according to the Government (Figure 2) fell in the last eight years between 2005 and 2012 from 8.1% to 3.2%, and in 2013 it is estimated that it dropped to 2.2%, but a study by the Center for Labor and Agrarian Development (CEDLA) reveals that this situation has not changed since 2011, when it stood at 7.9%.

Figure 2: Unemployment rates and minimum salary 2000-2012

Remittances from migrants abroad are a significant source of income for Bolivian families. The amount of remittances has almost doubled since 2006. In 2011 it was approximately $US1.012 billion, with funds mainly from Spain (47%), the USA (20%) and Argentina (15%).

The contribution of drug trafficking to poverty reduction (income generation through illicit activities) has not been investigated deeply enough in Bolivian literature to allow for a qualified evaluation and permit conclusive findings.

Agricultural and Food Security

The agricultural sector in Bolivia is characterized by two extremes: On the one hand, there is a booming agribusiness highly specialized in soybeans and livestock in the north of the Department of Santa Cruz. This sector provides raw materials and food to major cities and has important processing factories and exports its products, having benefited in the last decade by increases in the prices of and agricultural raw materials. On the other hand, there remains the type of low-tech agriculture predominant in most regions of the country carried out by small landholders, farmers and settlers - who represent the vast majority of farm units but which make up only 45% GDP agricultural GDP. In this segment, and considering that the traditional use of coca is permitted by Bolivian law, the production of coca leaf in approximately 27,000 hectares means 13% of agricultural GDP, concentrated in two large rural areas, Yungas of La Paz and the Chapare, employing approximately 100,000 coca farmers. Particularly in tropical areas of coca production, the expansion of the monoculture of coca, fostered by spontaneous colonization, has a severe impact on forests and land. GFSM, agricultural activities ($US1.202 MM) and agribusiness ($US479 MM) together generated $US1.700 million during 2012, representing 23% of Bolivia's GDP.

The technological and environmental constraints of the traditional peasant/small farmer sector (particularly in the west of the country) result in low levels of productivity and income and force most of their production units to find economic alternatives outside of agriculture in urban areas or in new settlement areas. In recent years, the agricultural frontier in the lowlands, the government policy was formulated in Bolivia within the framework of since 2009 the Government has strategic priorities of the new due to climatic effects on food production, promoting organic farming and sustainable planning, which is affected at different levels: 102 of the 339 results. To ensure the availability doubled in recent years, flooding markets with fruits, vegetables, grains and tubers. Exports account for $ US 742 million. Furthermore, it is estimated that unrecorded food imports have increased by 52.3% compared to 2010, reaching $ US 519 million. With regard to food security indicators, Bolivia presents a complex situation regarding the availability, accessibility and use of food. Vulnerability to food insecurity, according to the analytical indexes and mapping carried out by the World Food Program, is affected at different levels: 102 of the 339 municipalities in Bolivia (30% of municipalities representing 11% of the population) are classified as highly vulnerable to food insecurity. This is a problem which is highly concentrated in certain geographic areas, mainly affecting the northern Bolivian Amazon and the southern part of the plateau. The availability of basic food is the main issue for 54% of the highly vulnerable municipalities. Furthermore, levels of malnutrition, particularly for children up to 2 years old, have been reduced from 37.6% to 15.5% since 2007 (SNIS, 2012) as a result of increased government and donor support. However, this improvement should be strengthened by new interventions aimed at achieving the 2015 Millennium Development Goals (MDGs).

Food sovereignty and security is a major government priority and includes the right to access to food (and food sovereignty), in the new Constitution, as outlined in the recent Sector Development Plan. The new food sovereignty and security policy was formulated in Bolivia within the framework of changes enshrined in the 2008 Constitution. Food sovereignty is now "understood as the right of peoples to control their own seeds, land, water and food production, ensuring, through local, autonomous (participatory, community and shared) and culturally appropriate production, in harmony and complementarity with Mother Earth, peoples’ access to sufficient, varied and nutritious food, deepening the production of each nation and people. " Among the strategic priorities of the new policy are the strengthening of peasant, indigenous and aboriginal community-based family farming, equitable access to natural resources in order for rural families to have access to water, land and sufficient forests destined for food production, promoting organic farming and sustainable planning, multi-sector interventions and various public institutions to ensure food security and sovereignty.

In June 2011, the government enacted Law No. 144 entitled the “Productive Community Agricultural Revolution Act” which should become the main reference for national policies in relation to agricultural development. This rather ambitious law seeks to establish and implement sustainable and integrated rural development and food security policies in the country. The demand for processed foods has increased considerably in Bolivia. However, agriculture and agribusiness have not responded adequately to this new demand. Public investment and private sector efforts are insufficient to improve productivity and / or production in strategic areas and consequently, general food imports have reached record levels in the country. According to the latest economic indicators, food imports have increased by 52.3% compared to 2010, reaching $ US 519 million, while food exports account for $ US 742 million. Furthermore, it is estimated that unrecorded food imports have doubled in recent years, flooding markets with fruits, vegetables, grains and tubers. To ensure the availability of basic foodstuffs produced in the country, since 2009 the Government has established maximum quotas volumes for food exports. That policy has not yielded the expected results. In 2010, in a situation of sugar shortages (due to climatic conditions), the Government established export quotas, with the result that this discouraged producers (in the face of prices fixed
by the government for sale to the end consumer). The move led to an aggravation of shortages in response to government imports of subsidized sugar. The experience with rice, potatoes and wheat has been similar. In general there is little clarity about the decision on export quotas, since they frequently change (in volume) or they are either established or temporarily suspended.

The agricultural sector receives foreign aid from various international agencies, provided mainly to the Ministry of Rural Development and Land, although NGOs in this sector receive significant funding level. The main donors in the sector are the EU, which allocated € 11 million under the Food Security theme budget line (SPSP Food Facility), along with DANIDA, USAID, German Technical Cooperation (through GIZ), Swiss Development Cooperation and AECID (Spain), which support various agricultural projects and provide technical assistance. Through a $US 51 million loan, the World Bank seeks to strengthen the National Institute of Agricultural and Forestry Research (INIAF) and there is a of US20 million IADB credit aimed at developing small agricultural investments in rural communities in different highland departments in the country. Another major donor is German Financial Cooperation (through KFW) that focuses on irrigation programs totaling around US $ 50 million.

Among the challenges the sector faces are increased production and productivity of strategic food products (Act No. 144 identifies 14 strategic agricultural products to ensure overall food security), the implementation of a national agricultural insurance, and access to capital by small and medium scale farmers. To implement this ambitious agenda, there is an urgent need to strengthen institutional levels of central, regional and local governmental capacities, particularly in relation to the design and implementation of integrated and competitive agricultural programs in agricultural research and technology transfer, as well as the improvement of existing information systems.

**Dependence and Sustainability of External Aid**

The relative importance of foreign aid in Bolivia has been declining as domestic sources of funding have increased steadily in recent years. Development assistance currently represents only 0.5% of GDP. However, in some sectors such as water and environment, the level of dependence is proportionally higher. Public investment in Bolivia has increased significantly, from $ US629 million in 2005 to $ US3.800 million budgeted for 2013. Internal sources, which financed only 37% of public investment in 2005, now reach 77% of the total (2013). Regarding external sources, the ratio of loans and grants has remained around 3 to 1 over the last decade. Most grants are allocated to social and productive interventions and the environmental sector. However, the country lacks an exit strategy from aid dependency; most infrastructure projects are financed with foreign loans due to lack of internal resources made available from the central government. In this sense, the issue of Bolivian government stipends in 2012 ($ US500 million) enabled the Ministry of Development Planning to allocate new resources to strategic investment projects.

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71 In 2013 agricultural insurance covered 63 municipalities. In 2014 this coverage was expanded to 107 municipalities.  
http://anbolivia.blogspot.com/2014/01/cobertura-de-seguro-agrario-en.html
Social Situation

Poverty and Policies for Reduction

Although poverty and inequality in income distribution are still high, progress has been made in improving social inclusion and income distribution, so that extreme poverty has been reduced from about 38% in 2005 to 25% in 2010. Overall poverty levels remain largely unchanged; approximately 50% of the population is still considered poor. People in rural areas, women and indigenous people are particularly vulnerable. Internal migration flows have generated a growing group of marginalized urban population. Migration of labor is common, mainly to the US, Europe and neighboring countries, especially Argentina, Chile and Brazil, and the revenue generated from relatives abroad, has a significant role in the national economy. Due to the financial crisis in Europe and the US, a growing number of migrants have returned to the country, and the percentage of migration labor to neighboring emerging economies, such as Brazil, is booming.

Some state distributive policies and social programs have contributed to reducing the poverty rate and improve equity. The Bolivian government is using a portion of the income from hydrocarbon fuels to finance a series of conditional stipends. The Juancito Pinto is designed for elementary students, to encourage access and attendance of students to schools, and breaking the cycle of poverty inherited across generations. The stipend is Bs.200 (US $ 28.7) per year for children at primary level and shows results such as a decrease in the rate of truancy from 5.3% to 2.8% from 2006 to 2010. The Juana Azurduy bonus is a maternity bonus of Bs1.820 (US $ 261.5) per year (for two years). The Renta Dignidad (Dignity Income) universal stipend is aimed at retirees over 60 years with an amount of between BS150 (US $ 16.0) 200 (US $ 28.7) per month. This stipend benefited more than 800,000 people in 2011. These conditional direct transfers have a direct effect on reducing social vulnerability, but there are concerns for many observers about their long-term sustainability.

In order to finance the expansion of social spending and other expenses of the Central Government, the Government created the legal basis for the transfer of public resources in cash and / or kind and productive investments from the public to the private sector. It seeks primarily to transfer profits from public enterprises. Since the creation of its mechanism, the Ministry of Health benefited from resources for the purchase of equipment, social security received funds and the state telecommunication company ENTEL is in the process of establishing tele-centers in rural communities.

Structural Changes in the Economy

Reducing poverty is also sustained by economic growth and rising incomes in general in the country. Through new mechanisms of wealth redistribution produced additional wealth GDP growth, additional resources can reach low-income strata. The creation of these mechanisms (primarily through the nationalization of private companies and the creation of new public companies) has involved major changes in the Bolivian economy.

Between 2005 and 2013, consolidated public sector participation in the economy (central government, sub-national government, public companies, as reflected in Figure 3) increased from approximately 20% (normal level in comparable countries the region) to about 60%. Between 2005 and 2011, the number of public companies rose from 7 to 21. In 2011, only one of 14 public companies created by the government did not report losses. While the generation gap is a common phenomenon in startups (especially if they are on a major scale), structural change in the economy implies a high level of subsidy from the State. The government’s ability to fund these grants within the required timeframe depends heavily on its ability to generate revenue (mainly via hydrocarbon fuels).

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72 Among others, through Supreme Decree No. 1134 of February 8, 2012 and No. 1460, January 10, 2013

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The massive formation of state owned companies in Bolivia is part of a profound change process in the economic structure of the country and has to be considered within the framework of the “New Economical, Social, Communitarian and Productive Model”, which has been applied since 2006. The fundamental characteristic of this model is the intervention of the State. The areas of the economy that this “model” intends to address are the energy sector, food industry, climate change, financial sector and the macroeconomic policies.

The new model is financially sustained over the nationalization of hydrocarbons. This nationalization transfers hydrocarbon extraction utilities back to the State, who pays private oil companies (that co-participate with State owned YPFB in the hydrocarbon exploitation) for the provision of their service (of exploitation). Through this model of change, governmental income has increased 248% from 2006 to 2012 (in present values).

Related Situation on Narcotics Production and Drug Trafficking

The fight against illegal drugs has been an important priority for Bolivian Governments. In 2006, Bolivia published the "National Strategy of Fight against Drug Trafficking and the Revaluation of the Coca Leaf 2007 – 2010", that meant a fundamental change in the policies that the country had for the last two decades. This strategy established a specific objective towards the reduction of the total coca leaf cultivable area to 20,000 up to 2010. All this justified by the legal and traditional consumption of coca leaves through chewing, in medicinal and in religious use rituals. After five years, this strategy has only achieved some of its objectives.

The confiscation of illegal drugs and drug precursors has tripled since 2006. The production of coca leaf stagnated from 2009 and started decreasing in 2012. However, the production and in particular drug trafficking is on the rise and international groups of drug dealers have installed themselves in the country. While previous Bolivian governments followed more aggressive policies towards the forced

73 http://medios.economiayfinanzas.gob.bo/MH/documentos/Materiales_UCS/Libros/Libro_empresas.pdf
74 In the logic of the macroeconomic intervention policies, we find a default, fixed exchange rate since 2006
eradication of coca leaf, the current administration applies forced eradication only for the excessive expansion of coca crops cultivated in national parks. The government is trying to reduce coca leaf plantations through “rationalization”, a joint effort of the producing organizations and legal entities to identify land plots with an excessive plantation of coca leaf crops. The “rationalization” (instead of “eradication” in the plantation areas where producers’ organizations are authorized to produce coca leaves) clearly avoided social conflicts, which were common in the past.

Starting 2006, the Bolivian government has made considerable changes in traditional anti narcotics policies in the country, with the State taking over subjects like nationalization, diversification, regionalization and legislation. Currently, the coca leaf is considered by the Constitution as a cultural heritage and renewable natural resource (Art. 384) and its importance has been recognized towards sustainable rural and inclusive development (Arts. 405 to 409). Therefore, Bolivia is promoting a policy of “coca yes, cocaine no”.

Bolivia is the third biggest world producer of coca leaves, freebase and cocaine in the world, after Peru and Colombia. In the 2012 Monitoring Report produced by the United Nations Office against Drugs and Crime (UNODC), it is estimated that the planted surface of coca leaf crops in Bolivia is 27,200 hectares (compared to 62,500 in Peru and 64,000 in Colombia). Despite that, in 2010 the growing of coca leaf augmented in Peru and Colombia, giving place to an increased potential towards the production of cocaine. Bolivia has achieved a net reduction of 12% in coca crops. This favorable situation had been foreseen by the national authorities and by international cooperation after the gradual stabilization of coca leaf crops, ongoing since 2009. However, Bolivian numbers still exceed legal arable surfaces and it is necessary to continue the efforts towards rationalization and eradication.

There are no precise numbers on the amount of drugs going in transit from Bolivia to Europe. However, estimations of various interdiction agencies suggest that around 80% of the cocaine produced in Bolivia enters illegally from Brazil and that a proportion of this is sent to Europe though West Africa. Only around 12% of the cocaine produced in Bolivia reaches the USA. The local drug trafficking networks, which are increasingly infiltrated by Brazilian and Colombian networks, have put the producers of freebase in Bolivia in contact with international laboratories and drug markets. Additionally, new production methods have been detected that are more sophisticated and more potent hydrochloride of cocaine laboratories are now found in Bolivia. International criminal organizations are highly flexible and quickly adapt to new interdiction measures, using their great financial capacity to bribe prosecutors, police and customs officers. They also make use of murder and extortion for their illegal ends. Bolivia is also an important route of Peruvian cocaine on its way to Brazil.\(^{75}\)

In the past, the Bolivian State has received considerable financial and technical support from the USA, especially from the Narcotics Affairs Section (NAS) and USAID. Until 2008, the Special Taskforce in the Fight against Drug Trafficking (FELC-N) also received assessment and funds from the US Drug Enforcement Administration (DEA) of the USA. However, a growing antagonism between the governments of Bolivia and the USA has lead to the expulsion of the DEA representative in November of 2008. According to American sources, the financial support will be decreased to only US$ 4 million for the year 2013, year in which the suspension of the American support to this sector was announced. The increase of drug trafficking towards the EU and the increase in the activities of international cartels, along with the deterioration of relations between Bolivia and the USA, traditionally the main partner in anti drug trafficking policies in the country, has increased the concerns of the EU and other countries about the situation of narcotics in Bolivia. This has also motivated the interest of Bolivia to cooperate with the EU in the fight against drugs.

The EU is an important partner in the fight against illegal drugs. Although the efforts of the EU concentrate on alternative development programs, other minor innovative actions are highly valued

\(^{75}\)Brazil increasingly participates in anti drug cooperation since most of the cocaine produced in Bolivia goes to Brazil as internal consumption (Brazil is now the largest consumer after the USA), or to be shipped onwards to Europe.
by the Bolivian Government and international partners (for example, a complete study on the coca leaf, the design and implementation of social control mechanism, institutional strengthening, and capacity building of the National Council against Illegal Drug Trafficking, CONALTID). Besides, the EU participates in antidrug cooperation at the regional (EU – Latin America and the Caribbean) and sub-regional level (EU – Andean Community).

**Institutions, Civil Society and Private Sector**

There are weaknesses in the capacity of the country to successfully develop and implement public policies for strategic development. State institutions face a complicated transition process. Public administration is characterized by a high rotation of staff, including Ministers, which slows the reformation processes. A rapid and positive inclusion of previously marginalized groups has taken place, according to the government, because of the hiring of public employees with lesser levels of education and professional experience.

As it has been mentioned, the Constitution started a process of decentralization and autonomies in response to the persistent inefficacy of public structures, the provision of social services and the necessity to promote citizen participation and the release of administrative accounts and public decision-making. However, there are still coordination problems between Ministries, besides several restrictions towards an efficient vertical coordination with departmental governments. Cooperation mainly works with sector authorities at a central level and on their development plans. Recently, the government has made an effort to approach the private sector and a continuous dialogue is now in place. The private sector is capable of acting but lacks a legal framework and faces serious restrictions concerning foreign investment.

Social organizations are strong in Bolivia and some of the movements they represent exert a considerable influence in the Government’s decision making. However, civil society seems to be very fragmented. Technically, civil society organizations and NGOs are free to register themselves and act in the country. Over the last years the government has taken a more assertive approach regarding NGOs, national and international; manifesting its will to strengthen the regulations in aspects such as funding sources and destination, in addition to the goals and activities of the organizations.

**Environmental Panorama**

**The Characteristics and Natural Richness of Bolivia**

Bolivia occupies a surface of 1.095,581 km² in the heart of South America and is one of the most diverse countries in the world. It also counts itself amongst the 10 countries with greater diversity of birds and mammals and amongst the 11 countries with most flora richness. The natural forests of Bolivia occupy a surface of 53.4 million hectares, representing 48% of the country's surface; this represents almost 10% of tropical forests in South America.

The Andes mountains and the position of Bolivia in the geographical center of the continent are the principal factors that make Bolivia a mega diverse country with different eco regions that extend themselves from the Andean High Plateau - the Altiplano - Yungas, inter-Andean valleys, the Amazon rain forest, floodable Savannahs, Chiquitania, Chaco and Cerrado. The country also has important water resources, contained in three main hydrographic basins: The Amazonian basin that covers a surface of 724,000 km², the basin of Rio de la Plata, with 229,500 km² and the endorheic basin of the Altiplano that occupies 145 km². However, we need to considerate the great heterogeneity in the spatial distribution of water volumes, due to prevailing climate and physical conditions.

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77 Ibidem
A great part of the Bolivian territory, 58%, stands out for a good to very good state of ecosystem preservation. Approximately 20% of the national territory is protected under the National System of Protected Areas (AP), which is made up of 123 legally established protected areas at a national, departmental and municipal level. From these preservation units, 22 protected areas have been identified of national interest and make up 18% of the Bolivian soil (a little over 17 million hectares).

These protected areas are representative examples of the natural, cultural, historical and living heritage of Bolivia. They are also an essential part in the sustainable development of the country. This is because they perform environmental, cultural and socioeconomic functions orientated towards providing a series of benefits to society as a whole and, in particular, to the local communities that inhabit them. For the inhabitants, this translates itself into a steady water supply, erosion control, mitigation of climate change, beautiful landscapes for tourism activities, provision of materials and food, amongst others.

Tourism constitutes a very important sector for Bolivia, given its great natural richness and beautiful landscapes. In the cultural ecosystems, outdoor tourism stands out (mainly ecotourism) and it has grown over the past years, generating economical income with multiplying effects in rural communities. This way, it is estimated that an increase in tourism in the protected areas will amount to 28% each year, with a growth of over 100% in the last 5 years. Out of the total of foreign tourists that came to Bolivia in 2007, a 15.81% (82,770 tourists) visited the AP. According to a study that was realized to calculate the contribution of the protected areas to the economy, the gross value of production for tourism by unit of conservation, for the year 2007, ascended to US$ 50,220,540 (current dollars). This means that for the 2007 administration period, this activity contributed to the national economy 0.38% of the GDP, generating approximately 20,000 job posts.

The development opportunities that sustainable tourism offers include the provision of an alternative source of income, in addition to agriculture, and the valorization of rural zones and its inhabitants. It also contributes with the development of an environmental consciousness inside the community, better indirect economical benefits for the entire region coming from increased activity and employment in related economical activities (transportation, restaurants, etc.), cohesion between the members of the community and greater learning opportunities about the benefits of nature and the value of other cultures, Bolivia has a competitive advantages that can compare themselves to other countries in the sustainable tourism market niche, because of the vast offer of environmental and cultural attractions and the good state of conservation; as well as offering relatively new products in the market with a capacity to attract tourists who wish visit more undisturbed areas. Even so, with all this potential, nature tourism is not being taken advantage of in Bolivia, mainly because of the organizational and technical weaknesses of the local actors who are immersed in these activities, the quality of offered services, along with deficient infrastructure. These aspects can all be considered part of the main issues that create a bottleneck. In the majority of cases, ecotourism projects require long-term investments at economical level and the strengthening of stakeholders’ capacities, so that the entire operation can be feasible and stand on its own; therefore sustainability is another sensitive issue.

Also, Bolivia in one of the world leaders in the certification of tropical forests and it constitutes one of the countries with the largest organic agricultural surfaces in the world. In this same line of thought, and despite the incipient level of its exporters, Bolivia is amongst the top 3 exporters of Amazonian

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79 Bolivia has a delimitation of Priority Tourism Development Areas (ZPDT) and according to the Vice-Ministry of Tourism they are as follows; i) Pantanal, ii) Trinidad, iii) Chaco, iv) Amazonian Triangle, v) Jesuit Missions, vi) Oruro, vii) Madidi, viii) Tropic of Cochabamba, ix) Sucre - Potosí, x) Cordillera Real, xi) Lake Titicaca y xii) White Deserts


81 A large portion of Bolivian territory is included in the hotspot of the Tropical Andes, which is a priority, conservation wise. At a global level, there are 35 recognized hotspots. The Tropical Andes is the most diverse in terms of species found there and has been denominated as a “world epicenter of biodiversity”
Main Environmental Issues

The main environmental issues relate principally to the change in the use of soils for agricultural and agro-industry activities, indiscriminate wood chopping an important problems in the environmental quality resulting from mining and hydrocarbon activities that are carried out without any environmental care and that affect the quality of life of populations affected by soil and water pollution. With this situation, strong weaknesses have surfaced, related to the application of current norms. Even before this situation occurred, environmental authorities had noticed institutional, logistic and technical weaknesses. These authorities are in charge of the regulation and the mitigation of negative impacts, especially from pollution.

The rate of deforestation in Bolivia is of 300,000 HA. per year\(^{82}\), which signifies that the deforestation rate per capita in Bolivia is approximately 320 m\(^2\) / person / year. That is 20 times higher than the global average of approximately of 16 m\(^2\) / person / year and also one of the highest in the world, equivalent to some African countries like Sudan (332 m\(^2\) / person / year)\(^{83}\). Therefore, the deforestation rate has grown and quadrupled its own value of 80,000 HA. per year in 1975 to 300,000 HA. per year in 2006. The disaggregation of this information by socioeconomic stakeholder shows a differentiated contribution. During the abovementioned period, those who have contributed the most towards deforestation are: 1) High Andean colonizers, 2) farmers from Santa Cruz and Yungas and 3) agro-industry which has respectively deforested 23, 20 and 17% of the total affected surface. In total, 2.5 million HA have been deforested.

It is important to situate a time period of this deforestation along with related political and economic factors, in order to better understand the patterns of this phenomenon. Deforestation produced by the first group over 10 years reached 15,000 HA annually by the beginning of the 80s and nearly 40,000 HA. per year by 1995. Amongst other factors, this was the result of actions taken within the framework of the economic policy adopted during the structural adjustment during this period. This brought the delocalization of mineworkers and the consequential shift of populations from the Andean highlands in the west to the eastern lowlands of the country.

Furthermore, the recovery of the agro-industry sector at the beginning of the 90s meant an accelerated growth of the agricultural frontier. In 1995, the estimated deforestation rate caused by agro-industry greatly increased the rate registered 10 years earlier caused by colonizers from the Andean highlands. From there on, agro-industry deforestation stepped in to occupy the first place, reaching over 50,000 HA. per year in 2000. Various factors have contributed to this situation counting the soybean boom in the international market (according to the Association of Oleaginous Producers, ANAPO, in the 90s soybean price reached US$ 210 per ton between 1996 and 1997 and the cultivated area of soybean rose from 150,000 HA. in 1990 to 617,200 HA. in 2007). The analysis of the accumulated deforestation starting in 1990 shows the new tendency: the agro-industry sector is the largest cause of deforestation. In comparison to other groups of actors it is even greater; the deforestation caused by a sole agro-industry is equivalent to the deforestation caused 60 colonizers from the Andean highlands and 150 times that of a local indigenous farmer.

At this accelerated rate of deforestation, it is estimated that Bolivia could be totally deforested by the year 2100\(^{85}\). This situation urges the adoption of countermeasures to stop the high levels of deforestation in Bolivia, through the use of alternatives related to the sustainable and integral management of ecosystems, forests and protected areas.

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84 Andersen, L. 2009. "Climate change in Bolivia: Impact on Forests and Biodiversity".
Deforestation problems as well as changes in the use of soil without planning or without safe-keeping the environment. An example of this is that with new infrastructure projects for development and the extractive industry, more pressing unified actions have to be taken, united with economic alternatives that are viable and genuinely effective in the fight against poverty; and to avoid the loss of forests that constitute the main wealth and potential of a country. All this would lead towards negative impacts to the socioeconomic development, more accelerated impacts at climate level and an impact on the provision of drinking water. Considering that forests also help the preservation of water basins.

It would also be a challenge to be able to link the benefits and importance of nature in the concept of “Vivir Bien” (“Living Well” governmental policy) and the frameworks of legislation like the Law of Mother Earth, that involve a construction process of a pluralistic and integrated vision between ecosystems and the wellbeing of people. This relation is not totally clear or tangible for either the general population or for decision-making groups. There is still a long way to go in the dilemma between preservation and development in Bolivia.

Bolivia, along with other South American and in particular Andean countries, is situated in an intense climatic activity area, affected periodically by the “El Niño” phenomenon. Each year the country is threatened by tropical waves, storms and high-intensity disturbances like frost and seasonal droughts that affect its territory, human settlements and productive activities. In the same way, the great biological diversity causes the effects of climate change to manifest themselves in different ways in the many eco regions of the country, making the understanding and the treatment of these issues a very complex matter.

The main climatological threats to which Bolivia is exposed to are floods, droughts, hail, frost and landslides. The latter have increased the frequency and recurrence of floods and droughts; affecting large areas of the western highlands and eastern lowlands of the country.

Increased vulnerability is due to poverty and the consequences of rural migration, the lack of enforcement of environmental law, environmental degradation and the lack of territorial planning tools. There are efforts being made to introduce disaster risk reduction (DRR acronym in Spanish) in municipal planning. However, advances in the integration of DRR in national investments are menial. The State has been unable to create a model without reproducing or deepening existing vulnerability conditions.

Another example refers to the climatological phenomena that occurred between 2006 and 2008 that coincided with the global increase of food prices. These crises affected the way of life of 700,000 people in vulnerable areas of Bolivia, which were exposed to droughts and flooding in a vast part of the Bolivian territory. The repercussions of climatological events are explained by modifications due to land occupation by colonizers. This happened after the 80s economic crisis, along with the dynamic demographics of the population. The relocation of human settlements in less than appropriated land is one of the main factors that explain this increased vulnerability.

In conclusion, it is worth mentioning the deficient environmental administration in cities and suburban areas, as well as in intermediate cities, creates a combination of pollution issues due to the effects of both domestic and industrial solid and water residues which are generated in cities and other areas of human settlement. In these cases, the population faces serious issues of access to water in areas that have potential for development in productive activities or tourism.

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87 SDC, 2010. “Guiding Plan”, Program of Disaster Risk Reduction in Bolivia, phase III.

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Integration and Regional Cooperation

According general regional tendencies, Bolivia has focused on Latin American regional and sub-regional integration initiatives and processes (instead of inter-American). Although a greater degree of institutional framework has been demonstrated by inter-regional organizations, the role and relevance of the Organization of American States (OAS) has been questioned, since alternative integration processes are being developed. Bolivia considers the Community of Latin American and Caribbean States (CELAC) as a viable alternative to the OAS. This partially reflects the tense existing relations between Bolivia and the USA. Bolivia is also a member of the Union of South American Nations (USAN) in which it finds political affinity with other members and in which it participates in an active way towards the development of its institutions. Bolivia is still a member of the Bolivarian Alliance for the Americas (ALBA) and maintains close relations with Cuba and Venezuela. The Andean Community of Nations (CAN) is still relevant for Bolivia; however its focus and priorities have shifted towards social integration.

| Date and time: | Tuesday December the 2\textsuperscript{nd}  
|               | 8:45-14:00 hrs. |
| Place:        | La Paz-Bolivia, |
| Evaluating Team: | Carlos Calcopietro, Lida Rodríguez, Rita Gutierrez, Diego Giacoman. |
| GFA Representative: | Elfriede Maussner, Portfolio Manager, Public Sector. |
| Participants: | 51 persons amongst representatives of the EUD (see annex: participants’ list), public entities, CSO (civil society organizations), Member States of the EU and other entities involved in EU cooperation. |

**Workshop topics:**

- Opening of the seminar EU and VIPFE (Vice Ministry of Planning and External Financing) representatives
- Conceptual introduction of the evaluation, objectives, approaches, processes, as well as the evolution of EU cooperation
- Debate and exchange of criteria between the participants and the evaluating team.
- Closing in charge of EU representatives and turning in of forms and feedback from the seminar.

**Commentaries and debate on the results of the Evaluation**

| **VIPFE:** looking at the context of the intervention (political changes, institutional, social) in which the cooperation carried out by the EU has been very important, from where lies the necessity to highlight it in the evaluation. Furthermore, the results of the EU evaluation will be very important for joint programming. | **Responses from the evaluation team**
| This is highlighted in the 1\textsuperscript{st} question and also before the section with answers. |

| **ATI PROEX (International Program of Technical Assistance PROEX): The PND (National Development Plan) is a key success factor because interventions can be easily aligned. On page 43 it is indicated that there is co-funding with the BDP (Bank of Productive Development), but this should be clarified, because ITA has no information about this.** | **Responses from the evaluation team**
| About the NDP: the evaluation is focused on the EU in Bolivia. Recommendations on internal policies of Bolivia do not correspond to the evaluating team. Nevertheless, the NDP is recognized as a tool of good practices for planning. |

| **UNITAS (National Union of Institutions for Social Action Work): the evaluation should highlight the importance of the Political Constitution of the State, the Law on Autonomies and the National Plan of Development. It is fundamental that this tool is agreed on and concluded with the participation of Civil Society Organizations. Excluding the 2025 Agenda, the National Development Plan is important and the recommendations should go in that direction.** | **Responses from the evaluation team**
| The comment is pertinent and will be taken into account in the final version of the evaluation report. |
• EUD: regarding the intervention of the Poopó Program and the SBS (Sector Budget Support) for basins, clarify that these have been complementary processes in the sense that the Poopó Program has set up a departmental service of basins, with funds from the TGN (National Treasury) to apply a basin policy. This is an important achievement. This program reports the basin policy and is a complementary intervention. The affirmation that recommends not carrying out parallel processes to program budgets and SBS actions should be nuanced because in the basins’ case this has been a useful intervention.

• EUD: Regarding the capacity building of the public administration and its weaknesses, it is important to include in the analysis why the weaknesses exist. Put into context that public investment in Bolivia has seen exponential growth in the last years (the budget has gone from 5 thousand million to 25 thousand million Bolivianos and public investment from 500 to 4 thousand) and it is only natural that the entities are not prepared yet for this budget execution level; because they were structured in a different way, based on other levels of fund executions. The EU will work in the future with VIPFE on the development of capacities.

• JATI (Chief of International Technical Assistance) EMPLEOMIN: Clarify on what is meant by the evaluation team when it says EMPLEOMIN has not demonstrated results of its work, in reference to the fact that there were not any reports or information about the result that could be found. The fatal weakness of cooperation in general is that the project cycle is accelerated too much, especially in the design phase, which is very important in order to achieve the expected results. At EMPLEOMIN it was evidenced that there were these design flaws. There is also a need to support better in the report of why it is affirmed that this program did not achieve expected results.

• CONGI (International NGOs working for Bolivia): On program focus, it is mentioned that the cycle of projects with weaknesses should not be accelerated, especially during the start-up phase. This needs to happen in all cases or during stratification of: public entities, national or international NGOs, This is the perception of the SBS and decentralization, figuring out how this support reaches a sub-national level. The CSOs felt that the dialogue with the government has greatly improved, and is thankful to the EU for facilitating the process; but there is still much to be done, and there should be systematic processes that report on the processes from different perspectives.

• The recommendations talk about scaling but doesn’t mention not carrying out parallel processes. This reflects the opinions of high-level Government officials and of the sector that thinks that the Project Management Unit could not be integrated into the institutional framework. In the case of parallel procedures, attention should be paid to integrating the management unit into the institutional framework of the supported sector.

This was not answered during the plenary session, but will be taken into account in the re-writing of the report.

• The note in the corresponding footnote signals clearly that the low budgetary execution (due to initial setbacks caused by political change) made it impossible to exceed a financial execution of 70%. Consequently, as all of the activities have not been carried out, all of the results have not been achieved. The reminder about the weaknesses of the project design is appreciated. This last point was included in the report.

• Concerning the SBS, working with CSO does not apply. Concerning reaching a sub national level we need to highlight that SBS funds are not traceable. What is made clear is that we have managed to leverage money from the sub-national level thanks to the application of public policies driven by the SBS. The SBS is thus a very good tool for the leverage of resources from these levels (municipal, departmental).
<table>
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<tr>
<th><strong>BDP (Bank of Productive Development):</strong> Highlighting the importance of the SBS, because they allow broader public policies in terms of results and impacts. The BDP has been able to improve its results with the availability of more financial resources.</th>
<th><strong>SBS allowed the BDP to evolve into a first-tier bank to reach a greater quantity of users; the numbers are widely considered in the report.</strong></th>
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<td><strong>MMAyA (Ministry of Environment and Water):</strong> About the future challenges, a clarification that the EU managed to contribute to coverage of 82% (of drinking water) that will lead to achieve the goals for the 2015 and the 2025 Agendas is necessary. A consultation is made about why this is included in the report as a future challenge.</td>
<td>About data on water and sanitation: in the report, data from the 2012 Census on progress in drinking water and sanitation coverage are included. These are mentioned in the Comprehensive Plan of the MMAyA. These numbers indicate a 79 to 80% drinking water coverage which effectively indicates that the goals and commitments assumed by the Government of Bolivia are close to being achieved for the 2015 and the 2025 Agendas. What is still pending as a challenge in the report is of basic sanitation coverage that has made smaller progress, only reaching 51 to 55%</td>
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<td><strong>MMAyA:</strong> The new policies of the Bolivian Government make available the use of SBS resources. Before, some sectors were not affected because they had available resources and a consultation is made if the evaluation analyzed this new hermeneutic with the SBS.</td>
<td><strong>A footnote is included in the sector 3 findings, the information given by the representative of the MMAyA on 82% progress made in drinking water coverage up to 2014 as additional information. Nevertheless, the evaluating team has no information to support this assertion.</strong></td>
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<td><strong>ITA (International Technical Assistance) of the program PAPS II:</strong> The SBS generates a series of obligations, direct (goods and services) and indirect (indicators). The private sector participates in an indirect way; suggestions are made in the evaluation about strategic alliances with the private sector so that it can participate in the areas of goods and services. For example, in the banana sector, this private exporter-actor is important because it is the channel through which the production of an ample social base is generated. This is only dictated from public policies, public and social entities, and not from the private sector.</td>
<td><strong>About the SBS and a new future hermeneutic: this is an evaluation from the past, however the challenge of full usable funds is included in the report. About promoting a dialogue of policies at an inter-sector level (ministries in the same line of the MEFP) so this support is efficient and the modality continues to be convenient through the application of a principle of full usability. The supportive role in this dialogue will be important.</strong></td>
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<td><strong>Justice Network (NGO):</strong> about the conclusions that seem very positive in justice issues and the possibility that the EU has brought to visualize this subject. We expect in a near future that the participation challenges can be worked on with the participation of the CSO, in order to promote a broader participation</td>
<td><strong>The evaluating team will accept the comments, considered as positive</strong></td>
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- **Mancomunidad de los Lípez (Lípez Territorial Entity):** Within the conclusions, what is the role of communities in local development and future recommendations.  
Communities: about the role of communities, it has been observed that there are stakeholders in strategic territories coordinating with subnational levels and entities of the central government. There is a stakeholder that also provides technical services to the municipalities and channels investments towards local development. It is recommended to continue strengthening the dialogue so this stakeholder can effectively have an impact and contribute to public policies.

- **IDEA Internacional (International Institute for Democracy and Electoral Assistance):** The Ministry of Mining, Cesar Navarro, stressed the role of Departmental governments; without these, the commitments of the 2025 Agenda would be unattainable. The Departments are part of the deployment of a new Bolivian institution that lacks a strategic vision, constructed from the participative processes and budgetary sub-execution as a constant. The brief includes recommendation on this matter, in relation to the FI and DC. How can we make this crosscutting? How can we translate these aspects to subnational levels (departments especially)?  
- **About the strengthening of departmental governments:** during the recommendations, the strengthening of public and municipal finances was addressed. The FI at these levels was also addressed in the section on strategies by sectors where a sub-national level in technical subjects was highlighted as the principal executor of public policy.

- **ITA (International Technical Assistance) PACS BIO Program:** The document does not reflect the contribution of preservation and natural resource policies. It seems as an evaluation mainly of structures destined for water and sanitation that has a tangential relation to natural resources. The contribution of SERNAP should be included, as should be the management of natural resources in a broader sense. It is mainly reduced to the contribution to new job posts for staff through funds of the TGN (National Treasury). The substantial portion of the EU’s contribution over the last years has been represented by the consolidation of the SNAP, and the participation of the subnational entities in this management administration is important. A suggestion is made to differentiate the structural part from the sustainable management of resources.  
Natural resource management: Effectively there is a bias in water and sanitation in light of the recommendations of the midterm evaluation to the EU. Based on which a budget for this sector is included. The brief presents these results, but also includes the benefits that prioritize as principal results, those EU’s cooperation. As an example, we can quote the national basin plan, BS contributions and the construction of an integral plan that seeks to institutionalize the integrated focus that puts together all sub sectors and the MMAyA. In the annexes, further information and results of the different sub-sectors of conservationism and biodiversity is detailed. The report has been summarized and allows for reflection on all to the achieved results.

- **However,** it has been included in the findings of sector 3, and also commented on by ITA, which signals the strengthening of policies towards the management of a national water system, as well as institutional strengthening. It is also mentioned that they are in the design and preparation phases of the digital observatory from the BS and the Capacitating Program for the Protection Body. As it is in an initial phase, no more details can be given about results. Furthermore, in the conclusions paragraph of sector 3, the strengthening of the National System of Protected Areas is mentioned.
UNDOC: The importance of the strengthening of CONALTID should be further highlighted in the report. The cooperation of the EU has been very assertive. Adding for example inter-institutional coordination, which is one of the largest obstacles in the fight against drug trafficking. In this matter, the strengthening of CONALTID is very relevant.

CONALTID: The report shows a superficial vision related to the new model of the fight against drugs. This point of view needs to be explained and deepened and a review of the applied process needs to be done. The important support of the municipal – sub national governments has to be highlighted.

Vice-Ministry of Social Defense and Controlled Substances: the document should have been shown at sub-national and NGO instances to have a critical look and become a constructive strategy of the EU. The support of the EU was necessary and efficient, but in relation to what is indicated in this report, about competences that are not well established in the Vice-Ministry of Social Defense and the Vice-Ministry of Coca that do not share the acknowledgement. This is because there have been established agreements on this matter and it is important that the organizations read and familiarize themselves with this report, ensuring its quality because it will be distributed at a national and international level.

About institutional competences for the fight against narcotics and the coca leaf: the deepening of a new model and context in the country regarding the drugs sector that is included in a specific part in the report and the model transition along with growing funding of the EU. Highlighting that it’s not an evaluation of national policies but of EU’s cooperation and this is why it is mentioned that this national process is in construction and in transition. Therefore there are various elements that need to be specified according to the opinion of the different entities that were consulted. A recommendation on that matter could be useful in the report.

In this area, there are aspects that need to be specified in the transition process.

About the FI’s drugs sector: the help towards a strategy in this regard is included in the report, as is an action plan against drug trafficking, within the framework of CONALTID’s support. These aspects are substantial to the FI and DC.

Closure of the event:

- Appreciation to all the participants was expressed by Juan Planas (EU) for taking part in the seminar and the consultation process that was carried out by the team of consultants.
- An invitation was made to send specifications and suggestions regarding the report to the evaluation team chief, to the provided email.
- It was specified that this is a global evaluation on the EU cooperation, based on terms of reference that emphasize the largest financial contributions. This is the reason why many details are not given on several subjects that have brought satisfaction to European Cooperation.
- This evaluation will be very useful for future strategies of the EU, once approved by the CUE in Brussels.