

DIALOGA Project

***“Alliance for the Transformation of Socio-
Environmental Conflicts”***

Cooperative Agreement N° AID-527-A-11-00004

FINAL REPORT

February 2011 to September 2013



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EXECUTIVE SUMMARY

The economic growth in Peru is one of the most significant in recent decades due to the expansion in investments nationwide, with the vital sectors being mining and hydrocarbons. However, this boom fails to generate conditions of satisfaction among the population, which can be seen in ongoing conflicts over the re-distribution of economic resources, the perceived progress in the conditions of development, the impact on the environment and unsatisfied basic needs. The Ombudsman's report of July 2013¹ reported 148 cases, of which 164 are in active state. In Apurímac, 23 cases of conflict are identified, 13 in Cajamarca and 14 in Arequipa.

This context of conflict shows serious conditions of social, political and economic instability that could become a threat to democracy, respect for human rights and the creation of conditions for sustainable development. During this period, the DIALOGA project was implemented from February 2011 to September 2013 by CARE Peru, Labor, ProDiálogo, Red Social and the SASE Institute, a partnership of five institutions committed to sustainable and inclusive development and the transformation of social conflict in Peru. The project is supported and funded by USAID with a total contribution of US\$ 1,197,180.00.

Overall Objective

The project's main objective is to contribute to improving the personal, relational and structural conditions needed to mitigate conflicts and sustain development in Peru. Support solutions and agreements in at least four cases of socio-environmental conflict concerning extractive industries in Peru. The purpose of the final report is to identify, measure and analyze the results obtained during the project, based on the criteria of effectiveness, efficiency and level of achievement.

Methodology of the Evaluation

The methodology required a participatory exercise by the internal project team. Despite being an internal view, it maintained a critical character in the process of identifying and analyzing results, lessons learned, successes and failures. The evaluation consisted of:

- Review of the documentation (work reports and sources of verification).
- Interviews with stakeholders.
- Gathering of testimonies from the target population, using the Most Significant Change (MSC) technique.
- Survey design, elaboration and analysis.
- Field visits to the regions to verify the impact of the activities.
- Monitoring cases of conflict from the Conflict Monitoring methodology proposed by ProDiálogo.

¹ <http://www.defensoria.gob.pe/modules/Downloads/conflictos/2013/Reporte-Mensual-de-Conflictos-Sociales-N-113---Julio-2013.pdf>

- Documentation and processing of the timelines of the cases of conflict addressed, recognizing contextual factors and project milestones and actions.
- Learning meetings.
- Analysis of information at the team and collective levels.

Major Findings of the Evaluation

The project was strengthened by the Conflict Transformation approach, making contributions from different perspectives to strengthen dialogue and create conditions for dialogue and linkages.

Criteria of Effectiveness

The Dialoga project has achieved its objectives, in general, in a satisfactory manner.

Objective 1. One national and three local dialogue platforms on mining issues legitimized. On addressing conflict: It was initially proposed to address four conflicts, and five cases were addressed: Apurímac Ferrum and the Colcabamba community, Suyamarca (Apurímac), Conga (Cajamarca), Cerro Verde (Arequipa) and miners' federations from Arequipa and Chaparra. The legitimacy of dialogue platforms is according to the indicators of addressing conflict and operation. The intervention processes are classified as satisfactory. It is noteworthy that the approach, as in the Conga case, was accompanied by conditions, not exclusively from a single dialogue platform.

Likewise, there are 4 platforms are in operation: the National Dialogue Group on Mining and Sustainable Development, the South Dialogue Group (Arequipa), the Environmental Assembly and the Mining Technical Group, as well as the group in Apurímac. Some platforms are consolidated, such as the GDMD, which contributes to improving the quality of dialogue and the relations among actors in the meetings, while others, such as the South Dialogue Group (Arequipa) and the Technical Group of Apurímac, are in the process of consolidation and finally, the Aymaraes Environmental Assembly has resumed operations.

Objective 2. Preliminary dialogue platform on oil, gas and the Amazon region (with emphasis in Cusco) validated. Dialogue processes between communities and businesses were identified, and it contributed to improving the quality of the existing dialogue. Thus the result was considered to be marginally satisfactory, as the platform was not constituted.

Objective 3: Numerous stakeholders acquire social learning skills and abilities in conflict mitigation and transformation. It considers the level of achievement to be highly satisfactory, as 365 leaders were trained who studied in the training program, of which 104 leaders studied during at least 32 hours of instruction (79 remained throughout the training program). Before the project, 30% of leaders considered dialogue neither good nor bad, 33% moderately positive, and 30% very positive. Now, 76% recognize dialogue as a very positive. In addition, 54 testimonies of most significant change were collected from leaders who recognize the transformation

process, change in attitudes from polarization to dialogue, personal and social balance, the professionalization of the leader and the strengthening of relations with other actors.

Objective 4: Consensus-based practices that bring together multiple stakeholders for management of water and land resources. The level of achievement in this level is considered moderately satisfactory, as five monitoring committees were strengthened, one more than proposed in the goal. Furthermore, the project contributed to capacity building and transparent relationships between the company and the community, generating reflection and dialogue on the experiences.

In conclusion, the level of achievement of the overall objective is *satisfactory* because it contributed to the mitigation of the five conflicts at different levels, playing different roles, although its transformation was not achieved.

Efficiency criterion

The project has shown to be efficient in the costs allocated to the technical team; all expenditures incurred corresponded to a plan justifying the use of funds. The work also evidenced the articulation of different actors strengthening investments. However, a limiting factor was not having sufficient human resources to develop the initially planned process, and not recognizing the dispersion of the population in Apurímac or the high costs of labor in the jungle region of Cusco.

Achievements:

- The project contributed to the Dialogue Group on Mining and Sustainable Development by providing a qualitative leap to achieve greater coordination with the regions (become decentralized), which has been an aspiration of its members for years. It also provides an important qualitative leap: its internationalization. Several institutions from countries in the region (Colombia, Argentina, Ecuador and Brazil) have initiatives to form dialogue spaces on mining, looking to this space as an example.
- In Arequipa, it helped to change the way of looking at conflict, from the perspective of conflict in relation to a case of development.
- Regarding Conga, the project contributed to the *de-escalation* of the conflict by performing the role of a third party in Cajamarca and promoting the dialogue campaign in the national communications media. The role of third party permitted, at times when there was no communication between the national and regional governments, to build bridges for the intermediation of the UNDP and Father Garatea as a facilitator of dialogue, and then, in the relationship between the facilitators and the regional government. The project's dialogue campaign added to other efforts to encourage national and regional authorities to persist in the dialogue at moments when the resurgence of violence was imminent.
- In Apurímac, the project developed a model of regional inter-institutional intervention and helped strengthen the Aymaraes Environmental Assembly in conflict prevention, mainly in two conflict located in two watersheds of the province

(Los Chancas project in the Antabamba sub-basin and Tumiri environmental liability located in the concession of the Suyamarca company).

Finally, the evidence that was identified and analyzed enabled the determination, based on empirical analysis, of the various civil society actors that can play roles in conflict mitigation. In the 5 conflicts identified, the project performed various roles at each level of the conflict - emergence, latency, crises and de-escalation. The conclusions, achievements and lessons raised give inputs to achieving synergies between the specialized areas of the state that address conflicts and civil society or NGOs, permitting the effective contribution to conflict mitigation and adding to the short, medium and long term views toward their transformation.

INTRODUCTION

This document contains the assessment of the Dialoga project, implemented between February 2011 and September 2013 by CARE Peru, the Asociación Civil Labor, ProDiálogo, Red Social and the SASE Institute, with funding from USAID. The project was developed in the regions of Arequipa, Apurímac and Cajamarca.

This document has two purposes: to present information on the results achieved and to evaluate the activities undertaken by the project. The evaluation is conducted with a mixed (qualitative and quantitative) analysis, generated from primary and secondary information, monitoring of the cases addressed and a stratified survey of the target population.

The first part of the report contains a brief summary of the context, especially the set of national and regional events that arose. Followed by an analysis and interpretation of the theoretical framework adopted for conflict transformation. The third part presents the assessment from the criteria of effectiveness and efficiency for each of the four project objectives, which are:

- *OBJECTIVE 1. One national and three local dialogue platforms on mining issues legitimized.*
- *OBJECTIVE 2. Preliminary dialogue platform on oil, gas and the Amazon region (with emphasis in Cusco) validated.*
- *OBJECTIVE 3: Numerous stakeholders acquire social learning skills and abilities in conflict mitigation and transformation.*
- *OBJECTIVE 4: Consensus-based practices that bring together multiple stakeholders for management of water and land resources.*

They consider the implementation of the strategy for each target oriented to conflict transformation. Finally, we present the achievements and the analysis of the main conclusions and recommendations of the work undertaken.

We hope that the assessment contributes to a further understanding of the role of civil society in conflict transformation, and the results help clarify the guidelines for future projects and/or programs of international cooperation agencies and non-governmental organizations, as well as improve the relationship between state and civil society in the work of transforming and mitigating conflicts related to mining.

There is no doubt that the development of this assessment is an opportunity to reflect and analyze the successes and failures, and to evaluate lessons learned.

I. Context

NATIONAL CONTEXT

During Dialoga project implementation - February 2011 to September 2013 - significant progress has been made at the national level, but further efforts are still needed to establish sufficient institutional foundations that address comprehensively and inter-institutionally, the resolution, management and transformation of conflicts that, for the most part, are social-environmental in character, and a product of mining.

It is worth mentioning that the election of Ollanta Humala Tasso as President of the Republic brought expectations by the population to implement the Great Transformation Plan and "Economic, social, ethnic, geographic, and cultural inclusion of all Peruvians," the main messages of his election campaign, as well as the relationship with private investment and attention to social conflicts.

The first measures taken during the first months in office were normative, with the enactment of the Prior Consultation Law (Law No. 28785), an initiative promoted by the International Labor Organization (ILO). Despite legal attempts to recognize the decision by the native communities, this process is creating uncertainty with respect to the regulatory process and implementation. To date, the database communities that can exercise this right is being developed.

In late September 2011, the President signed the three tax laws to make possible the contribution agreed upon with the mining companies. The first amends the Law on Royalties and the second establishes the legal framework of the Special levy on Mining, while the third creates the Special Tax Mining.

During the project's implementation, several conflicts erupted, such as what happened in Chumbivilcas in Cusco with respect to the Anabi project, the dispute related to artisanal mining in Madre de Dios, conflict in the city of La Oroya (Junin) between the State and the company Doe Run Perú, the conflict in Tacna due to rejection of the Public Hearing on the Environmental Impact Study for the Extension of the Toquepala concentrator and the regrowth of the Quebrada Honda collection of tailings of Southern Peru. The most iconic case of building dialog conditions developed in Moquegua-Quellaveco, recognized as a model of working among business, community, government and civil society. This case was discussed by the roundtable convened by the regional president, where agreements were made for the modification of the Environmental Impact Study, the construction of water reservoirs and the generation of development projects.

One of the most emblematic conflicts due to the national media exposure and the high level of violence was the conflict over the approval of the Conga mining project, unleashed in June 2011 and still dormant, in which international experts were summoned. The discontent generated in public opinion by the approach to the conflicts

brought about various measures from the Executive Branch, such as the creation of the National Office of Dialogue and Sustainability of the Presidency of the Council of Ministers, made part of the government's Roadmap, and the reformulation of mining as new mining with social and environmental responsibility.

With respect to the issue of the gas of Camisea, the most outstanding was the agreement reached by the Peruvian government and the Camisea consortium for the return of Block 88 reserves for domestic use.

With respect to artisanal mining, legislative decrees 1100, 1001, and 1002 were emitted on the prohibition of informal mining and the modification of the criminal code incorporating informal mining as a new offense. The response of the informal mining associations was strikes and roadblocks. Later, a timeframe was set to formalize this sector, however, the institutional capacity displaced nationwide was insufficient to cover the huge number of cases of conflict.

APURÍMAC REGIÓN

During the last 3 years, the number of conflicts in the region increased, so much so, that it was recognized as the second most conflictive region for having recorded a large number of conflicts that persist today. As of August 2013, 19 socio-environmental conflicts were recorded, of which 18 are active and 1 dormant. Among the most important situations were the case of the population's fear of contamination and demanding information from the Southern Peru Copper Corporation. Another case was about mineral exploration activities being carried out in the community of Tiaparo and Tapayrihua.

The disproportionate increase in informal and illegal mining and the constant protests of artisanal miners unleashed acts of violence and shutdowns of interprovincial transportation routes, and also created conflicts with other regional sectors. In late 2011, it generated one of the most emblematic conflicts, which occurred in Andahuaylas, out of the discontent of the communities and the irrigation committees, represented by Andahuaylas Irrigation Board (JUDRA), due to the presence and impact of informal mining.

One of the conflicts addressed was that generated between the district of Colcabamba and the company Apurimac Ferrum (iron project). Following an initial exploration stage, the company sought a license from the communities of Colcabamba in Aymaraes to perform a surface search in all its concessions to establish priorities for their intervention. During the negotiation, the actors did not reach an agreement that was satisfactory to the parties, thus delaying the development of the project.

Another significant event that occurred in the region was the spill of mining tailings that occurred in the Suyamarca mining operation located in the community Iscahuaca on June 22. A series of inspection visits by the Aymaraes Provincial Government and other entities including the Office of the Prosecutor, ALA, DESA and DIRESA. The Ombudsman asked the OEFA for a specific report on administrative procedures for

sanctioning, informing that there are two administrative procedures that culminated in the imposition of a fine.

On July 16 of this year, the Development Board of the districts of Tapayrihua and Pocohuanca (area of the Los Chancas mining project) was installed, in which the community of Tiaparo, the main actor in this problem, did not participate. It was agreed to have a second meeting on August 16 in the district of Pocohuanca to continue with the process of the Board. The meeting was held on the agreed date with the presence of government authorities, but unfortunately it turned into acts of violence with a toll of several injuries and arrests. Thus, the continuity of the Board is under evaluation.

SOUTHERN REGIÓN AND AREQUIPA

The approval process of the Environmental Impact Study of the expansion of the Sociedad Minera Cerro Verde took place during this period, when the public hearings were held in which the company pledged to hold workshops to respond to the observations. At the level of social organizations involved in this process, members of the Arequipa Leaders Network assumed a position in favor of the implementation of the mining project with social and environmental responsibility. During the process, negotiations were achieved that were favorable to the community of Arequipa, such as the construction of potable water plant and a wastewater treatment plant. However, these leaders that lean toward dialogue have a core of leaders opposed to mining as opponents, who failed to make an alternative proposal.

During this period, the La Tomilla II potable water plant became operational, as a result of the negotiation with Cerro Verde, thus showing that it can meet the basic needs of the population. Arequipa will thus be the first city in Peru to have a guaranteed supply of potable water. In addition, presented the EIA of the La Enlozada Wastewater Treatment Plant was presented. At a cost of over 900 million soles, it can treat 2.8 cu. m per second, with the goal of ensuring the decontamination of the Chili River and improving the health of the population of Arequipa.

In recent weeks, the transfers of mining royalties to the regional and local governments were made public. They were lower by about 43%, a situation that caused concern in the population. Weeks earlier, Arequipa community leaders denounced the central government for voluntarily re-centralizing the contributions of mining, and they submitted a proposal for change, so that 70% of the amount collected remain within the region and 30% be redistributed to the regions without mining activities. Community leaders went on strike and conducted 2 mass demonstrations, where they received support from local authorities. Having received no response from the central government, a regional strike is being prepared as a step prior to a national strike.

In the south, as well, dialogue and negotiation assemblies have been set up to address cases of the company Southern Peru (SPCC), in Tacna as well as in Moquegua. While these negotiation spaces have been established, the results are not as expected. Due to the negative past of the company, the population moved all the demands and

historical claims to this dialogue space. However, there is some progress, such as the proposed support funds for strengthening the water resource management system.

Finally, there is progress in the formalization of artisanal mining. One of the main obstacles is the provision of the legal framework requiring informal miners to reach an agreement with the holders of concessions where they are located. This norm meant that more than 20,000 requests for formalization were unable to follow its procedures because of the difficulty to get, locate and recognize the concession holders. Moreover, an important aspect of the process of formalization is the interest of informal miners to become formalized. The most significant case is in the district of Mollehuaca, where the miners were signed up for the formalization process and began associativity conditions for the formalization process.

CAJAMARCA

A few months after the beginning of the Dialoga project, a conflict began concerning the Conga project, which triggered levels of violence and a context of polarization, not only in the region but in the entire country, even causing confrontation between two levels of government, the regional and national.

After several attempts at dialogue, which included an international expert visit to the project, the closest was to accept the participation of facilitators of dialogue between the central and regional governments, and the district authorities and leaders opposed to the Conga project in Cajamarca. The Archbishop of Trujillo Monsignor Miguel Cabrejos Vidarte and father Garatea Gaston, who were invited by national and regional government, respectively, were appointed as facilitators of the dialogue between the regional and national governments. After several attempts, which concluded with a meeting of the parties, the dialogue between the actors involved did not take place, but they persisted in the effort to bring the parties together and avoid further violence.

Despite announcing the cessation of the projects by the Yanacocha company, a sector of the population continues on the alert and has even conducted vigils at the project area lakes. There is no official version of cessation or continuity of the project, just ads by the parties in various media outlets.

As a result of the conflicts in the region, there is economic recession affecting mainly the sectors of small and medium business, especially in tourism and services. This has caused the closing of many businesses and the reduction in the demand for services. Unemployment is also high for professionals working directly or indirectly in mining.

II. THE DIALOGA PROJECT AND THE CONFLICT TRANSFORMATION APPROACH

Given the challenge of working a culture of dialogue in a highly contentious national context, the DIALOGA project worked from multiple approaches that complemented each other, and that are key foundations of the institutions that make up the collective. These approaches provided the direction of the actions taken by the project. In general terms, we work from the following approaches:

Conflict Transformation and Building Peace

The main proposal of this approach is to think of conflicts as a natural process that is part of man's relationship to contexts of change, which is generated in a variety of perceptions, interests and goals, having a chance factor. Conflict does not equal violence.

The process of conflict transformation affects the building of peace, understood as the pursuit of a positive peace, "Positive peace does not involve renouncing the present disagreements; it involves finding a new commitment in the method in which we resolve these conflicts, while applying a high sense of justice."²

The meeting between two cultural systems, usually abruptly, in the same territory, produces tense situations that lead to conflict because each culture has distinctly different value systems. These conflicts, according to different approaches, possibilities and needs, can manage, resolve or transform. According to the teachings of Lederach, the most healthy response to conflict is its transformation, of a "destructive" process to one that is "constructive,"³ which implies a learning process with a creative search for solutions and relational improvements, to which that author says *"conflict transformation means preventing the ebb and flow of social conflicts and responding to life-giving opportunities to create processes towards constructive change that reduce violence, make justice grow in direct interactions and social structures and respond to the real problems of human relations."*⁴

The DIALOGA project values Lederach's contribution in transforming the dimension at the personal, relational, structural and cultural level, building the following view of conflict:

² Johan Galtung, Norwegian sociologist recognized as one of the leading researchers on peace and conflict, states in his work that there are two kinds of peace: a "negative peace" that corresponds to the removal or absence of manifestations of violence, and a "peace positive" that is characterized by relationships of collaboration and joint building of an environment of lasting peace. See the link: <http://yopolitico.blogspot.com/2008/10/la-paz-positiva-y-paz-negativa.html>.

³ Lederach, John Paul, *La Imagenación Moral*, page 82.

⁴ <http://www.acuerdojusto.com/Descargas/Libro%20Lederach.pdf>

PERSONAL	RELATIONS	SOCIAL STRUCTURES	CULTURAL DIMENSION
-Capacity to deal with conflict; to transform the aggressive, competitive, violent reaction to a constructive view. -Involves the cognitive, emotional, perceptual and spiritual dimension. - Capacity to minimize the negative and destructive aspects of the conflict and maximize the potential for growth, on a physical, emotional and spiritual scale.	-Dialogue and cooperation - Patterns of communication and interaction are affected by conflict (how they perceive things, what they want, what they want to achieve and how they structure interpersonal, intergroup and intragroup relations.	-Reduce violence and increase social justice. -Emphasize the underlying causes of conflict and behavioral patterns and changes in social, political and economic structures. -Understand and tackle the root causes and the social conditions that lead to the emergence of violent and harmful expressions to the conflict. -Work to provide the country with democratic institutions.	Changes to the more general pattern of group life, including the identity and the ways in which it culturally affects the response patterns and conflict. -Identify and understand the cultural patterns that contribute to the emergence of violent expressions of conflict. -Consolidation of a culture of dialogue among actors so they can promote agendas of concerted governance, with a vision of sustainable development.

Source: Based on Lederach, Paul

Theory of Change

Also called "Route of Change" and "Logical Model". Through observation and detailed and comprehensive analysis of a reality, subject or object, it seeks to modify it, through contemplation of primary, secondary and tertiary results etc. to jointly permit achieving long-term change.⁵

Thus within the project, the change to follow, or applying the methodology of the change approach, the "vision of success"⁶ would be the positive transformation of socio-environmental conflicts related to extractive industries, a change with the precondition⁷ of the legitimization of a culture of dialogue and capacity building to foster the creation of a climate of trust among local and national actors. This objective has, in turn, a precondition that would be the meeting of actors "distant and different" as Jose Luis Lopez said in the interview for the exercise of systematization of the DIALOGA project,⁸ along with the strategy of creating impact in different dimensions, such as personnel, relational, structural and cultural.

Dialogue

Dialogue is the heart that gives life and impetus to the actions taken by the project. However, it is necessary to emphasize that this is a dialogue under the approach of conflict transformation, with multi-actor qualities, that is, involving people from different backgrounds and interests, in this case around the extractive industry in Peru. The dialogue is genuine, i.e., the parties become involved with interest, sincerity, with empathy, with a clear objective, with an attitude of dialogue. The participants attend the

⁵ Taken from the systematization of the project, p. 3-5

⁶ Ibid, p. 5 http://www.rootchange.org/about_us/resources/publications/DemistificandolaTeoriadeCambio.pdf

⁷ Situation, a key result for achieving the desired objective or "vision of success." Ibid, p. 5.

⁸ Interview of José Luis López Follegatti, July 18, 2013 at CARE-Peru.

dialogue meetings more as individuals (*people to people approach*) rather than representatives of an institution.⁹

Returning then to the idea of dialogue as an engine that gives life to processes of social transformation in terms of new attitudes and responses to the obstacles, new realities and paradigms that some are just beginning to explore, the complexity of the scenario in which dialogue develops does not deserve improvisations or false expectations, just an offering of an honest encounter looking to the past only to regain what they have learned, to the present to build and to the future as a goal that will bring wisdom to all who practice with awareness and good intentions.

Multicultural Approach

Thinking about the multi-actor context of the DIALOGA Project, another quality of dialogue is the multicultural aspect that deals with meeting scenarios of different actors that have different visions of their relationship with the mining industry: farming communities, mining companies, regional governments, authorities from population centers, civil society associations and the national government. It is necessary to consider how multiculturalism¹⁰ is lived within the reality in the extractive industry. This multiculturalism is experienced differently, depending on how the systems of local and regional governments and other actors such as the company, rural communities and other stakeholders operate. It can be a more or less equal, symmetrical or asymmetrical relationship, depending on the social and relational context in which the projects develop.

The multicultural challenge of the DIALOGA project, then, involves finding common narratives that include, articulate and harmonize worldviews (beliefs and values) and feelings about the cosmos of the multiple actors and sectors in the construction of a new paradigm in which all can vision themselves included in the diversity and plurality, but integrated.

The multicultural approach in the DIALOGA project relies on the qualities of inclusion and multi-actor of transformative dialogue and also the people-to-people methodology to seek to remove the asymmetries that exist in the meeting of different cultures to deactivate the invisibility of socio-cultural aspects, and that they have a space to be known and recognized by others. Social asymmetry and cultural discrimination make authentic intercultural dialogue unfeasible. This approach admits and respects differences and develops empathy for the other, taking time to know him. This is not

⁹ For more details on this approach, see Annex 2: "Principles of transformative dialogue" in Section VII and page 12 of this section "People to People Approach"

¹⁰ Multiculturalism is the interaction among cultures, the process of communication among different groups of people, with different customs, with "horizontalidad" being the fundamental characteristic, meaning that no cultural group is above the other, promoting equality, integration and peaceful coexistence among them. While multiculturalism is based on respect for diversity, integration and equal growth of the cultures, it is not free of generating potential conflicts, due both to the adaptation and to the process itself of learning to respect, but with the difference that these conflicts will be resolved through dialogue and mutual listening, always emphasizing the horizontalidad of the process.

improvised dialogue. Male and female leaders who are authorities in their towns come to the dialogue spaces created by DIALOGA and have support from their communities.

Leadership with Social Responsibility

Leadership is understood as "the cohesive energy of the systems. [Leadership] approaches, convenes, incorporates."¹¹ In this quote, Baltazar Caravedo indicates that leadership is understood as the ability of the leader to bring a system together in order to provide continuity, which to continue to exist, must go through periods of adaptation, a process that must be managed by the leader.

The fact that DIALOGA rests on the concept of socially responsible leaders is the result of the consistency in putting together the Project approach. The concept was assumed, in the first place, by the Association LABOR during the nineties, which took it from its working relationship with SASE and then moved to GDMDS as a key element to constructively transform the relationship between community leaders and the mining companies. The transformation of people and environments is not something mechanical that happens only rationally; emotional elements intervene in this process that must be taken into account to arrive to a new meaning.

According to Baltazar Caravedo, Executive Director of SASE civic association, "social transformation is the change in the direction of our own individual existence; it has to do with the expansion of consciousness." The Capacity Building component of DIALOGA seeks this transformation with this social responsibility approach:

The social leader formed under the transformative approach will use tools such as genuine dialogue in his daily work and will be an agent that promotes peace and transmits new values so that those in his environment have more constructive possibilities to interpret the realities found in places that are somewhat conflictive. Thus, one may choose to react constructively to the fear caused by coexistence with difference and with processes in which a different cultural approach infringes upon an already known and valued order.¹²

On the other hand, in its corporate vision, the company must not only comply with the principles of corporate social responsibility (CSR), but play a socially responsible role in the new environment where it goes. This means knowing the other person, and providing opportunity to the stakeholders¹³ to know it in a transparent, timely and friendly manner. In short, it is the view from responsibility that is worked from Individual Social Responsibility.

¹¹ Words of Baltazar Caravedo- President of the SASE Institute, in his online article: "El liderazgo sostenible: El Reto que Enfrentamos" <http://www.sase.com.pe/novedades/general/liderazgo-sostenible-el-reto-que-enfrentamos/>

¹² Baltazar Caravedo.

¹³ The evolution of the concept of stakeholders in the writing of Ed Freeman: "In sum, the stakeholders are those groups and individuals with which the organization has a relationship of mutual dependency."

“People to People” Approach

This "person to person" approach consists of concentrating on approaching, participating and eventually transforming the people linked to a space and a process as individuals and not as representatives of institutions. However, one can see that people bring their thoughts to their companies or organizations, and changes in business practices may arise from there. In the case of the GDMDS, there is independence to give one's opinion, which promotes the flow of knowledge among actors and, especially, the direct exchange of ideas. Representatives of communities, NGOs and the government have also gradually begun to appreciate this space, in which one can hear and express opinions in a free but organized environment.

The methodology, which applies the people to people approach, has enabled the participants to overcome moments of discord and polarization, permitting GDMDS to meet once again its goal of communication. This approach used in the DIALOGA project facilitates relationships and creates favorable climates to increase the links among the leaders.

Gender Integration

The gender approach has been a cross-cutting issue in all its components. The participation of many women and men has been equitable in training, in the formation of regional networks and in various venues and events in which DIALOGA has been linked directly or indirectly. They have had to incorporate strategies to promote greater participation of women, both in Participatory Environmental Monitoring Committees, where the composition of members was almost numerically equal for men and women, and in promoting the women in artisanal mining in Chaparra, with the support of the Arequipa SOCIAL NETWORK, considering specific activities within their components to address gender issues.

The project was complemented by another micro-project of Canadian cooperation that sought to strengthen the role of women and young people in the National Network of Community Leaders. An agenda was built in the concept of *New Mining* that included young people and women, and a committee has been formed within the network of women and young people to support that agenda.

It has also encouraged the participation of representatives of the Cajamarca Women's campesino groups, which today are part of Cajamarca Leaders Network and part of the environmental monitoring committees in Hualgayoc, La Encañada and Michiquillay. Women leaders participate in the DIALOGA project who are nationally recognized for their work in their regions as agents of constructive change for seeking different agencies to improve their communities.

III. ASSESSMENT OF THE PROJECT IMPLEMENTATION

This part of the report shows the result of the evaluation of the activities carried out in the project, as outlined in the agreement (Program Reporting / Cooperative Agreement No. AID-527-A-11-00004) regarding the evaluation and analysis of the effectiveness and efficiency of the project.

The criterion of effectiveness in the project permits the determination of the level of achievement of the overall objective and intermediate objectives, in this case, of the project results and goals. The efficiency of the project permits the determination of whether project resources were adequate and sufficient, or not, to achieve the project objective.

3.1. Analysis of the effectiveness of the project activities

As noted, this section will analyze the level of achievement at two levels. The first level corresponds to the results, indicators and goals of the project, and the second level with respect to the overall objective. The results of the analysis are classified according to the following criteria:

Highly Satisfactory	Exceptional level of performance
Satisfactory	Performance level better than expected
Moderately Satisfactory	Standard level, the errors are not threatening, but cause difficulties.
Marginally Satisfactory	Performance level lower than expected
Unsatisfactory	Level of performance does not meet any of the expectations

3.1.1. First level: Analysis of the results and the goals.

The analysis is performed on the results of the four intermediate project objectives, identified in the Performance Monitoring Plan (PMP).

Results	Indicators	Goals
Result 1. Strengthening and expansion of the multi-stakeholder dialogue platforms at the national and local levels	Cases of conflict are channeled through three regional platforms and one national dialogue platform, which contribute to their mitigation.	4 cases of conflict
	One National Platform (GDMS) and 3 Regional Platforms in Cajamarca, Apurímac and Ayacucho are functioning.	4 platforms
Result 2. Strengthen and expand multi-stakeholder dialogue platforms at the national and local levels to help mitigate and	Platforms in Lima and Cusco on oil, gas and the Amazon region are functioning.	1 platform in Lima and 1 in Cusco
	A number of regional leaders recognize the regional platform (in Cusco) for the Camisea Gas, for its	50 leaders

transform conflicts associated with the mining and oil & gas industries	contribution to conflict mitigation.	
	Key stakeholders participate in a national platform (Lima) on oil, gas and the Amazon region.	50 leaders
Result 3: Promote changes in attitudes and relations among key actors in the mining, oil, and gas sectors so they assume the role of agents of change in situations of conflict.	Leaders from campesino and indigenous communities and social organizations use capacities learned as agents of change in spaces that contribute to the mitigation and transformation of conflicts in mining, gas and oil.	150 leaders
	Women and men in areas of mining, gas, and oil activity develop several capacities that are conducive to conflict transformation.	150 participants being trained
	Social, business and government leaders that participate in the GDMDS give testimony on the change in their attitudes and relations, which are conducive to positive transformation of conflicts.	60 leaders who provide testimony
Result 4: Multiple stakeholders promote new institutional agreements associated with environmental resource management in mining areas.	Three monitoring committees and a national network of monitoring committees are recognized by key actors to monitor, inform on, and disseminate periodic monitoring results.	4 committees and national network of monitoring committees.
	100 key stakeholders sign the National Agreement for Water and/or regional agreements associated with sustainable water management.	100 leaders sign water agreement

OBJECTIVE 1. One national and three local dialogue platforms on mining issues legitimized.

To demonstrate the legitimacy of the dialogue platforms, two indicators were proposed. On the one hand, that the platforms address cases of conflicts and, on the other hand, that they be in operation; that is, that the platforms have a frequency of meetings and involve multiple actors. In order to evaluate these indicators, we will detail how the platforms addressed the cases of conflict and the role of the project, the frequency of the meetings and the participation of representatives of the state, civil society and companies. Finally, according to the progress detailed, the level of achievement in each result will be determined.

With respect to the indicator: 4 cases of conflict channeled through 3 dialogue platforms, where contributions were made towards their mitigation; the project addressed 5 cases - one over the goal through dialogue platforms.¹⁴ The five cases of conflicts:

- 1) The community of Colcabamba and the Apurímac Ferrum company.
- 2) The organizations of Chalhuanca and the Suyamarca company.
- 3) Conga Project.

¹⁴ Dialogue platform or peace platform. There are various types of dialogue platforms. On the one hand, the structured dialogue spaces (such as the roundtables) and on the other hand, the dialogue platforms that are the set of male and female leaders of various sectors engaging in dialogue that constitute social networks within a system and represent a positive and conflict transforming energy. That is, the peace infrastructure, as ProDiálogo calls it.

- 4) The community organizations of Chalhuanca and the Cerro Verde extension.
- 5) Informal Mining.

Case 1: Apurímac Ferrum company and the community of Colcabamba

The project addressed the conflict between the mining project and the community through the Apurímac Technical Group on Mining and the Environment (GTMMA)¹⁵ inter-institutional platform, which had a preventive and inter-institutional approach.

The events took place between the population and the Apurímac Ferrum company that was initiating its exploration work in the rural community of Colcabamba, which had generated positions in favor and against the project. The opposition to the project was mainly represented by the district mayor. In March 2011, the mayor issued a statement requesting the support of the GTMMA to obtain information regarding the activity (in the exploration stage) over fears of potential environmental impacts.

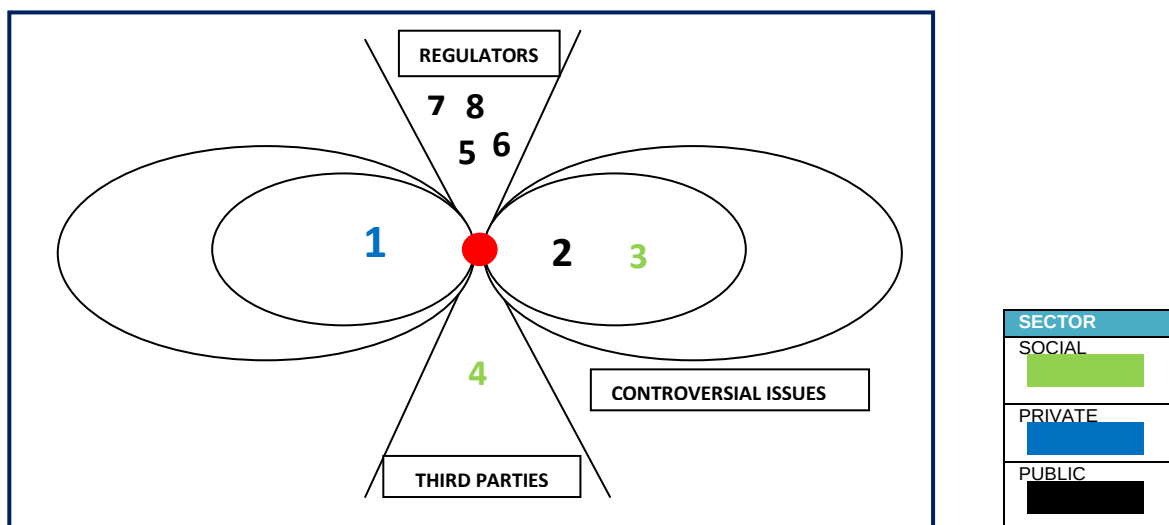
i) Location

Mining Project	Stage	River basin	District	Province	Department
Hierro Apurímac	Micro basin of the Llehua river	Exploration (Andahuaylas)	Colcabamba	Aymaraes	Apurímac:

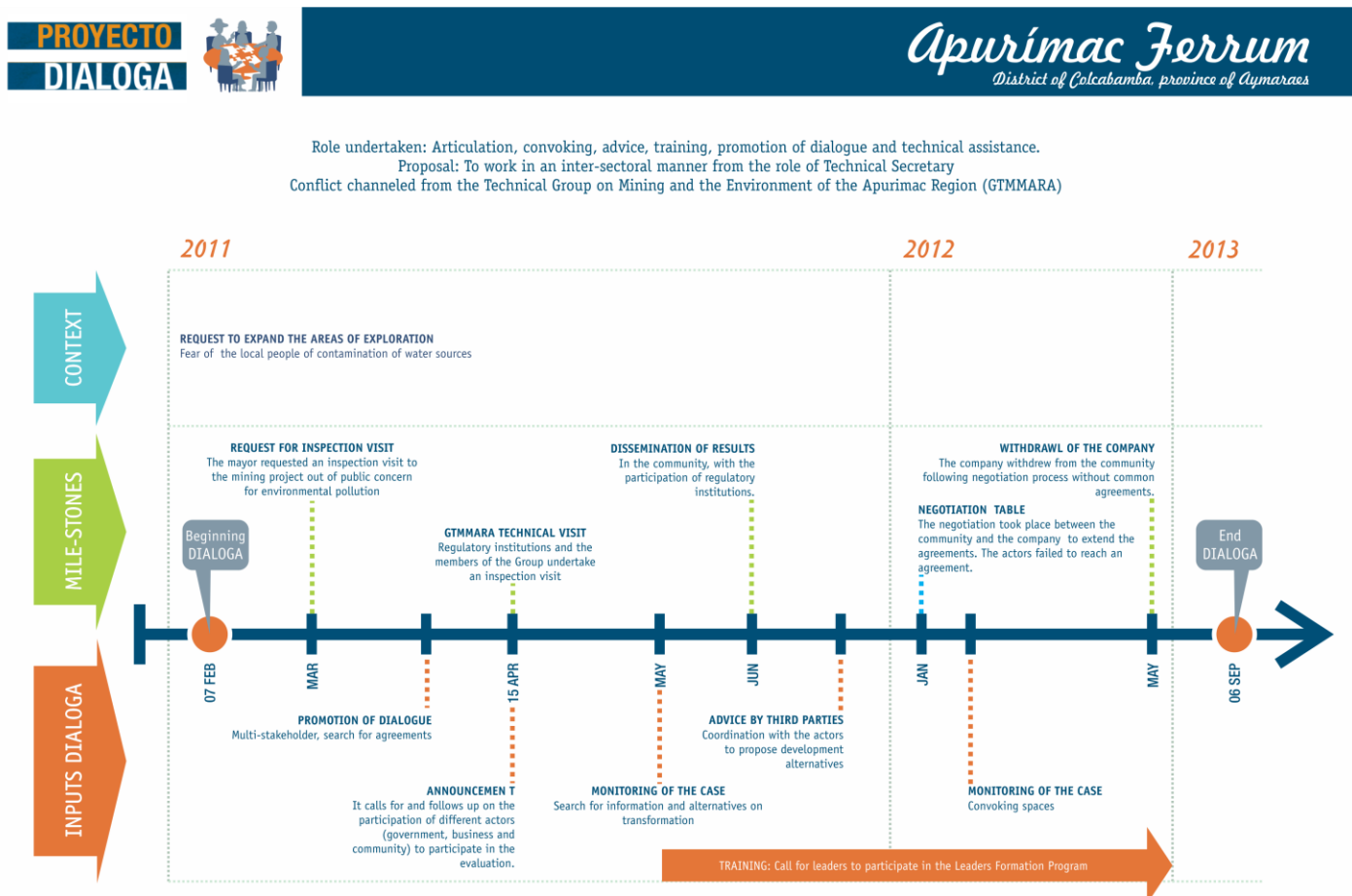
ii) Actors involved

PRIMARY ACTORS	SECONDARY ACTORS
1) Apurimac Ferrum 2) Mayor Julian Taipe, District Government of Colcabamba 3) Community of Colcabamba	
THIRD PARTIES	REGULATORS
4) Technical Group on Mining and the Environment of the Apurimac Region, a technical group member of the Regional Environmental Commission	5) Apurímac Regional Environmental Commission 6) Executive Directorate of Environmental Health 7) Public Prosecutor 8) Natural Resources Manager

¹⁵ The Technical Group on Mining and the Environment is one of the five technical groups that make up the Regional Environmental Commission of Apurímac. It is intended to propose political, normative, technical, financial and administrative solutions, as well as promote research processes aimed at suggesting alternative solutions to social and environmental problems or environmental management issues that involve or affect the Regional Government or more than one local government, as a result of mining activity (Article Two, Regional Ordinance N° 025-2007-CR-Apurímac)



iii) Timeline



iv) Strategy for addressing conflict

The strategy was to transfer the competencies and functions of the Technical Group on Mining and the Environment to the area of Colcabamba, which permitted the joint coordination of operations with representatives of the State and, above all, to act in a timely manner before the tension between the Apurímac Ferrum company and the population of Colcabamba escalated. In addition, this strategy of consensual visits was strengthened by the participation of the company as well as the accredited community representatives. Also, the assessment report resulting from the visit to the area by the members of the GTMMA was agreed upon and debated in advance in the Group, which contributed to avoiding ambiguities and contradictions between the sectors of the State, which is a very common occurrence and sometimes are regarding the very conflicts.

The project - that at that moment carried out the duties of the technical secretariat of the GTMMA - played a key role in providing technical assistance, process facilitation and articulation of the actors. In areas where the established institutions and processes have low levels of legitimacy and confidence, a way to channel the conflict is through roundtables with multiple State sectors.

The GTMMA convened regulatory instances at the national (OEFA) and regional levels (ALA, DESA, Public Prosecutor, Directorate of Energy and Mines, etc.) for a verification visit to the community and the facilities of the company, using the competencies that govern each entity. At the end of the process, a report with suggested actions to avoid possible conflicts was presented to the company, the community and the local authority. The complementarity of the functions of the instances allowed the villagers to have a complete vision and obtain information from official sources.

Similarly, contributions were made for technical assistance for the process. The assistance was complemented by the technical aspect and the contribution to create the conditions for dialogue, and recognition between actors and building relationships, enabling an environment of dialogue between the parties. A cross-sectional strategy was the recognition of leaders for capacity-building. This component is developed further in the capacities part.

v) Impact of the intervention

In the context of distrust of a sector of the community towards the company, the intervention of a third party such as the GTMMA avoided the escalation of the conflict and, possibly, acts of violence, riots, and social and economic disruptions. After the intervention, there were no situations of force and/or violence.

The intervention of different sectors, through the delivery of official information to the community, local authority and the company, decreased the fears that are, in many cases, the triggers of crises in conflicts. On the other hand, State intervention was strengthened, complying with intervention protocols for an improved relationships

approach in contexts of unrest. As in the case of the intervention of the OEFA, Resource Management, and Public Prosecutor, these actors fulfilled their roles, and their functions were centered on the supervision and evaluation of the environmental impact and the generation of conditions for dialogue.

It should be recognized that the objective of the intervention was not to have agreements signed between the parties, but to provide information and suggestions to avoid future conflicts and to generate a process of rapprochement between conflicting actors.

However, the company decided to withdraw the following year because of the failure to reach an economic agreement with the community and the difficulty in furthering their other concessions, mainly in Andahuaylas. Today the community has learned from this process, the division between the communal and municipal authority has diminished, and beyond the fact that the project will not continue, the authorities and population of Colcabamba have come close to a vision of territory and development and investment priorities.

Case 2: Suyamarca company and the Chalhuanca community organizations

The conflict developed for the rejection by the community of Iscahuaca of the presence of Minera Suyamarca SAC (formerly Compañía Minera Ares SAC of the Hochschild Mining Group) for breach of agreements, alleged contamination of water and soil, improper use of a tailings pond, unauthorized use of community quarries, and promoting division within the community.

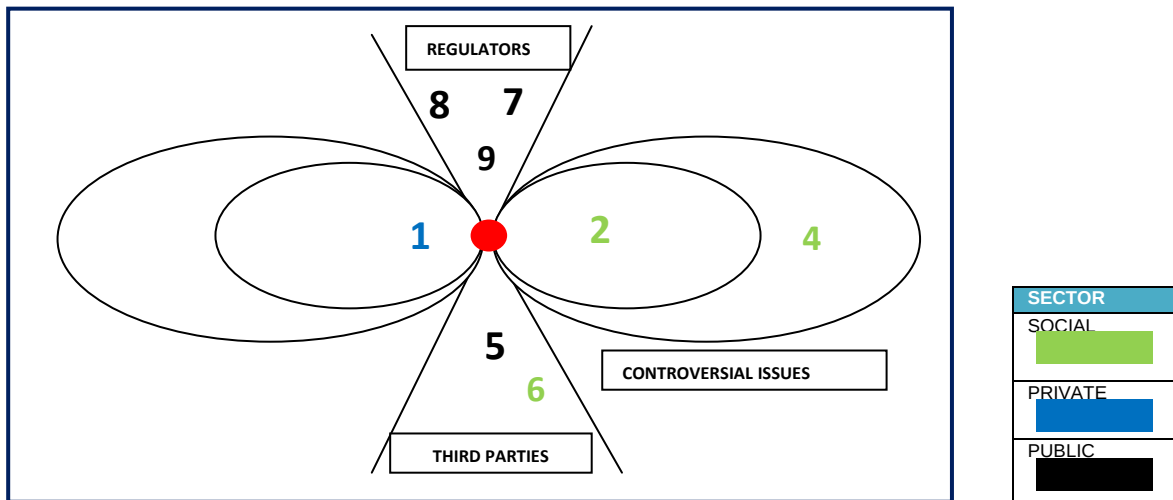
The project contributed in this case to improving the relationship between the company and the community, generating a gradual process of rapprochement that contributed to the establishment of a roundtable, in which both actors worked with a shared development agenda. This sustained relationship demonstrated that in the event of an environmental incident such as a mineral leakage, it is practical to use a dialogue mechanism. Formerly, the immediate reaction was to take over the highway or the premises.

i) Location

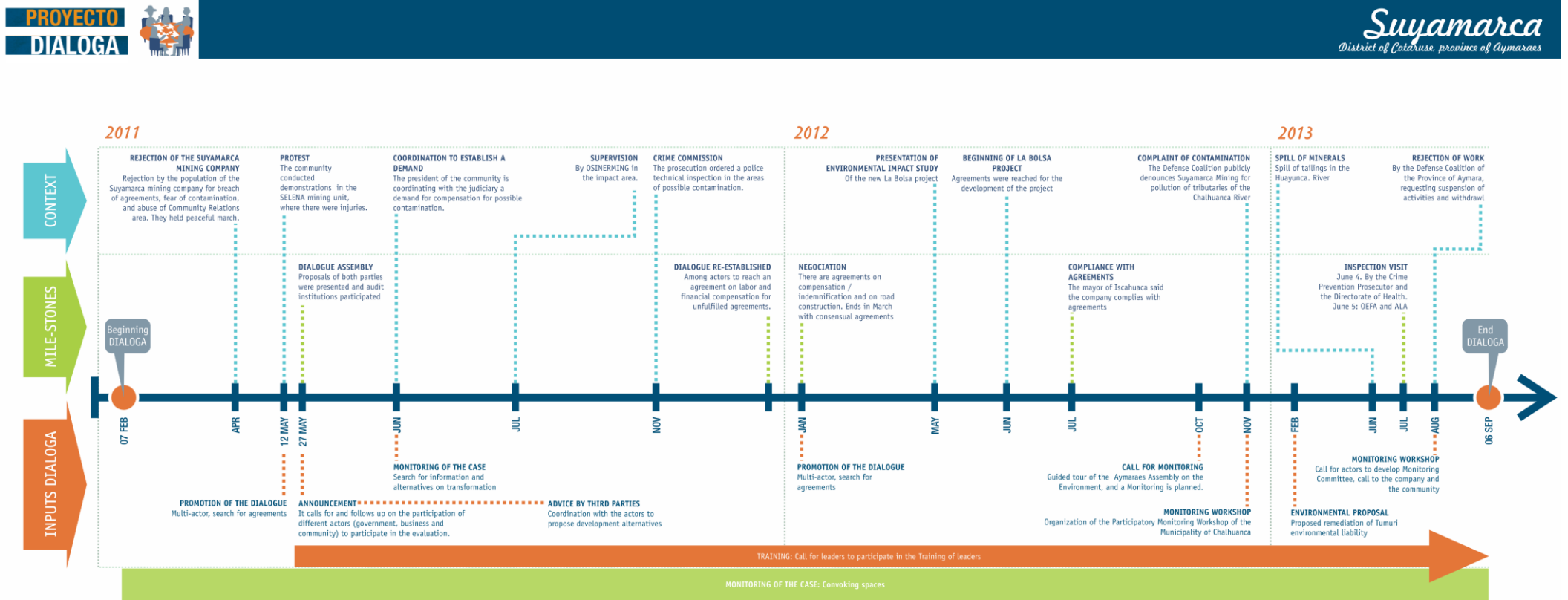
Mining Project	Stage	River basin	District	Province	Department
Suyamarca Mining Project	Exploitation	Chalhuanca river sub-basin	Cotaruse	Aymaraes	Apurímac

ii) Actors involved

PRIMARY ACTORS	SECONDARY ACTORS
1) Minera Suyamarca company 2) Community of Iscahuaca 3) United Front of Defense of the Interests of the Province of Aymaraes - FUDIPA	4) Community of Chalhuanca
THIRD PARTIES	REGULATORS
5) Office of the Ombudsman 6) Environmental Roundtable of the Province of Aymaraes (DIALOGA participates)	7) Executive Directorate of Environmental Health 8) Public Prosecutor. Public Prosecutor for Crime Prevention and the Environment of Abancay. 9) OEFA 10) OSINERMIN 11) Provincial Government of Aymaraes 12) National Police of Peru (PNP)



iii) Timeline



iv) Strategy for addressing conflict

The Overall Strategy revolved around strengthening the Roundtable on Environment, Natural Resources and Land Use, a space created and led by the Provincial Government of Aymaraes. The capacities for dialogue of the promoters of the space, the participation of the State and the company were strengthened, as well as the facilitation for the design of protocols for participatory monitoring of environmental quality. The project had a fundamental role in technical assistance, facilitating processes and articulation of actors.

Indeed the conflict in Sullamarca was channeled through this roundtable, convening the actors of the conflict, the communities of Iscauaca, Chalhuanca and the Suyamarca mining company, monitoring an agenda agreed upon among the participants; in this case the concern regarding the environmental impact of the mining activity and the environmental liabilities located in its concession, left by the previous company.

Initially, in a context of distrust by both actors, meetings were held with each of them to analyze the conflict and ways to address it with the representatives of the communities as well as with company personnel. At the same time, the actors were convened for inclusion in the training cycle of the Leadership Training Program.

When generating the rapprochement between the actors prior to the negotiation process, the work of generating a vision of provincial and regional development was reinforced by a vision of the new mining that the region needs, a socially responsible mining regarding the development of the community. This was from dialogue spaces and discussion groups promoting exchanges between antagonistic sectors, such as the artisanal miners and the regional federation of communities with the defense of agriculture.

During the negotiation between the actors, the process was accompanied in order to generate conditions for dialogue and arrive at a shared and consensual agreement between both parties.

v) Impact of the intervention

The project contributed to the *de-escalation* of the conflict between the company and the community. As these differences became public in 2008, and every year the climate of social tension increased. The company did not accept the requests of the population, and the community was against permitting the work of the mining company to progress, and there were several violent confrontations registered in 2011. An important milestone in this scenario was the negotiation roundtable at which the company and community reached a consensual agreement in a context of peace and dialogue.

Similarly, to some degree, contributions were made to a better relationship and reactions between the different actors in addressing any conflict in subsequent problems, incidents or conflicts. This was the case in June 2013, when a leak occurred in the pipe that transports tailings from the Selene concentrator plant to tailings pond

N° 3, impacting the environment. The problem was addressed by convening enforcement institutions to assess the damage and determine the appropriate remedial actions. In this case, force or repression was not resorted to show the damage, but rather, the Environmental Roundtable channeled the concerns through a call to dialogue by recognized institutions.

Case 3: Conga Project in Cajamarca

The Conga mining project, in the construction stage, with an investment of more than US\$ 4.8 billion, was developed in a context of conflict related to the Yanacocha mining company, because of actions related to environmental issues stemming from the mercury spills in Choropampa (2000) and Quilish Hill (2004), inevitable context for the emergence of future threats to the development of the mining project.

The conflict caused by this project became clear in October 2010. 2011 and 2012 were the most critical years because of its sudden escalation, until it turned into a crisis, in which violent reactions led to loss of life, wounded, economic losses, and the polarization of the population with respect to whether or not the mining project should be implemented.

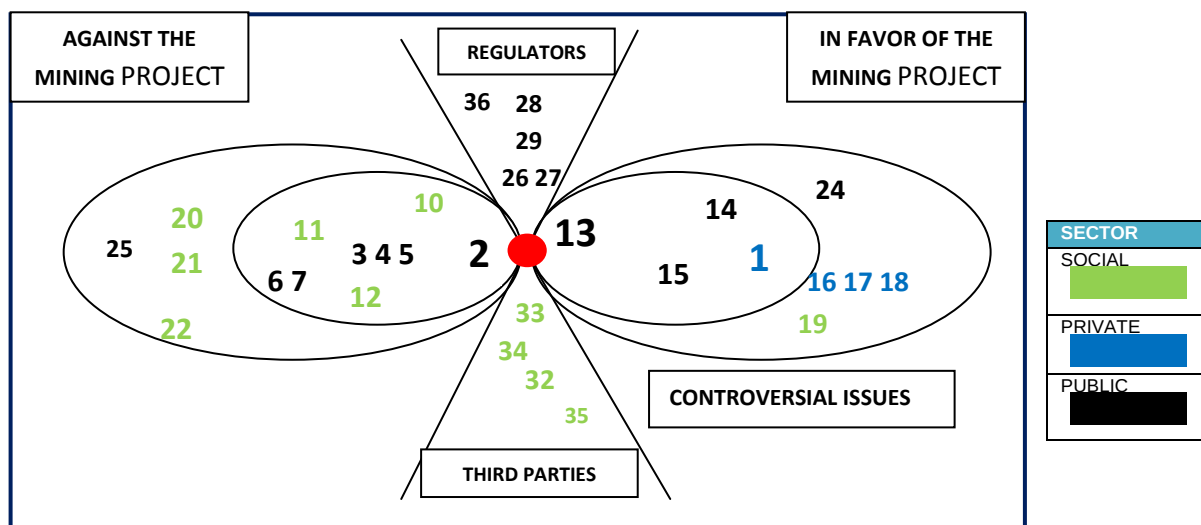
Despite the efforts and work carried out by the facilitators, an agreement was not reached between the parties. Nevertheless, to a certain extent, the project comprised part of the mobilizing energy to generate conditions for dialogue between the actors in a context of a high level of polarization and complexity.

i) Location

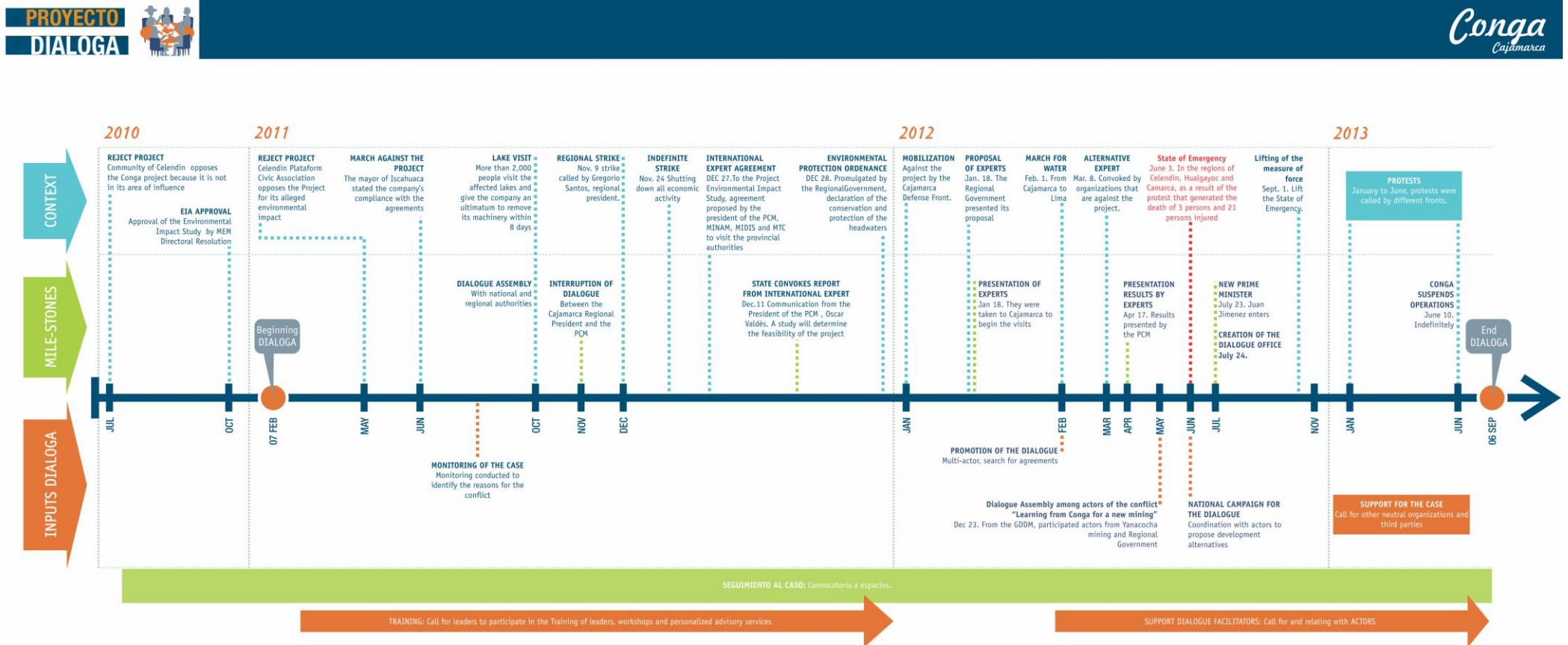
Mining project	Stage	River basin	Area of influence	Province	Dept.
Conga	Exploration (EIA approved)	Ríos Jadibamba, Chirimayo, Chugurmayo, Punte and Rejo	Celendín, Hualgayoc and La Encañada	Several	Cajamarca:

ii) Actors involved

PRIMARY ACTORS	SECONDARY ACTORS
1) Yanacocha - Carlos Santa Cruz (retired from the position of vice-president, which will be assumed by Todd White as of the month of November 2012) 2) Regional Government of Cajamarca. Gregorio Santos 3) District Government of Huasmín. 4) District Government of Sorochuco - Ever Abanto Celada 5) Provincial Government of Celendín - Mauro Siles Arteaga García 6) District Government of Bambamarca - Hernán Vásquez Saavedra 7) Provincial Government of Cajamarca - Ramiro Bardales Vigo 8) District Government of La Encañada- Jorge Vásquez 9) Cajamarca Environmental Defense Front. Led by Wilfredo Saavedra 10) Front to Defend the Interests of Cajamarca – Idelso Hernandez Llamo 11) Front to Defend the Interests of Hualgayoc – Bambamarca – Eddy Benavides 12) Celendín Inter-institutional Platform – PIC Civil Association – Milton Sanchez 13) Presidency of the Council of Ministers 14) Ministry of Energy and Mines - Jorge Merino 15) Ministry of the Environment – Pulgar Vidal	16) National Mining Society 17) Cajamarca Chamber of Commerce 18) <i>El Comercio</i> newspaper group 19) Collective for Cajamarca (Luis Guerrero) 20) Training and Intervention Group for Sustainable Development - GRUFIDES. (Arana) 21) Land and Liberty Movement. (Arana) 22) Cajamarca Bar Association - Jorge Miguel Malca Vásquez 23) National University of Cajamarca - Carlos Segundo Tirado Soto 24) Governor of the Region of Cajamarca - Ever Hernández 25) Congressman Jorge Rimarachin 26) National Water Authority 27) Ministry of the Interior 28) Ministry of Inclusion and Social Development 29) Ministry of Transportation and Communications 30) Ministry of Housing and Sanitation 31) Ministry of Agriculture
THIRD PARTIES	REGULATORS
32) UNDP 33) Facilitators (Monsignor Cabrejos and Gastión Garatea) 34) Dialoga 35) Cedepaz Norte	36) Office of the Ombudsman



iii) Timeline



iv) Strategy for addressing conflict

The strategy in Conga was diverse and had several stages. The first stage involved trying to bring the actors of the different government levels closer, and to this end the convening capacity of the Dialogue Group was used to set up various meetings, first in each area and then between the direct actors. In view of the stories about the environmental impact of the project, during the second stage we chose to emphasize the possibility of a survey conducted by a neutral entity. We first considered the Research Unit of the United Nations, and then the Association of Engineers. In the end, the government chose to contract international experts who analyzed the results of the Environmental Impact Assessment between February and April 2012. In the third stage, the one in which the project team was most active, we provided support to the dialogue facilitators designated by the National Government and accepted by the Regional Government of Cajamarca. The strategy for providing support to facilitators is described below.

Through this work, meetings were promoted between the dialogue facilitators and various regional authorities: (i) MCLCP; (II) Office of the Ombudsman; (III) Governor, and; (IV) Vice President of the Regional Government. In addition, these actors were focused on and actively encouraged to generate dialogue on the development of Cajamarca, given the high level of polarization concerning the issue of the Conga conflict.

In addition, work was done to articulate and connect the national space (GDMS) with the team in Cajamarca. This synergy allowed contact with the Regional Government of Cajamarca, Father Garatea and the United Nations (the UNPD), generating a space for exchange and reflection at the “Learning from Conga” meeting (5/24/2012), at which the Regional Vice President of Cajamarca, Caesar Aliaga, exchanged ideas and reflections with the Conga Community Relations Manager, Darío Zegarra, both actors in the conflict in Cajamarca.

Faced with the misinformation regarding the EIA and the proposed water use by the company, technical information was included in the debate, preparing the informational brochure on the observations of the international expert report and of the alternative expert report.

Due to the impact of the conflict at the national level, we sought to raise awareness and promote the importance of dialogue. The partners of the project, motivated by the climate of violence in Cajamarca, initiated the campaign “a call for dialogue”, where all the actors were called upon to recognize dialogue as the best way to address the conflict. Its dissemination generated good will, the capacity to listen and the recognition of others, and the multicultural outlook the situation required. This message spread at the national level and in Cajamarca, through television and social networks.

v) Intervention impacts

With the intervention of the facilitators, mediators and the team that was supporting the process, we managed to diminish the levels of violence that had been increasing before the incorporation of the mediators. Five deaths and dozens of injured were recorded in the protests in June 2012, in addition to the general impact that they entailed. Once the dialogue facilitation process was initiated, violent events did not occur.

On the other hand, on July 3, 2012, the president of the PCM, Juan Jiménez, declared a state of emergency in three regions (Hualgayoc, Cajamarca and Celendín). As a result of the work performed by the facilitators to convene peace and dialogue, and the request to lift the enacted measure of force, the state of emergency was lifted on September 1, 2012.

Case 4: Cerro Verde and the Arequipa community organizations

The conflict in Arequipa stemming from the extension of Cerro Verde has been the subject of several years of dialogue among the regional and local authorities, the community organizations, and the company. The project contributed indirectly through feedback with the social leaders that participated directly in the approval stage of the Environmental Impact Assessment of the Cerro Verde extension. It should be noted that this conflict involved a series of regional actors, in which the project and the space conducted specific and indirect actions that contributed to the most advantageous use of mining in the development of Arequipa.

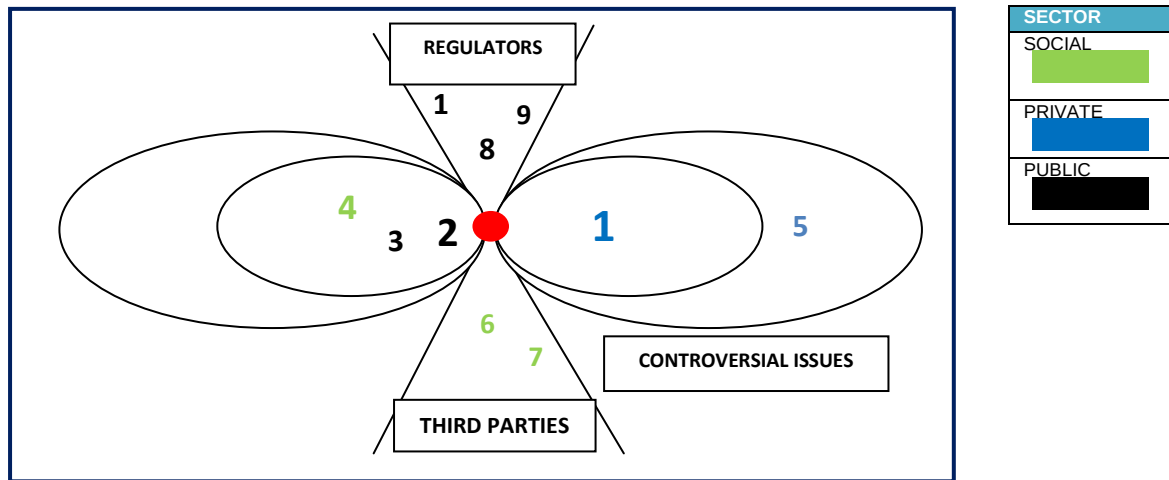
i) Location

Mining Project	Stage	River basin	Area of influence	Province	Dept.
Cerro Verde Production Unit	Exploitation	River basin of Quilca – Vitor – Chili.	Districts of Uchumayo, Tiabaya, Yarabamba, La Joya and Islay.	Arequipa:	Arequipa:

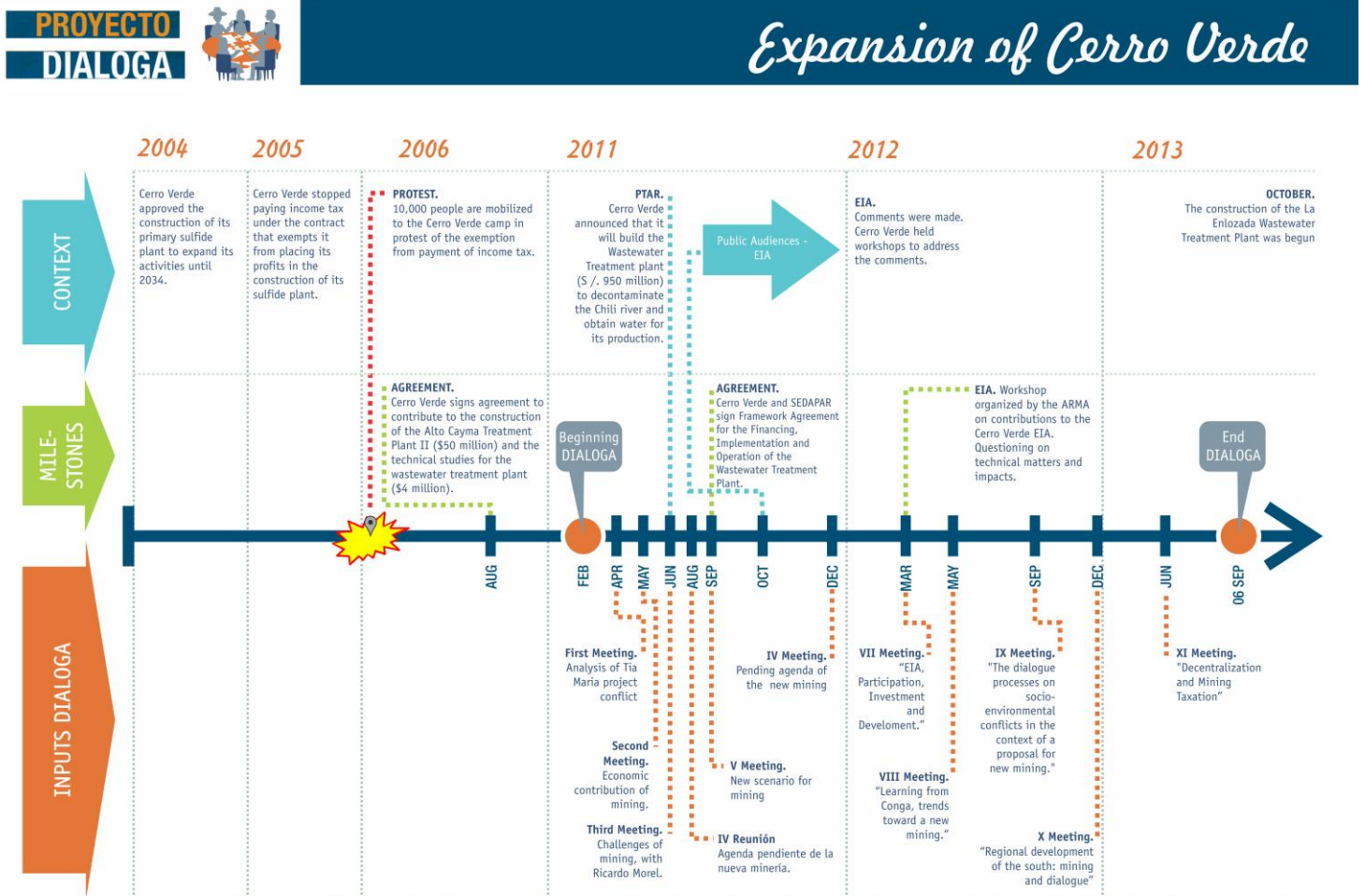
ii) Actors involved

PRIMARY ACTORS	SECONDARY ACTORS
1) Sociedad Minera Cerro Verde SAA 2) Regional Government of Arequipa 3) Local governments 4) Community organizations: FREDICON (Front for the Defense of the Interests of the North Cone), FACA (Extended Civic Front of Arequipa), FDTA (Departmental Federation of Workers of Arequipa), Action Committee (Integrates the community organizations)	5) Chamber of Commerce of Arequipa
THIRD PARTIES	REGULATORS
6) South Dialogue Group on Mining and Regional	8) Presidency of the Council of Ministers.

Development.	9) Ministry of Energy and Mines
7) Asociación Civil Labor.	10) National Water Authority



iii) Timeline



vi) Strategy for addressing conflict

The conflict was not addressed directly, but through the members of the South Dialogue Group that participated in the entire negotiation process with Cerro Verde, from the negotiation of 2004-2005 until now. Humberto Olaechea, Felipe Dominguez and Ramon Pachas, among other leaders, recognize the importance of analyzing the issues in these spaces where they enrich their proposals and positions, which are enhanced for the process of dialogue with the company.

Thus, conflict is addressed through networks of leaders dialoguing that enable transformative actions in dialogues with the State and the company, thus helping to change the culture generally used for addressing conflict.

It is fitting to highlight the involvement of a series of actors in this conflict from 2005, a time when the project was not a direct protagonist, which began only in 2011. Nevertheless, it generated the space for meeting and strengthening bonds between the leaders and State officials to broaden the debate: regional development, as well as the strengthening of the regional proposal - the wastewater treatment plant (agreement reached in 2006).

iv) Intervention impact

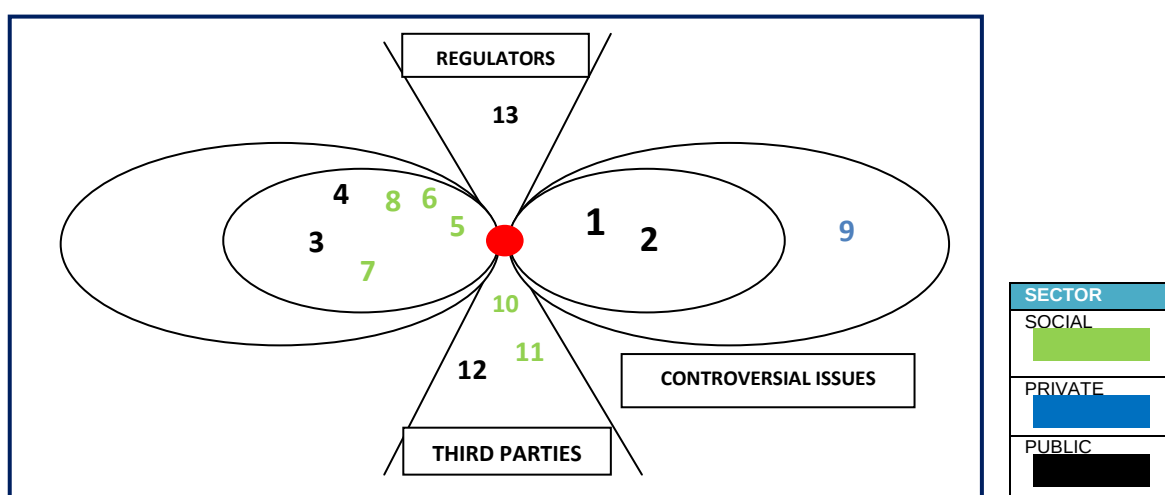
The direct contribution of the South Dialogue Group was the demineralization of the conflict. Prior to 2011, the community actors focused their attention on the relationship with the Cerro Verde company. Then, various actors such as the Chamber of Commerce, professionals, entrepreneurs and social leaders raised their attention to overall development. This concern with the regional development of Arequipa gave rise to the South Dialogue Group that contributed to the public debate on the role of mining with a strategic and ample view in the framework of the process of approval of the Cerro Verde EIA.

Case 5: Informal Mining

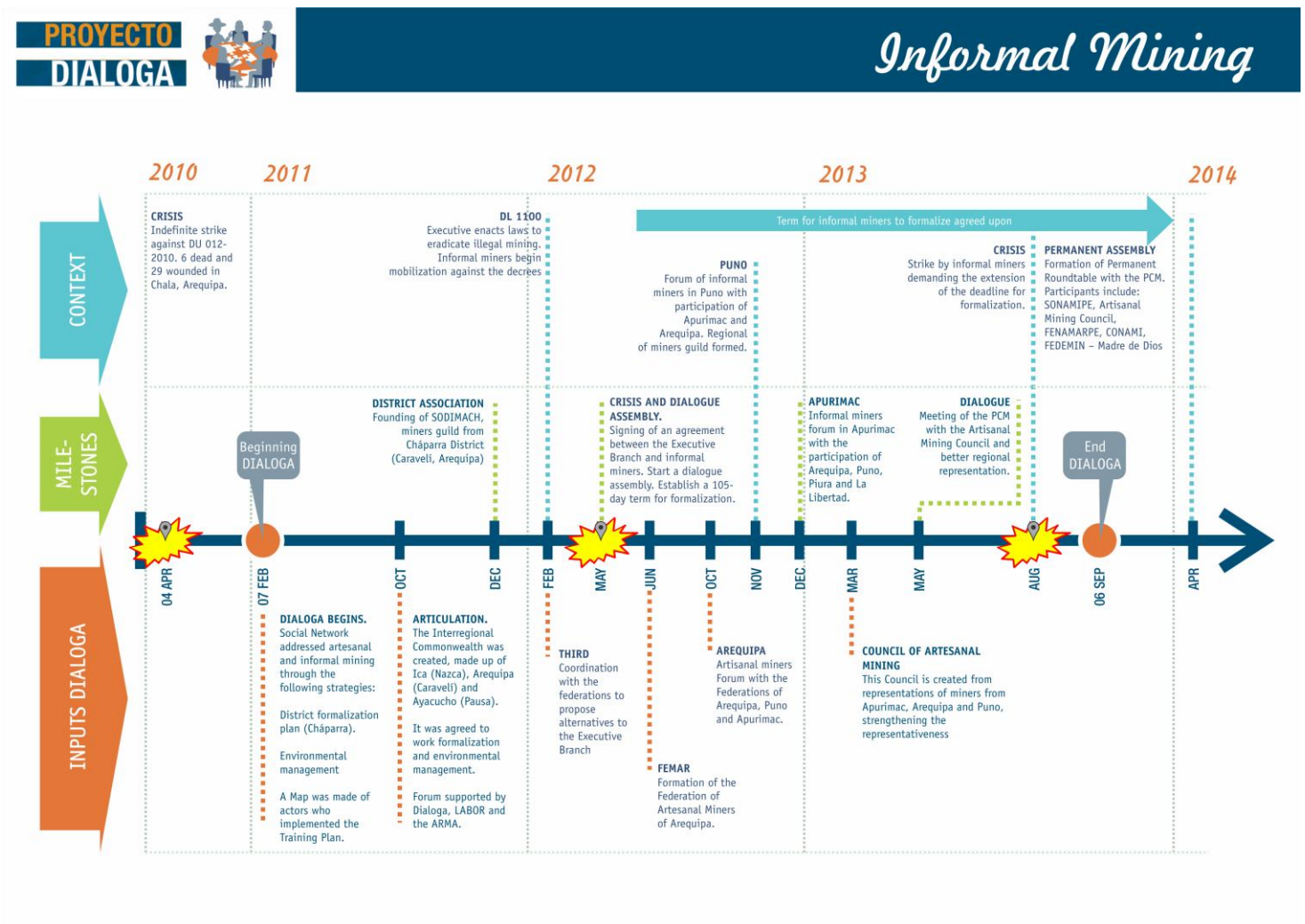
Because of the uncontrolled growth of mining, the Government (Ministry of the Environment) issued a series of norms to control this informal activity, generating the rejection - and subsequent conflict - from those affected, involving those who wish to formalize and those who act illegally. Through the work of Red Social, bridges were built to facilitate the formalization of the miners and to improve the quality of the dialogue after the protests.

i) Actors involved

PRIMARY ACTORS	SECONDARY ACTORS
1) Ministry of the Environment 2) Ministry of Energy and Mines 3) Regional Governments of Arequipa, Apurímac, Puno and Piura. 4) Local Governments of Cháparra and Huanu Huanu 5) FENAMARPE (national trade union) 6) SONAMIPE (national trade union) 7) FEMAR - Federation of artisanal miners of Arequipa 8) Council of Artisanal Mining	9) Mass media, press
THIRD PARTIES	REGULATORS
10) Red Social 11) Peruvian Society of Environmental Law SPDA 12) Andean Community of Nations	13) Presidency of the Council of Ministers – PCM.



ii) Timeline



iii) Strategy for addressing conflict

After the violent events during the protest of the informal miners against the formalization plan (April 2010) and then because of the decrees to control informal mining (February 2012), the project played three third party roles: articulator, promoter and adviser (technical assistance).

In its role of articulator and promoter, it supported the process to improve the dialogue between the informal miners and the national government through the establishment of better representation of the informal miners - given that the trade union FENAMARPE has an inflexible position and little interest in dialogue. This representation would have greater presence of the regions, with an attitude conducive to more dialogue and with proposals.

The other strategy consisted of technical support in the formalization, training in environmental management, serious analysis of government regulations and the generation of alternatives for formalization, overcoming the present knots in this process.

iv) Intervention impact

The conflict between the informal miners and the national government will persist, even at the end of the term established for formalization (April 2014), due to the complexity of the actors involved: illegal sectors, informal miners without inclination to become formal and also miners with the desire to become formal but who encounter obstacles in the process. However, the project contributed - along with other actors - to the development of conditions to improve the dialogue and the reactions to disagreements, both by improving representation in the dialogue and the formation of democratic and dialoguing leadership as direct actors in this conflict.

Unlike the conflict of April 2004, which unfortunately resulted in 6 people dead and 29 wounded, in the last two situations of violence and escalating conflict (May 2012 and August 2013) there were no human losses. On the other hand, the informal miners now have a more legitimate representation to dialogue with the national government, more democratic and dialoguing leaderships, and have made progress in environmental management, in the case of Cháparra.

Finally, contributions were made to the transformation of relationships, for example the presence of leaders in the federation of miners in Cháparra and Arequipa that contribute constructively in addressing discrepancies with the government. Nevertheless, the activities were not sufficient for an experience of suitable environmental management to materialize for artisanal mining.

With respect to the indicator: 1 national platform and 3 regional platforms in Arequipa, Apurímac and Cajamarca in operation; the project contributed to the operation of 4 dialogue platforms and 1 collective in Abancay, Apurímac.

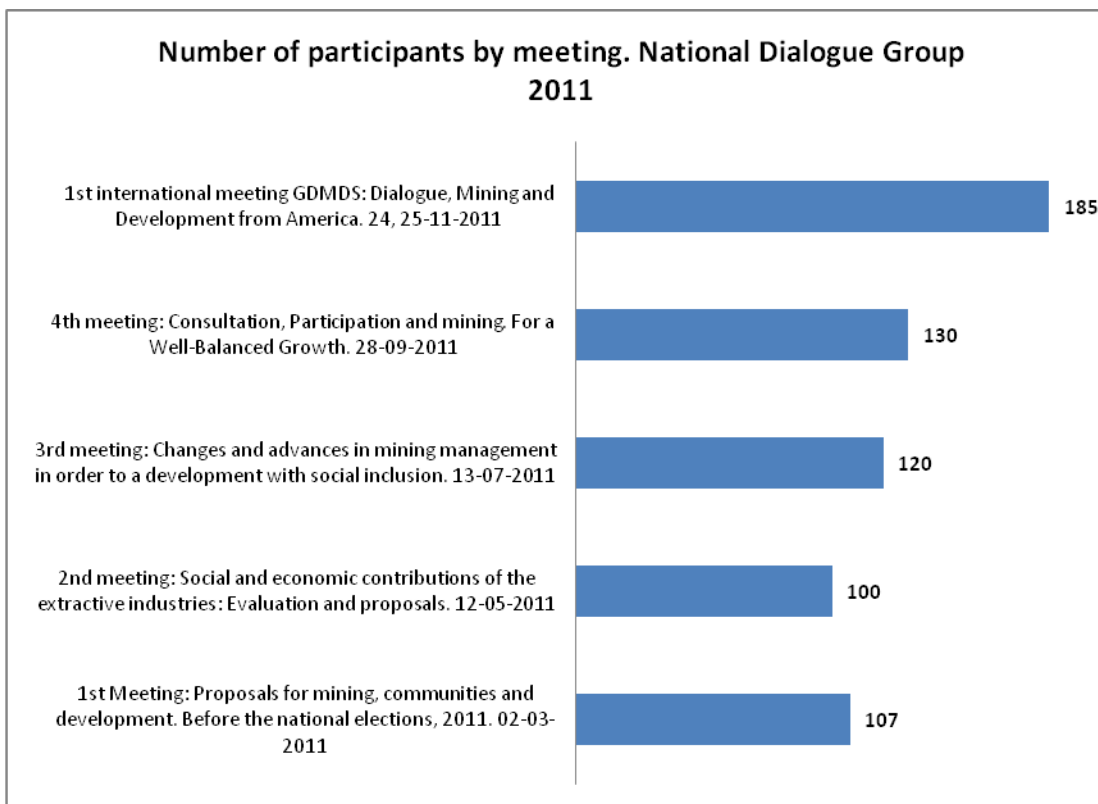
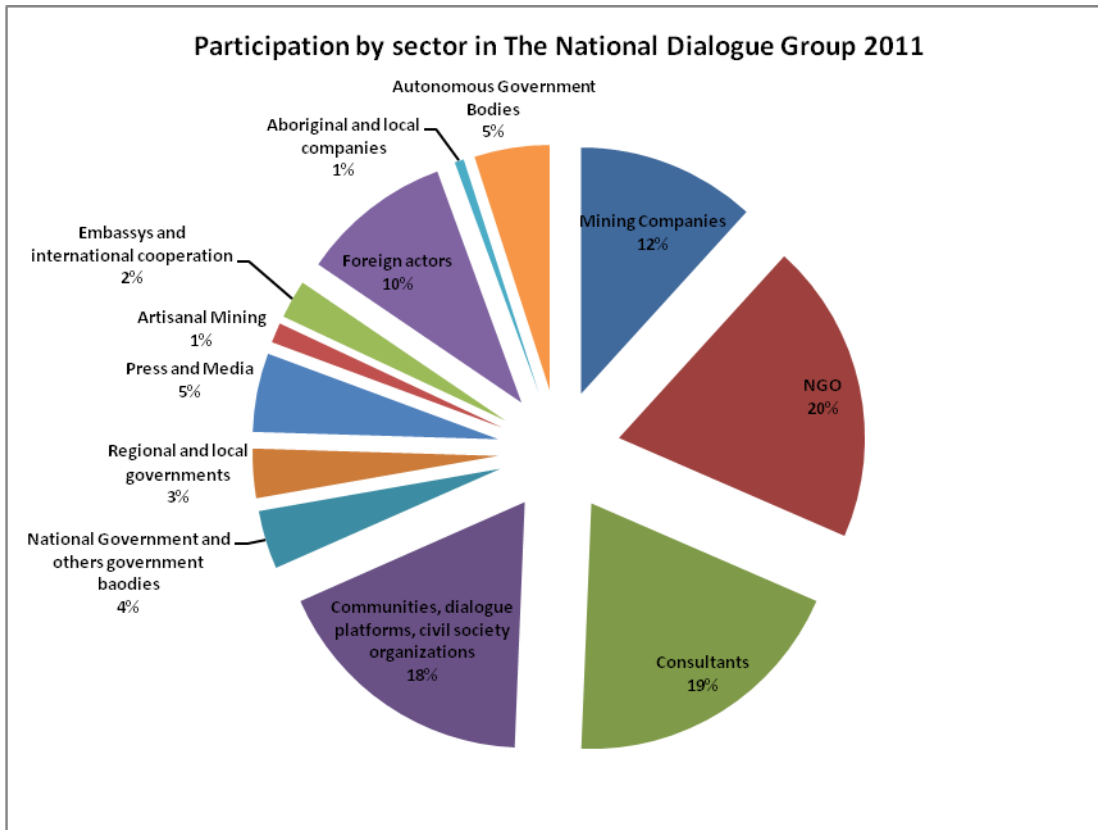
- National Dialogue Group on Mining and Sustainable Development (GDMD).
- South Dialogue Group on Mining and Regional Development (Arequipa).
- Technical Group on Mining and the Environment of the Apurímac Region.
- Aymaraes Environment Roundtable (Apurímac).
- Apurímac Dialogue Collective

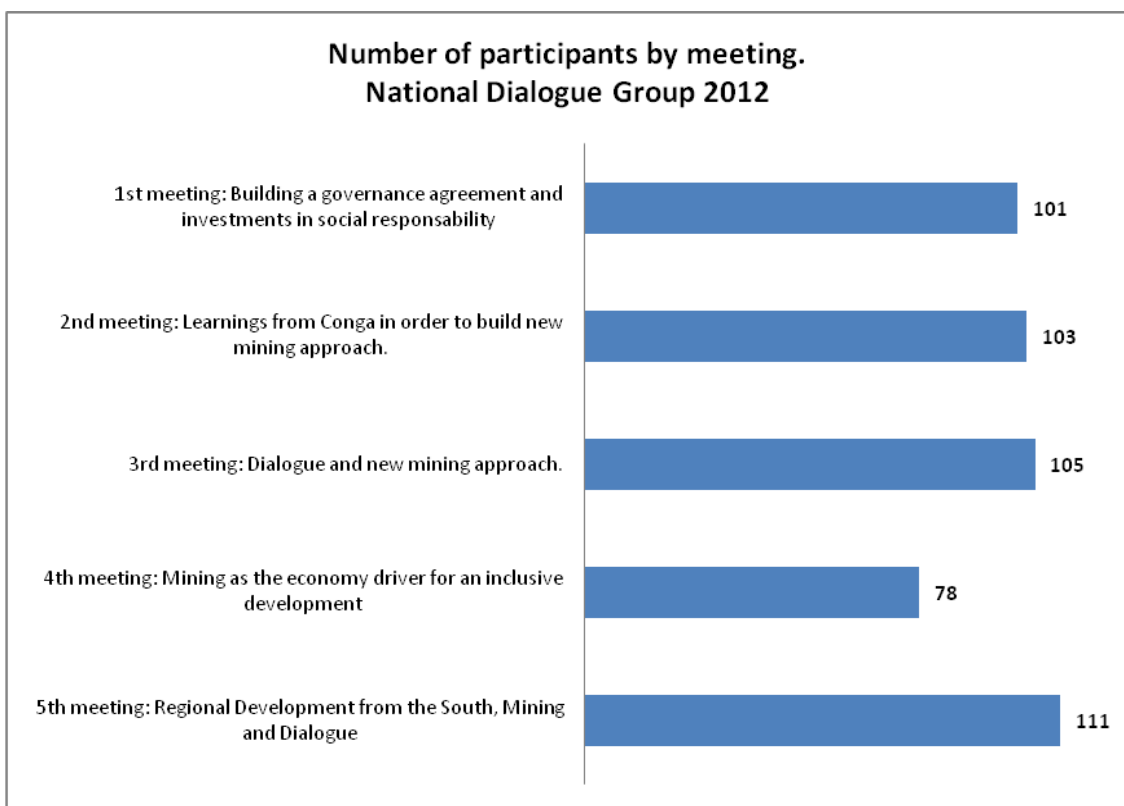
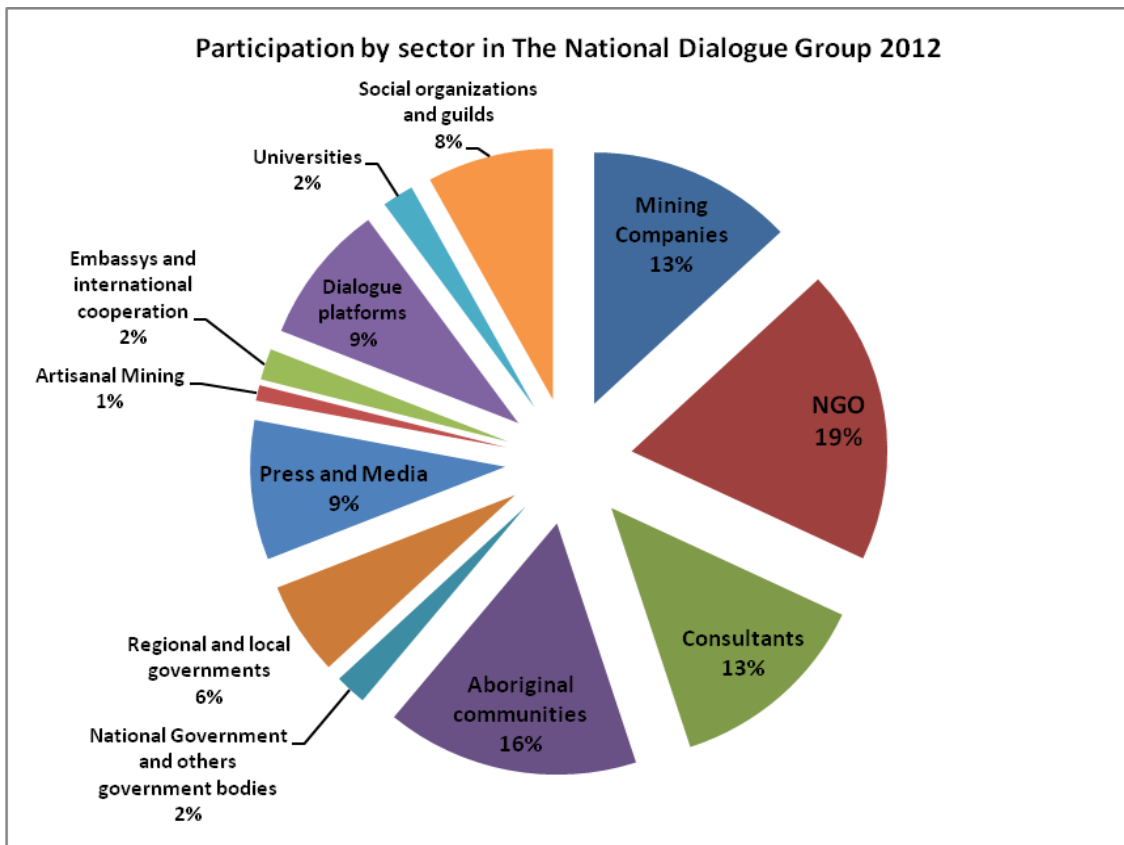
1) National Dialogue Group on Mining and Sustainable Development (GDMD).

The GDMD is a multi-actor dialogue space with more than ten years of uninterrupted activity, whose purpose is to promote the practice of multicultural dialogue and the rapprochement of the people from society, the State and private companies who are involved with mining and its relationship with sustainable development. Throughout these years, it has promoted trust and bonding among people of different sectors, developing their capacities to engage in dialogue: listening attentively and respectfully, with tolerance and good faith and supporting capacity-building and leadership for conflict transformation.

From the beginning of the project (February 2011), it has supported the GDMD in its activities with meetings held every ten weeks. Thus, support was provided for five ordinary meetings per year, with an average of 120 participants from different sectors (Data Base in the annexes), mostly from communities and community organizations, with a significant presence of companies and, to a lesser degree, of the State. In the present year, the companies have had greater participation in comparison to previous years (2011-2012).

Year	Frequency	Attendees	Assistance (%)		
			Society	Company	State
2011	First meeting: March Second meeting: May Third meeting: July Fourth meeting: September Fifth meeting: November	100-185	17.5	11.6	7.0
2012	First meeting: March Second meeting: May Third meeting: August Fourth meeting: November Fifth meeting: December	78-111	24.0	13.0	8.0
2013	First meeting: March Second meeting: June	116	31.9	19.8	9.5



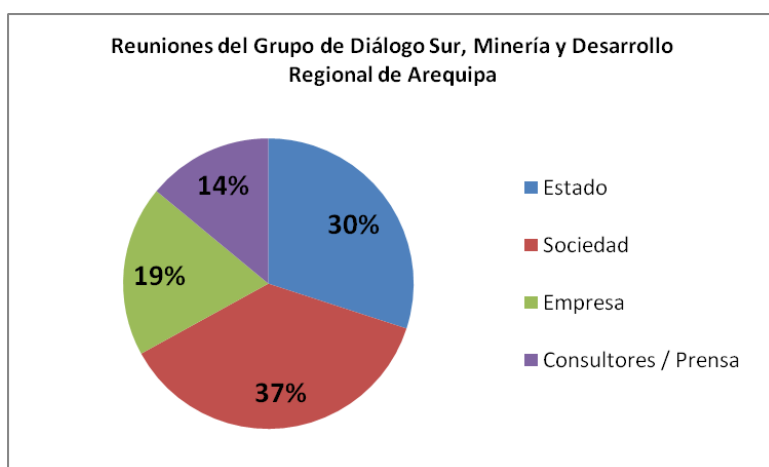


2) South Dialogue Group on Mining and Regional Development.

The South Dialogue Group in Arequipa is a space similar to the GDMD. Its purpose is to be a space for encounter and dialogue among people of different sectors to promote the culture of multicultural dialogue and the exchange of ideas and perceptions on the regional development of Arequipa. The leaders of the community organizations of Arequipa, people from mining companies, the State and from public and private institutions, participate at a personal level in this space.

The space has an extremely active dynamic, having six meetings a year. To date, 11 meetings have been held in two years, with the participation of approximately 30 people of different sectors (State 30%, companies 19% and the community, 37%). This space is in a consolidation phase and its meetings have addressed national issues of concern in the region (Law on Consultation, mining tax), regional issues (EIA, development in the South) and current issues (Tía María and the Conga conflict), with a high level of involvement of people from the State and society. Private sector participants include mining companies and business associations such as the Chamber of Commerce and the ForoSur21.

Year	Frequency	Attendees	Attendance (%)		
			Society	Company	State
2011	Six meetings: April, May, June, August, September and December	12-34	37	19	30
2012	Four meetings: March, May, September and December.	22-45	36.4	18.6	31.8
2013	One meeting (in the first semester): June.	31	64.5	10	19.3

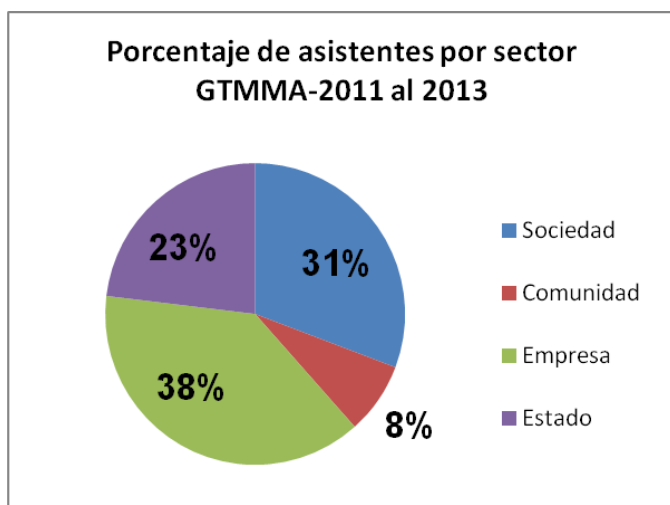


3) Technical Group on Mining and the Environment of the Apurímac Region (GTMMARA)

The GTMMARA is a technical space assigned to the Regional Environmental Commission - CAR Apurímac. It is intended to propose normative, technical, financial and administrative solutions and policies, as well as promote research processes aimed at suggesting alternative solutions to social and environmental problems or environmental management issues that involve or affect the regional government as a result of mining activity. Its lines of action are to propose and implement a system of permanent intersectoral monitoring, participate in resolving social and environmental conflicts caused by mining activities, monitor strict compliance with the regulations and environmental commitments of mining companies, propose regional policies for the formalization and environmental adaptation of artisanal mining, promote the recovery and conservation of the quality of natural resources with emphasis on water resources.

Participants in the GTMMARA include the regional government, its sectors, State entities, mining companies, professional associations, NGOs, universities, among other institutions of a technical nature in the public and private sector. It had a very active dynamic in 2011 due to the verification process in Colcabamba, diminishing in intensity in the last two years, but maintaining active. The GTMMA is in a period of change in order to assume regional challenges such as the uncontrolled increase of informal mining.

Year	Frequency	Attendees	Attendance (%)			
			Society	Community	Company	State
2011	Eight meetings: April (2), May, June (2), July, August and October.	13	31	8	38	23
2012	Five meetings: April (2), May, June and December.	--				
2013	Three meetings: March, April and July.	--				



4) Aymaraes Environmental Roundtable

Created in 2008 by Municipal Ordinance N° 21-2008-MPA/CH, the Aymaraes Environmental Roundtable is the space for management and defense of the environment, equivalent to the Municipal Environmental Commission. Among its functions are to dialogue and agree in a democratic and transparent manner, harmoniously prioritizing decisions that contribute to solving environmental problems, and to promote the construction of spaces for dialogue and consultation in the municipal commonwealths, districts, and communities of the province of Aymaraes.

Its lines of action are: 1) Environmental education and awareness, 2) Participatory environmental monitoring and water resource management, 3) Ecological and economic zoning and land use, 4) Comprehensive solid waste management, 5) Responsible mining activity, 6) Climate change and afforestation, and 7) Environmental information. Participants in the roundtable include the local government, community organizations, public and private institutions, mining companies, commonwealths and rural communities.

The Environmental Roundtable resumed its activities in 2012 and 2013 after being inactive during 2011. The project supported the re-launching of this important dialogue space on the environment, focused on the implementation of the capacity-building project for the management of the watershed (S/.2,800,000, financed by FONIPREL) and addressed the remediation of the Tumiri environmental liabilities (Iscahuaca).

Year	N° meetings	Date	Type of meeting	Topics
2011	Inactive			
2012	6	February 3	Meeting	Awareness workshop on the importance of dialogue
		April 12	Meeting	Tracking the activities of the work plan
		August 23	Meeting	- Updated report on the extractive and power projects in the province of Aymaraes - Reprogramming of the activities of the Dialogue Roundtable (technical visit, participatory monitoring etc.) - Problems of solid waste management.
		September 17	Extraordinary meeting	Proposal of the Dialogue Roundtable on October 5 to pay a technical visit to the environmental liabilities of the Suyamarca mining company
		September 27	Meeting	Programming of the technical visit to the operations area of the Suyamarca company (community of Iscahuaca) and visit protocol.
		October 12	Visit of verification	Guided Visit to the operations area of the Suyamarca company
2013	2	March 25	Work meeting	- Report on the Tapairihua and Pocohuanca dialogue process (Chancas Project) - Report on progress in the TUMIRI mine closure - Presentation of "Capacity building for the comprehensive management of the natural resources and the environment in sub-basin of the Chalhuanca River" Project.
		May 13	Meeting with communities	Addressing the problem of community boundaries

5) Apurímac Dialogue Group

The Apurimac Dialogue Group is a collective or platform of links dialoguing in the process of consolidation that began in 2011 as a result of the project, and brings together a group of influential people from NGOs, the regional government, community organizations and communities. The dynamics of the group in these two years has been the accomplishment of 2 dialogue meetings (2012) that address subjects of dialogue and mining and 1 public forum (2013), towards a perspective of regional development.

Year	Frequency	Attendees	Attendance (%)		
			Society	Company	State
2011	--				
2012	Three meetings: July and September.	31-35	71	3.2	19.3
2013	One meeting in the first semester: June (public Forum).	125	91	0.80	4.8

Level of achievement of the first objective

In general terms, the level of effectiveness of the fulfillment of the indicators is *SATISFACTORY*. The project not only addressed 5 cases of conflicts from diverse roles and not only from the spaces, as we see in the case of the Cerro Verde extension, where the intervention of the space was indirect, through the social leaders who participate in it; in Conga, where the project played a third party role with the regional government and the facilitators; and in informal mining, where we worked with the federations of miners of Arequipa and Cháparra. Different are the cases of the Technical Group (Colcabamba) and the Aymaraes Roundtable in Apurímac, where the spaces addressed the conflicts directly.

Similarly, there are 4 platforms in operation: the National Dialogue Group on Mining and Sustainable Development, the South Dialogue Group (Arequipa), the Environmental Roundtable and the Technical Group on Mining, in addition to the collective in Apurímac. Some platforms are consolidated, such as in the first case (GDMD) - which contributes to improving the quality of dialogue at the meetings - and others are in the process of consolidation, such as the South Dialogue Group (Arequipa) and the Apurimac Technical Group and, finally, the Aymaraes Environmental Roundtable, which has resumed its activity.

Nonetheless, the participation of the different sectors in the spaces is not equal. Organizations, communities and NGOs constitute the majority sector present in all spaces. In the case of the South Dialogue Group (Arequipa), the second sector that participated the most was the State (30%), just as in the Apurimac Technical Group. However, in the National Dialogue Group, the second sector is the company sector (19%) and it has an important presence in the Arequipa Group (19%) and in the Apurímac Technical Group (38%). An exception is in the Apurímac collective (3%).

OBJECTIVE 2. Preliminary dialogue platform on oil, gas and the Amazon region (with emphasis in Cusco) validated.

The result is to strengthen and extend the multi-actor dialogue platforms at the national and local levels to help mitigate and transform the conflicts related to the oil and gas industry. Difficulties in the achievement of this objective were identified in the mid-term evaluation.

"In relation to the dialogue platform on hydrocarbons:

The hydrocarbon space has not been formed. This is a learning point for the project, given that it lacked the knowledge and experience capital in the area that it had on mining. The attempts and initiatives to enter into a scope that was not familiar were hampered by the lack of experience in the area and the fact that working in the rainforest requires much greater investment, a larger team and alliances. However, actions have been carried out in coordination with the base organizations in the area of Camisea such as COMARU, CECONAMA and FECONAY, which is important especially if we consider that they belong to two somewhat divergent national platforms such as AIDESEP and CONAP." (p. 29)

On the one hand, the lack of a permanent presence in the area and the high costs of mobilization in the communities located in the Urubamba River Basin excessively restricted the reach of this objective. On the other hand, after visiting the Amazonian communities their reluctance to form a space of dialogue on gas and oil was noted, given that they currently already maintain a constant dialogue with the companies of the sector. Currently, there is the Urubamba River Basin Council, a broad space where communities and companies participate, and the accessibility and constant participation of the companies in the forums and workshops carried out with the Machiguenga Council of the Urubamba River (COMARU) was confirmed in situ during their events.

The limits of the dialogue were determined during that observation by the scarce information available, insufficient proactive attitudes and the absence of a defined proposal for development on the part of the Amazonian communities. Thus the project focused on helping to strengthen that dialogue, through dialogue capacity building, as noted in the recommendations of the mid-term evaluation.

"Recommendations in relation to dialogue on hydrocarbons in Cusco:

To focus on promoting dialogue in the area of influence of the Camisea project in Cusco with the federations of communities and carrying out coordination with the Regional Government of Cusco and the district of Echarate, through support activities such as training workshops, participation in events and production workshops." (p. 32)

In that sense, the project conducted three activities: two forums in Quillabamba (Cusco) carried out with COMARU and a workshop in Lima with the directors of the FECONAY, CECONAMA and CONAP federations. The three workshops provided dialogue capacity building for Amazonian leaders in Cusco, and in the last of these, tools were provided to increase their proactivity in dialogue, such as roadmaps for obtaining development projects for both CECONAMA and FENOCAY.

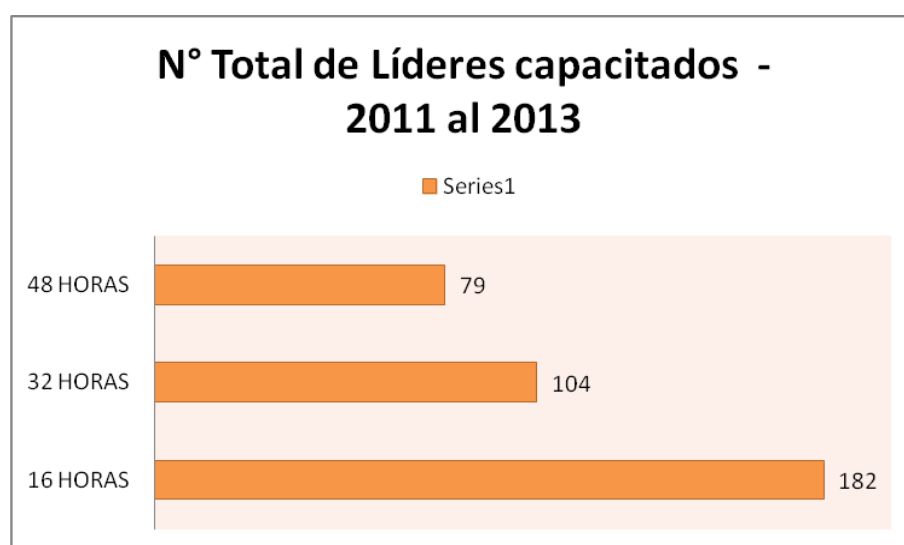
Level of achievement of the second objective

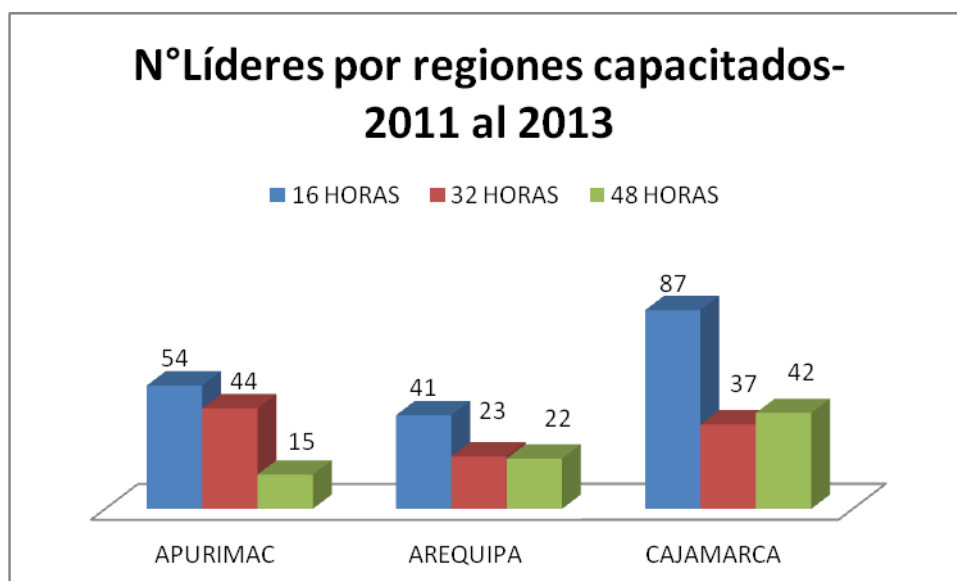
In conclusion, this objective is rated as *SATISFACTORY* because achieve the objective; nevertheless, it did help to develop skills as a condition to improve the existing dialogue. However, one must learn from the fact that the activities proposed in the project dispensed with the feasibility analysis in the context from the design and planning of the project.

OBJECTIVE 3: Numerous stakeholders acquire social learning skills and abilities in conflict mitigation and transformation.

This objective measures two indicators. On the one hand, 150 social leaders of rural communities, indigenous people and social organizations apply capabilities as change agents, in areas that contribute to the alleviation and transformation of conflicts in mining, oil and gas. On the other, 60 leaders that participate in the GDMD lend testimony to their relational and individual change towards a focus on positive conflict transformation.

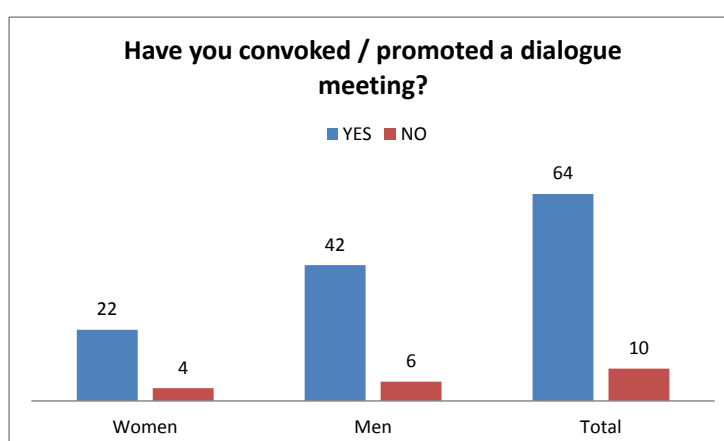
With respect to the first indicator, the universe of qualified persons who attended the training program varied according to the number of class hours. For example, 365 leaders attended the training program, of which only 104 leaders attended at least 32 class hours (79 attended the entire training program).

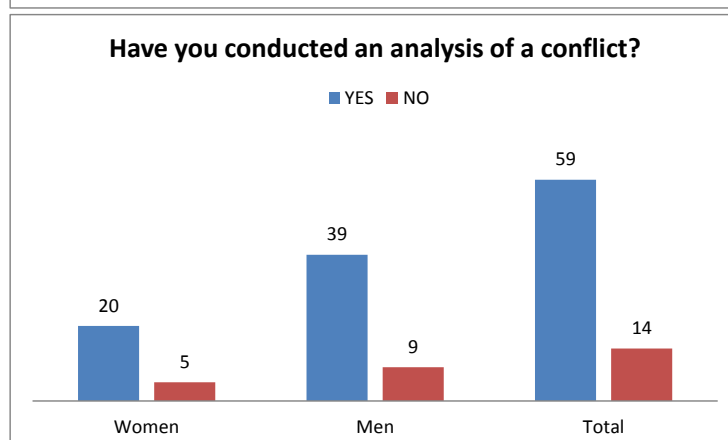
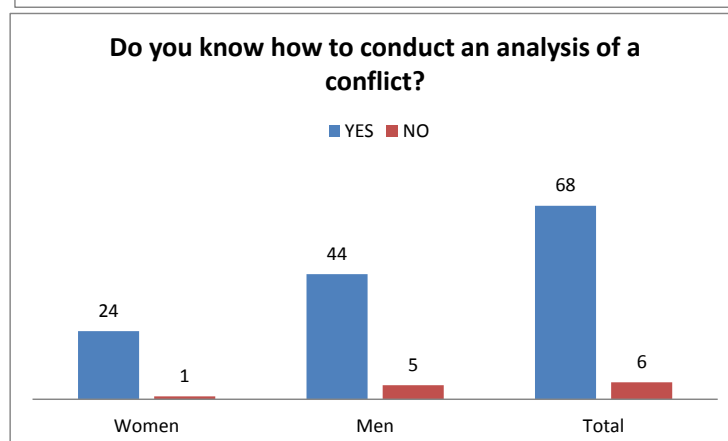
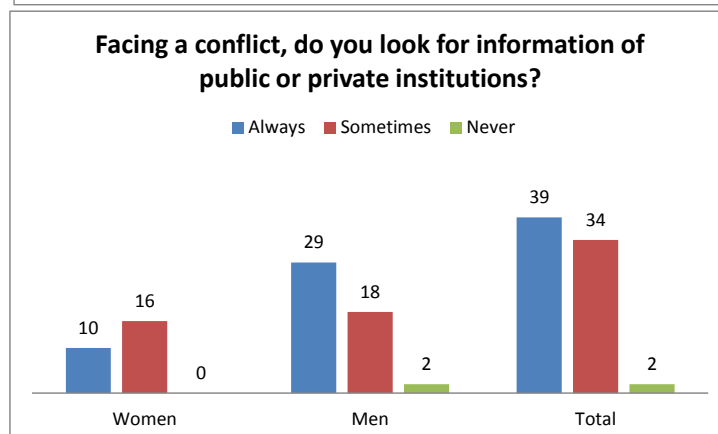
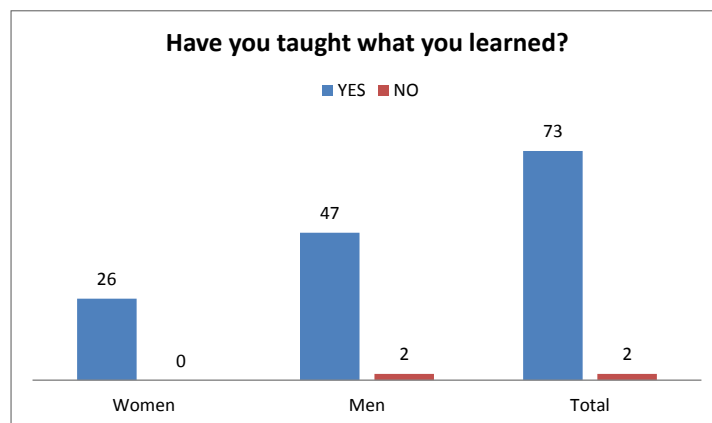




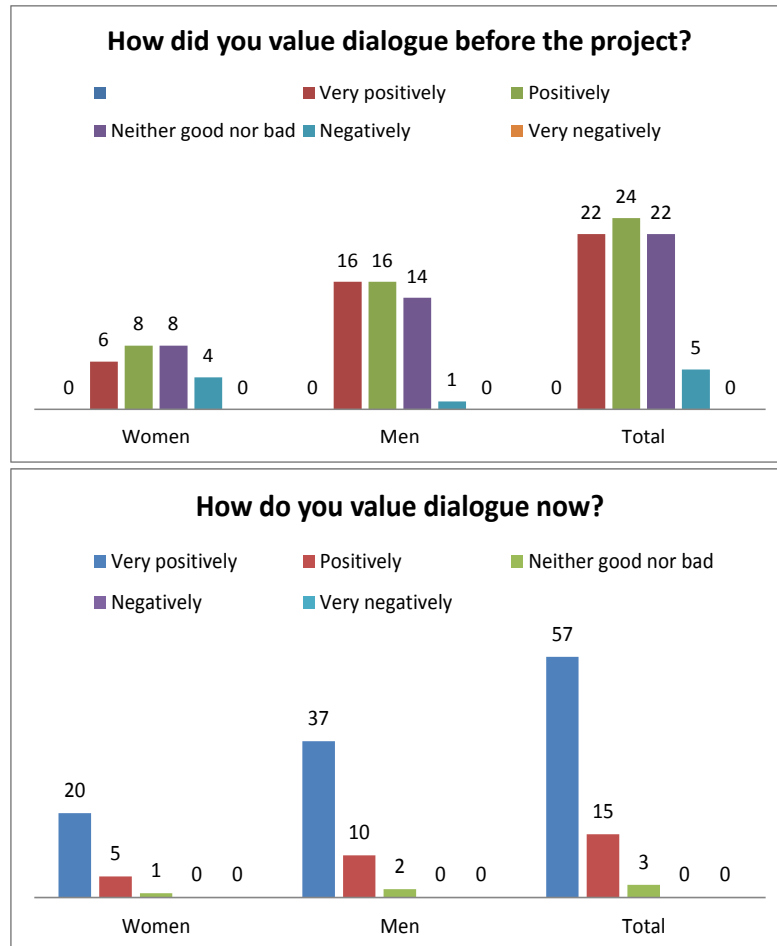
After identifying the universe of 172 people who attended at least two training modules, a sample of 75 people were surveyed to determine how these leaders applied what they learned. The survey measured the attitudes and practices of leaders in relation to dialogue. We measured how they apply their capabilities: Do they promote or convene dialogue meetings? Do they apply what they learned in their training? Do they seek information from institutions when facing a conflict? Have they analyzed a conflict? All these practices enable leaders to mitigate conflicts rather than react to them with force.

Of the sample of 75 leaders trained, 86% have promoted and/or convened a dialogue meeting, 97% have applied their learning in their organization, 97% seek information from public and private institutions when facing a conflict (52% always do and 45% sometimes do), and 81% have analyzed a conflict.

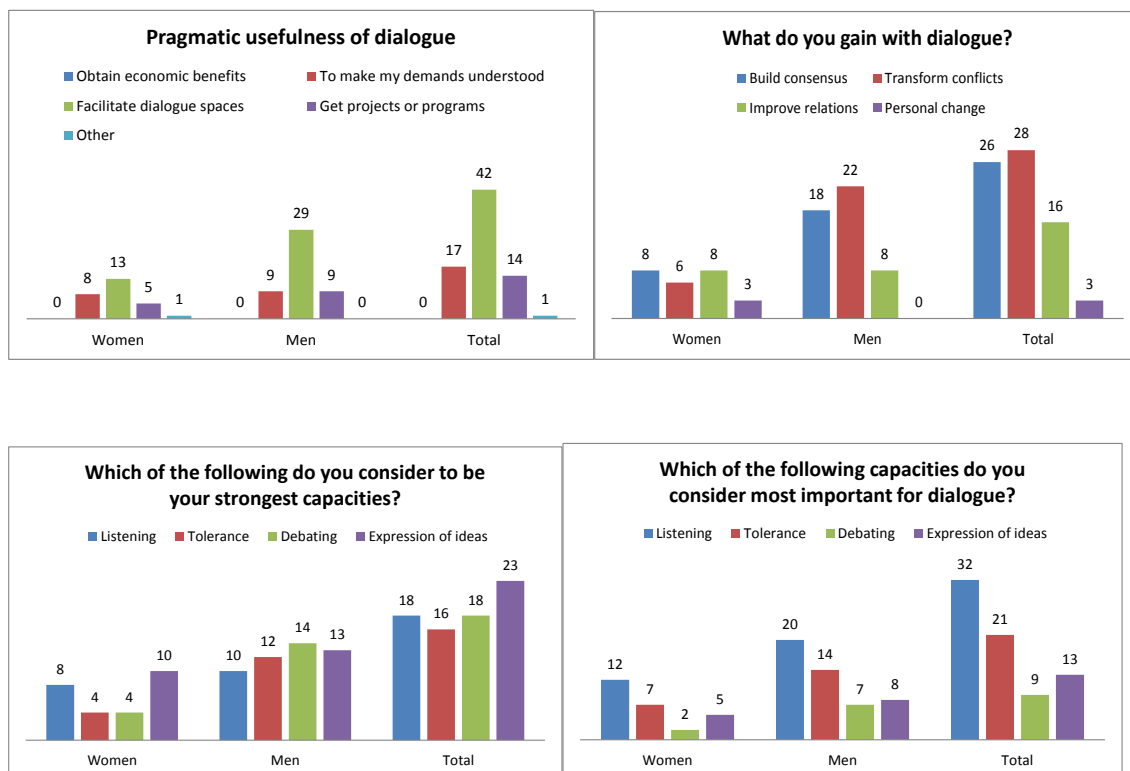




These practices agree with the attitudes measured in the surveyed sample. Before the project, 30% acknowledged considering dialogue neither good nor bad, 33%, moderately positive and 30% very positive. Now, 76% consider dialogue to be very positive.



Other attitudes measured relate to the achievements of dialogue: 38% to transform conflicts, 36% to build consensuses and 22% to improve relationships. With respect to the pragmatic usefulness of conflict (that is, that it concretely benefits dialogue): 57% to facilitate negotiation spaces, 23% to air demands, and 19% to get projects. Finally, respondents claimed the following to be among their strongest capabilities as leaders: 31% expression of ideas, 24% listening and 21% tolerance, and indicated the ability to listen as the most important for dialogue (43%), followed by tolerance (28%).



With respect to the second indicator: 54 testimonials were made regarding relational and individual changes towards a focus on positive conflict transformation. From the sample (54 testimonials), personal changes were identified: overcoming polarized attitudes toward dialogue partners, recognizing the importance of personal and social balance, improving the perception of dialogue and the professionalization of leaders. Among the relational changes: a change in the culture of conflict management with a shift towards social organizations, promoting more serious processes, transparency (conveying information) and improving relations with other actors such as companies and the State.

ON THE POLARIZATION OF DIALOGUE

The project is related to several leaders involved in socio-environmental conflicts, many of them with histories of protest and social struggles. It is precisely these leaders – those involved in conflicts - who offer valuable potential for transformation. Through the participation in the project and the National Dialogue Group, these leaders have achieved relevant individual transformations.

"I have always been with people from the left; the discourse – that I was convinced of - has always been that neoliberalism... I believed that some were the bad ones and others the good ones. The people are good and entrepreneurs are bad. Now, this whole environment, the dialogues, the trainings, meeting other leaders... You calm down a little. Life is not about throwing stones or insulting others, you ask yourself about what is normal... I can say that I have changed 360 degrees. I understood something important, that being an entrepreneur it is not a bad word and I repeat it every day (on the radio). I try to teach it to the others... What has changed is my ability to place myself in the shoes of others. Possibly, my relating to more

people has enabled me to place myself in the shoes of others and be more tolerant. Now I understand that human beings are all identical, only that some have more money than others. All have defects and virtues. I have learned something, and it has been mainly from meeting more people and sharing more things."

(Gloria Armendariz, Arequipa)

"I graduated from the university being radical, I nearly took up arms, with that I'm telling you a lot. Society is another thing, the social dynamic, the constitution. Not everything is bad in this world. It's like human beings, they are good and bad. If you know how to take advantage of the good things in society or the rules that exist, I believe that it is possible to live happily."

"Our fight was very a priori, heartfelt, and afterwards it was more technical. Now I can say that I learned a lot about how to learn to defend the ecological and environmental part. Mining contamination, although harmful, is controllable. We can develop mining and have agricultural production development. They are not opposed if there is true control and mitigation. But before, it was contaminate and contaminate, and I will not talk to you. And that cannot be."

(Felipe Domínguez, Arequipa)

"Before we had many problems because we did not know how to listen. Two years ago I was difficult, I did not listen. Before it was "I say this", whether right or wrong, because the position was that. With the training and meetings with other leaders, we learned from them how one is able to transform conflicts."

(Raquel Tacilla, Cajamarca)

PERSONAL AND SOCIAL BALANCE

An aspect emphasized by the younger and older leaders with vast experience was the importance of balance between social work (leadership) and personal life (personal goals).

"What I have learned is that in management there is a process of negotiation not only with the other party or the State, but also internal, personal. You ask yourself, what is my objective in this? And there we can find our personal weaknesses and deficiencies. For that reason I believe - as do others- that emphasis was placed on the matter of training in personal subjects, for example oratory, because we have identified gross weaknesses... When consolidating the attitude and vision to work, bonds of trust are generated that become lasting. There is a certain coherence and predictability; there is a standard of conduct that is transferred to other subjects. In the end, how things are resolved, is another matter."

(Humberto Olaechea, Arequipa)

"From the moment I attended this group, what struck me a lot was the intended boost to human capital, the person. Other trainings go directly to formation, to specific subjects. The project had a more human character that makes you internalize things, so that you can be a better person. If you are a better person you can reach out better to the community... We all have many hidden issues, especially people who are public personalities. I have gone through several campaigns, and in small towns rivalries become more acute, and the feelings remain. The subject of forgiveness was one of my great lessons. They can hurt you without wanting to you, I don't know, but it remained. That is how political confrontations are. I internalized this in order to forgive and be able to address the processes that may follow differently. If you are not ready

and carry much resentment, you will not see the bigger picture. That was the best change I experienced in this training process."

(Rosa Rivera Ballón, Punta del Bonbón, Arequipa)

PERCEPTION OF DIALOGUE AND PROFESIONAL DEVELOPMENT OF LEADERS

The leaders have understood the impact of dialogue better, not only to generate agreements but to transform relationships, which in the long run brings greater benefits. Also, these bonds and the exchanges with actors in other sectors require that leaders deepen understanding of the subjects and seriously address the management of the conflicts.

"I have learned much with the training. One doesn't know. Sometimes we used violence. Things have already changed; we know how to behave in a conflict... We did not grasp 100% of the training. But in a conflict we now try to tolerate each other, with dialogue, no longer with violence. Knowing how to listen to each other in order to understand each other."

(Cesar Tacilla, Cajamarca)

"The openness that the Dialoga project had to accept including us young people in the training. Capacity-building was important to me since as young people we don't have the knowledge or sufficient leadership skills to be able to direct our organizations... This training allowed me to have a broad knowledge and not just get carried away by the older leaders, who had a mentality such that sometimes I heeded them, but thanks to DIALOGA, that knowledge expanded for me and I was able to draw my own conclusions and therefore convey to all our young people what every one of the conflicts was really about, especially environmental ones, such as the presence of mining companies, a sensitive issue and at times poorly managed. The project has allowed us to have a broad knowledge of the real causes, it could be said, and that has allowed at least the youth to have another concept of what managing conflicts really is, what development is, to take advantage of mining and to strengthen agriculture".

(Victor Sebastian, Cajamarca)

"Knowing why, since we have always participated and said, in times of demonstrations, "let's go to the demonstration, we're going to strike," but you don't know why you're going, or what you want, or what your claim is. So, that is what we are left with, saying why you are going, what your proposal is... Then the other party is willing to understand me, what it is that I want and he is willing to give me what I need, or to mediate, we are shortening the conflict, we are extinguishing the fire, and that is an important matter for me".

(Amalia Villanueva, Cajamarca)

"Understanding the difference between, let's say, the old mining that is currently done, and the new mining that is proposed, those new forms of coexistence with the community, of dialogue that comes first, of talking, of understanding both parties. It is mostly learning to also tolerate the position, the ideas of other people, in this case of the company, of the government itself. To understand those different positions."

(Cajamarca, Dalila Morales)

"These changes have generated more responsible processes, to try to lend them seriousness. For lack of other issues, we are changing but our organization is not. We are falling behind; our response capacity is very slow. There has been a real change; there is a period of reflection and change regarding what we want to do differently. The decision making process and how we

manage the organization is changing... There is the case of a colleague, who settles an issue (conflict) and organizes a march. I continue thinking that marches are an element, but they are not what we need to do. And that is proving me right in some cases because reality is very dynamic and changing in many issues and if we continue reacting solely with marches, our response speed is very slow. We are incurring enormous liabilities because of the issue of invasions, their handling by the regional government; we are taking one or two years in responding, and this generates serious liabilities for us."

(Humberto Olaechea, National Network of Leaders)

"At the beginning of the training, we would arrive and ask why we should want to know one or another thing to assimilate. Now our idea is different, we ask regarding regulatory issues and proposals. Our question is no longer, how would this be or what elements does it have? Our question is, if we propose this... what will be the State's answer if we want to submit a regulatory proposal?"

(Felix Vicuña, Tacna)

"I have participated in two dialogue roundtables with other perspectives, not only with criticisms but with proposals, how could I try to solve not only the water problem but with knowledge of the mining company. I did not participate only to criticize or to say what I thought, but rather, I knew a little more about what was happening, thanks to the training and coming across people from different areas, with different experiences but deep down the same."

(Felix Laura, Tacna)

RELATIONSHIPS WITH OTHER ACTORS

The platforms, meetings and workshops, under the multi-actor format, inviting people from organizations, from the State and companies, generate spaces where different people interact, an opportunity that a male or female leader does not normally have. At the beginning this raises questions, then respect, tolerance, ability to listen, and later, bonds.

"At first we didn't have a clear understanding of the functions, in this case, the government levels. We thought that the government closest to us could solve our problems, either the district or the regional government, but along the way and thanks to the facilitations of Dialoga, I was able to understand that the competencies regarding large scale mining belong to the central government. So, I have been finding out, learning in the workshops, we are now able to recognize with whom we can speak and talk when there is an environmental problem. How NGOs can act, what role they should have, and also the State, and we as a community or as a people. So I learned to relate to other actors in the government, the Ministry of the Environment, the Ministry of Energy and Mines, with whom I have relationships and am taking advantage of to make the State be present in the communities where we are."

(Guido Carpio, Apurímac)

"Yes, with the Company. Here we have several Companies, now we sit down to engage in dialogue. In addition we have other leaders; we have already talked with them, and taken them to the training sessions. One has to know how to listen. Conflicts bring destruction not only economic but personal... With the State too. It used to be that we did not want it because it did not worry about us, but perhaps neither of us was coordinating properly, now we try relating to the State to be able to work together."

(Raquel Tacilla, Cajamarca)

"The project training sessions have helped me. They helped me to deal with people, to be able to relate to people. I used to be an authoritarian leader, and now my relations are personal, it is easier for me to talk with groups that have had conflicts, to help people".

(Yrma Requelme, Cajamarca)

"I believe that we have received a lot and I am thankful to the project, because those spaces allow us to know more about the problems of each community, to know more about the laws there are in the communities, and to have a closer understanding of the problems there are in the community. Therefore, we try as far as possible to place ourselves in their conflicts and to contribute our grain of sand so that those conflicts do not increase and have consequences that are very difficult to deal with. What we want is to avoid those conflicts in those communities. I believe that with Dialoga we have learned to be honest with ourselves, that leaders are expected to be spontaneous, and that leaders are called upon to solve problems in communities. Now that the mining problem is stronger, as in the case of Tapayrihua, the case of Iscahuaca, and the case of other communities."

(Vicente Hinojosa Perez, Apurímac)

"I have been able to see the two sides of the coin, not everything is only against the activity of the company, these are companies that have their objectives and one must be on both sides. Not only accusing the company that all it does is bad. It is to find a balance in both sides. Try to be that bridge... a balance between both parties, and of the State too. Understand that each one has their roles and their interests. Place oneself in everyone's shoes. Before, I criticized the State or the company...only."

(Rosa Rivera Ballón, Arequipa)

"We can talk with the companies on subjects that I did not know before: environment, environmental monitoring, with certain understanding of what the law says, what the law allows you to do... We are not going to demand anything but compliance with the law. They understand that."

(Juan Carlos Tejada, Arequipa)

"With the training we can say that we can speak as "equals" (with the company and the State)... Our relationship is one of open doors. That is, the knowledge that you have obtained has permitted that when you talk with someone, they see that you know the subject and accept exchanging opinions and no longer look at you from top to bottom. When one speaks with knowledge of the facts, their attitude is different. When the authorities or officials see that you know the topic, they invite you to participate because somehow we are serving them as an advisor as we make contributions that they do not receive easily, just like that."

(Felix Vicuña, Tacna)

Level of achievement of the third objective

The level of fulfillment of the indicators is **HIGHLY SATISFACTORY**. The goal of 150 trained leaders was surpassed, having a universe of 172 leaders who attended two modules of the training program. To which a survey was applied halfway to the proposed goal (75 trained) resulting that the majority applies the acquired knowledge through replicas (97%), convenes dialogue meetings (86%), looks for information (97%) and conducts analysis (81%) in a conflict.

On the other hand, of the 60 testimonials proposed, in the end, 54 were collected in which personal changes are identified: changing attitudes from polarized to dialoguing, seeking personal and social balance, understanding the dimension of dialogue and the professionalization of the transformative leadership role. On relational changes: changing the culture of conflict management and promoting more serious processes and improvements in the relationships with State and business actors.

OBJECTIVE 4: Consensus-based practices that bring together multiple stakeholders for management of water and land resources.

The level of achievement of the objective measures two indicators: three monitoring committees and a national network of monitoring committees known for key actors, for monitoring, reporting and disseminating periodic monitoring results, and 100 key players have signed the national agreement for water and / or regional agreements related to sustainable resource management.

Regarding the monitoring committees, the project played the role of trainer of environmental monitors, support for the national network of monitoring and joint committees of the State, the community and the company. The experiences worked on were 5:

Committee	Location	Mining Project	Participating organizations	N° Monitorings (2011-2013)
Michiquillay Monitoring Committee	Cajamarca	Michiquillay Project (Anglo American)	- Community of Michiquillay - Anglo American company - Fondo Social	2
La Encañada Monitoring Committee	Cajamarca	Michiquillay Project (Anglo American)	- Community of La Encañada - Anglo American company - Fondo Social	2
Orcopampa – Chilcaymarca Monitoring Committee	Arequipa, province of Castilla.	Orcopampa Project (Buenaventura)	- Communities of Chilcaymarca, Huancarama, Sarpane, Tintaymarca, Misahuanca, Orcopampa Water Users Commission. - State: District Government of Orcopampa, Governor of Chilcaymarca, Water Administrative Authority-Caplina Ocoña, Regional Office of Energy and Mines GREM-GRA and the Regional Environmental Authority ARMA-GRA. - Company: Cía. de Minas Buenaventura. - Technical secretary: Asociación Civil Labor (Dialoga).	2011: 2 2012: 2 2013: 1
Tambomayo Monitoring Committee	Arequipa, district of Tapay, province of Caylloma.	Tambomayo Project (CEDEMIN)	- Community of Colca Peral. - State: Governor of Tapay, educational institution 40394, ALA Camaná Majes, Regional Environmental Authority- ARMA. - Company: Cía. de Minas Buenaventura. - NGO: Asociación Civil Labor.	2011: no existed 2012: 2 2013: 1

Chalhuanca Monitoring Committee (Aymaraes Environmental Assembly)	District of Chalhuanca. Province of Aymaraes. Apurímac	Selene Unit (Suyamarca)	• Community: FUDIPA. • State: Local governments of Caraybamba and Cotaruse. Commonwealths of Kusca and Río Grande, Regional Government, Agrarian Agency, Agrorural, Health Network, UGEL Aymaraes, Technological Institute, Pedagogical Institute. • NGO: Care Peru (Dialoga), IIDA, CICC. • Companies: Minera Suyamarca SAC, CONCAR. • Campesino communities: Iscahuaca, Chuquina and Payraca.	Was conducted in 2009; there were no monitorings in this period.
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The project strengthened 5 environmental monitoring committees. During the project period, the Tambomayo (Arequipa) and Chalhuanca (Aymara) committees were created, and those already existing were promoted by the communities and the company. All monitoring committees have had environmental monitoring, except the Chalhuanca committee. In the committees of Orcopampa, Tambomayo and Chalhuanca, the three sectors participate; the exceptions are in Michiquillay and La Encañada, where the State, specifically the National Water Authority, does not participate. However, the project has conducted training programs, joining the AAA VI-Marañón, building bridges to involve the ANA in these committees.

The national network of committees has held two meetings during the project period: the National Workshop of Monitoring Committees in Cajamarca (December 2012) and the National Meeting of Monitoring Committees in Moquegua (August 2013).

Impact of the intervention

- **Contribution of scenarios of violence in potential conflicts through the generation of transparency in the company-community relationship.**

In the words of one the members of the Monitoring Committee of Orcopampa, Arequipa, we can demonstrate the project's contribution to personal and relational change in the development of this dynamic participation and monitoring from the communities.

*"I learned a lot. A few years ago I just watched how the company worked and used the water. Now after work (as a member of the Monitoring Committee), my way of thinking has changed ... I used to have little knowledge and distrusted the management of the company. Now doing analysis of the water, I conclude that the company operates within the permissible ranges."*¹⁶

While in Apurímac, in Aymaraes province, we worked from the Environmental Assembly conducting capacity building in its members to enable them to create conditions and conduct environmental monitoring within the area of jurisdiction. The committee, as such, was just installed and is in the process of formation and training.

¹⁶ See annexes: Testimonial Luis Miguel Patiño, member of the monitoring committee of Orcopampa.

*"We did not all work on the creation of a Participatory Monitoring Committee, and the support was important (from Dialoga) because they do not have much experience in these matters, there are no specialists available who understand the process. The project has specialists, has people, professionals with this experience. I think that the support has been very important."*¹⁷

- **Capacity building and linkages that provide conditions for reflection and dialogue on the evidence and the experiences worked on.**

In order to promote shared learning, synergies and visualize the progress of the various committees nationwide, the Cajamarca committees were supported in organizing the "National Workshop on Monitoring Committees and Participatory Environmental Monitoring," held on November 26 and 27, 2012 in Cajamarca. Some 80 leaders participated from 11 regions: Cajamarca, Apurímac, Arequipa, Moquegua, Tacna, Cusco, Lima, Ancash, La Libertad, Junín and Puno. There was also had a high level of participation of state representatives: National Water Authority, Ministry of the Environment, OEFA, the Regional Participatory Water Monitoring System – SMAPRE, the Regional Government of Cajamarca and Lima provinces and the companies Antamina, Angloamerican and Hydromodelhost.

Moreover, the experience of their own management and organization of a national event allowed the organizing committees to test their abilities, analyze the wealth of its processes, and create synergies with the State, the company and the Dialoga project. In the words of the coordinator of the La Encañada monitoring committee, the contribution of the project can be demonstrated.

*"Now I think the dialogue is very important. There is always someone in the community who does not agree with you. But through these talks, support and meetings of leaders, I learned how to cope, how to carry out dialogue and how we come to an agreement."*¹⁸

The progress and challenges of the work of the various committees was identified in this workshop. These inputs were later worked on in the preparation of the proposal to improve participatory environmental monitoring in mining areas, as we will see later on. Similarly, a coordinating committee was elected and took steps to hold the national meeting of monitoring committees conducted in Moquegua on August 12 and 13, 2013.

With respect to the second indicator, three agendas were undertaken:

- a) Proposal: Improving citizen monitoring in water and mining by the participatory environmental monitoring committees.
- b) Agenda: Proposals on the Environmental Impact Studies and citizen participation in the mining sector.
- c) Protocol for the Intervention in Socio-environmental conflicts in mining areas, for the Technical Group on Mining and the Environment of Apurímac.

¹⁷ See annexes: Testimonial from Próspero Contreras, Aymaraes Environmental Assembly, Apurímac.

¹⁸ See annexes: Testimonial from Raquel Tacilla, La Encañada Committee, Cajamarca.

The first agenda related to improving the work of the monitoring committee, collected the contributions of the National Workshop to develop the proposal, which was presented at the April 2013 meeting to members of the committees of Cajamarca, the National Leaders' Network, officials of the National Water Authority, Ministry of the Environment and the Yanacocha company, collecting valuable contributions. While the proposal has not been officially signed, it has gathered the contributions of all sectors: business, society and the state.

The second agenda of improvements to the EIA was worked in 2011 in the Mining Dialogue Group EIA committee, proposing since then to incorporate the opinion of an independent body (section III.3), and the following year, the national government would announce the creation of the SENACE as a specialized body under the Ministry of the Environment to assess the detailed Environmental Impact Studies. This agenda included 42 signatures (see appendix). The third agenda is the protocol of intervention in the prevention of conflicts of the Technical Group on Mining and the Environment of Apurimac, a product of the lessons learned and support for the Colcabamba case. This protocol was presented at two of the space's regular meetings and collected contributions from companies and from the Office of the Ombudsman.

Level of achievement of the fourth objective

The level of achievement of the indicators is *MODERATELY SATISFACTORY*. The first indicator addressed five committees, 2 above the target set, but not all the committees (4/5) conducted monitoring of water quality. Similarly, in the second indicator (100 signatories to the water agreement), there were two agendas and one agreement signed by 42 people (see Annex). The agreement is the proposal for improvements of the EIAs and the two agendas are: the protocol of the Technical Group and the improvement of participatory environmental monitoring committees. We define the latter as agendas and not agreements because they have no signatories, although they do have input from various sectors.

3.1.2. Second level: Analysis of the overall objective

Efficacy is analyzed by the level of achievement and fulfillment of the overall objective. For this, we determine the relationship between the activities and statements posed in order to then determine their combined impact on the achievement of the objective.

Overall objective

To help improve the personal, relational and structural conditions required to mitigate conflicts and for sustainable development in Peru. Support solutions and agreements in at least four cases of socio-environmental conflict around extractive industries.

The contribution to mitigating is focused on the dialogue platforms, considering these platforms and the people who participate in them as part of a system or social energy that contributes to mitigation. This space, from the social dynamics generated within it or a product of it, contributes to the mitigation directly or indirectly, as well as a considerably or in a manner barely perceptible.

Thus we tried to test a rate of mitigation that indicates the effectiveness of the dialogue space compared to another to mitigate the identified conflicts. The rate indicates greater or lesser ability to mitigate the conflict in question. This rate (X) is based on evidence of changes in people (P), relationships (R) or the consensus generated (E).

We thus assume that the space will always generate some sort of positive change in the system of conflict, meaning that its action was previously thought of in terms of not making further changes or effects in the relationships between the conflicting actors (action without damage). So the rate permits a quick look at the capacity of the space to address the conflict more directly or less directly, which finally is expressed in mitigating more or mitigating less. The rate does not express the intensity of transformation of the conflict itself.

X = Rate of mitigation of the conflicts from the dialogue platform.

This statement responds to the impact of the project: mitigation of conflicts in mining areas.

Thus, $X = f(P \cdot R \cdot E)$

Where:

P = Evidence of change of personal conditions

These conditions respond to the activities of result 3 (changes in attitudes and relationships between key actors of the mining sector that participate in the dialogue platforms to assume the role of agents of change in situations of conflict).

R = Evidence of change of relational conditions

These conditions respond to the activities of result 1 (strengthening and expansion of the national and local multi-actor dialogue platforms) and result 3 (changes in attitudes and relationships).

E = Evidence of change in the generation of consensus

This evidence responds primarily to the activities of result 4 (actors promote institutional agreements relating to the management of environmental resources in mining areas. Agreements and monitoring committees).

In order to quantify the variables, how much the implemented activities related to the change of these conditions helped to mitigate¹⁹ the environmental conflicts will be analyzed. In this case, the analysis is performed for the 5 conflicts addressed.

Area of the conflict (Company)	Platform that addressed it from the Project	X (%)	P (Change of personal conditions)	R (Change of relational conditions)	E		Was it mitigated?	Was it transformed?
					Agreements (Evidence of agreements)	Monitoring Committees (Evidence)		
CONGA	Leaders from Cajamarca	1.92	0.2	0.4	0.4	0.6	Sí	No, the conflict still remains.
SUYAMARCA	Aymaraes Environment Roundtable	2.88	0.3	0.2	0.6	0.8	Sí	No, but the monitoring committees have helped.
APURIMAC FERRUM	Technical Group	3	0.5	0.3	0.5	0.4	Sí	No, the company quit.
CERRO VERDE	South Dialogue Group and National Dialogue Group	4.8	0.4	0.5	0.8	0.3	Sí	Yes, an agreement to build La Tomilla.
INFORMAL MINING	Red Social	2.8	0.4	0.2	0.5	0.7	Sí	No, there are still agreements on legislative decrees.

Source: Information based on testimonies of the actors involved. The scale (from 0.1 to 0.9) was defined by the team that made the report.

Area of the conflict (Company)	Scale	P ()	R ()	E		Mitigated?	Transformed?
				Agreements	Committees		
CONGA	National	√ But leaders of other areas	X	X	√ Other areas (Michiquillay)	Yes	No
SUYAMARCA	Local	√	√	X	√	Yes	No
APURIMAC FERRUM	Local	√	√	X	X	Yes	--
CERRO VERDE	Regional	√	√	√	X	Yes	Yes
INFORMAL MINING	National	√	√	√	X	Yes	No

¹⁹ Mitigation of conflicts refers to the de-escalation of the conflicting attitude.

Conclusions:

- The five conflicts have been mitigated and levels of conflict reduced. It should be noted that mitigation of these conflicts is the result of the work of a number of actors involved, in which the project is another actor in the system. None show progress in transformation because it requires an extended period of time and simultaneously addressing the four conditions: personal, relational, structural and cultural. The latter is not explicitly addressed as an objective of the project.
- The space in Arequipa contributed more to the mitigation of conflict in that area than those in other areas. The Cajamarca space contributed less than other spaces to the mitigation, which does not detract from the action of the space, because this analysis does not include the conditions of the scope of the conflict, prior polarization, violent situation, etc. In addition, as previously mentioned, it does not necessarily measure the transformation of the conflict, which is a much more pensive process and a testimonial of changes in the system of the conflict.
- The complexity of the context in every conflict shows a series of developments that could not address the conditions simultaneously in all cases. For Colcabamba (Apurimac Ferrum), agreements were not reached nor were the committees formed because the company did not decide to withdraw from the community and prioritize its explorations in the province of Andahuaylas, where the mineral has better law. For Conga in Cajamarca, work on conditions prioritized the work of committees and capacities in the communities of Michiquillay Encañada and Hualgayoc, areas outside the Conga area of influence. This is because initially, the prioritized case was the Michiquillay project of Anglo American, but the escalation of Conga and its relevance caused the project's shift.
- In conclusion, the level of achievement of the overall objective is *SATISFACTORY* because it contributed to the mitigation of the five conflicts at different levels, although not to its transformation in the framework of a package of interventions within the system.

3.2. Analysis of the efficiency of the project

The evaluation of efficiency permits us to learn lessons other than the programmatic that are related to human and financial resources, institutional capacities on the subject and scope of intervention. In this section, we identify these aspects from an overview, disregarding a methodology:

- With respect to human resources, we were understaffed and spatial dynamics presented difficulties. In Cajamarca, the team was based on one person (Olinda Posadas), who had support only during the first half of the project. This limitation prevented the deployment of more actions to address other roles as third parties in the Conga conflict and may have a greater presence in communities of Michiquillay, La Encañada and Hualgayoc. In Apurímac, the dispersion of the leaders in various parts of the region, mainly in the communities of the higher altitude provinces (8 hours in a pick-up or longer trips by public transport), required greater mobility of the personal who had limitations to focusing their actions in Abancay, where closer contact was established with regional authorities and state sectors.
- Work in the Amazon region of Cusco requires an institutional presence in the area and important resources to visit the Amazonian communities of the Urubamba River basin. Every trip to the communities costs US\$ 3,000, exceeding the budget ceilings. During the project, only four visits could be made to the area, where they could organize and participate in two forums, yielding important but very limited progress toward triggering dialogue processes.
- Result 3 had budget constraints, limiting the training program to three modules, dispensing with other matters and other training activities such as educational trips, which are effective learning processes to address mining issues through concrete experiences that overcome existing mistrust and disbelief.
- With respect to outcome 4, the work with the monitoring committees had the expertise of Jorge Béjar of the Labor Civil Association. The result had no other achievements due to the absence of capacities in other persons of the team and the budget limitations to fund counterparts for taking samples.
- The differences in the actions of the institutions in the project influenced the level of efficiency. Both SASE and ProDiálogo contributed much from their role as advisers. This functional structure also limited the level of achievement of the results, however, by their not assuming tasks in the implementation of activities, other than their presence in the training programs.

IV. Achievements

We should start by mentioning that these achievements lie within complex and dynamic scenarios where different actors and processes interact. Thus, the achievements listed below are attained with input from various actors and partners with whom we interact in each area of the project. The achievements are:

- The project contributed to Dialogue Group on Mining and Sustainable Development (GDMD) – a space that is positioned with over ten years of existence – by giving a qualitative leap toward achieving greater coordination with the regions (becoming decentralized), a long-term aspiration of their members. The GDMD has a numerous leaders from Cajamarca and Apurimac, permitting links with leaders from other regions like Arequipa, Moquegua and Tacna, and others with experience in mining issues. This dynamic permitted the formation of the National Social Leaders Network, a group of citizens from these regions who share a view that conflict is an opportunity for development.
- Similarly, it also supported the GDMD to take an important qualitative leap in its internationalization. Several institutions from countries in the region (Colombia, Argentina, Ecuador, and Brazil) have initiatives to form dialogue spaces around the area of mining, looking to the GDMD as an example. As a result of this contact, initiated by these countries, there was a first international meeting with support of the project, and a nucleus of regional dialogue spaces was formed. The DIALOGA collective (CARE, ProDiálogo, Red Social and Labor) responded to a call from the European Commission to support this process, and achieved funding of €2,000,000 (two million Euros) to work on strengthening the GDMD and the Latin American Dialogue Group, which will have two regional meetings. The latter was held at the PDAC in Canada.
- In Arequipa, it helped to change the way of looking at conflict, from seeing the conflict in relation to a case (expansion of Cerro Verde) to the relationship with development. Since 2005, the leaders of social organizations (FREDICON, FACA, and Committee for Struggle) focused on providing observations to the Cerro Verde EIA and on negotiation. The project articulated, on the one hand, these community leaders with other State and business actors, and on the other, the various regional processes and agendas. Thus, these people, grouped into the South Dialogue Group on Mining and Regional Development, have been reflecting, exchanging and identifying the best proposals for regional issues such as the mining tax and the role of mining in development.
- With respect to the Conga conflict, the project contributed to the *de-escalation* of the conflict by exercising its role as a third party in Cajamarca and the supporting the dialogue campaign in the national communication media. The role of third party permitted there being a bridge for intermediation of the UNDP and Father Garatea as dialogue facilitators at times where there was no communication between the national government and the Cajamarca Regional Government. Subsequently, the

project was a key in the relationship and communication between the Cajamarca Regional Government and the dialogue facilitators, Father Gaston Garatea and Monsignor Miguel Cabrejos. The project's dialogue campaign added to other efforts that encouraged national and regional authorities to persist in dialogue at moments when the resurgence of violence was imminent. These public and media initiatives, called "energies" by Caravedo, contributed to giving greater force to the trend of changes in the National Government such as the installation of the Dialogue Office and the change of focus in conflict management from the Conflict Prevention Unit to the National Office of Dialogue and Sustainability of the Presidency of the Council of Ministers. We emphasize that this change is thanks to the national government, but we believe that civil society and the difficult context at that time contributed to turning around the focus on conflict management.

- In Apurimac, the project developed a regional inter-regional intervention model and contributed to the strengthening of the Aymaraes Environmental Roundtable in conflict prevention, mainly in two conflicts in two watersheds located in the province (Los Chancas project in the sub-basin of the Antabamba river and the Tumiri environmental liability, located in concession of the Suyamarca company, sub-basin of the Chalhuanca River). Regarding the inter-institutional intervention model, it worked with the Technical Group on Mining and the Environment, assigned to the Regional Environmental Commission, so that the member sectors such as the Directorate of Energy and Mines, the Ombudsman, ATFFS (ex-INRENA), the Regional Government, Environmental Health and Environmental Prosecutor intervene together when there is a potential conflict in the district of Colcabamba due to the presence of the Apurimac Iron project (Apurimac Ferrum company). This process, facilitated by the project, was to work with the sectors at various stages of the process: planning the visit and clarifying the purpose, defining the indicators on the basis of various skills, the development and approval of the verification report, with contributions from the company and the community, and its subsequent presentation to the community, the company and the regional and local authorities. As a result of this learning and model, the Intervention Protocol on Socio-environmental Conflict Prevention was developed for the Technical Group.

In addition, we worked with the Environmental Roundtable to address the two cases mentioned. With respect to the Tumiri environmental liability, we contributed by addressing the conflict through a verification visit to the environmental liability and the incidence and articulation - from our role as third party - with the Inter-institutional Relations Manager of the Suyamarca Mining Company. With respect to the conflict over the Los Chancas project, we supported the community through a visit to the Presidency of the Council of Ministers and retaking the formation of the Roundtable of the communities of Tiaparo, Tapairihua and the company. In the most critical moments, when the community of Tiaparo refused to participate in the roundtable, the project played its role as a third party, encouraging the provincial authority to convene representatives of both communities - in historical disputes due to boundary problems. While the conflict persists, capacities were built in the Aymaraes Environment Assembly for Conflict Transformation.

- The National Leaders Network was formed and strengthened. Throughout the project, the network was supported in obtaining financing for their activities and developing their agendas. It thus found financing from the Belgian Technical Cooperation and the Canadian Embassy, for more than 140 thousand soles (S/.143,429.00). With these funds, the network formed its youth and women's commissions, and developed in a participatory manner the water and gender agendas and the proposal to strengthen participatory environmental monitoring in mining areas (annexes).
- A key achievement in the transformation of conflicts is the personal changes generated in the leadership in Apurimac, Arequipa, Cajamarca, Tacna and Moquegua, as presented in the assessment of objective 3. Some representative cases show evidence of these changes, for example, in Apurimac with Rosario Medrano, representative of the CCP (Confederation of Peruvian Campesino Communities), and Willy Vilca, president of the Federation of Antabamba Communities, and in Arequipa with Felipe Dominguez, president of FREDICON, and Gloria Armendariz. Male and female leaders that earlier publicly expressed opposition to the mining now have a better understanding of the activity and have links with people in the extractive sector.²⁰ This is not intended to return to those leaders in favor of mining, but to develop attitudes and skills in dialogue, maintaining a critical view, and having more tools to react to a conflict, and not just resort to protest actions.
- Five environmental monitoring committees received capacity building: Tambomayo and Orcopampa in Arequipa, Chalhuanca in Apurimac and Michiquillay and La Encañada in Cajamarca. The 5 committees have their work plans; most of them (4) have monitored the water quality with private resources and disseminated the results, contributing to building greater confidence between the people and the company, as well as the predominance of a new way to talk that is based on objective aspects and overcoming perceptions and subjectivities.
- Finally, achieving synergies among five institutions and NGOs with different approaches and roles in the face of conflicts and mining: some linked more with the company, others with the communities and defending rights, or who the neutral. This process of dialogue within the project permitted learning to achieve points of equilibrium and the synergies necessary among civil society actors to mitigate conflicts in mining areas.

²⁰ According to the survey of a sampling of trained men and women leaders, 86% have promoted dialogue and convened meetings, 97% seek information from public and private institutions during a conflict, and 81% have analyzed a conflict in order to better manage it.

V. On the hypotheses of learning

The Dialoga project was designed considering two central hypotheses, whose verification requires disaggregating them into the central variables or elements. Because of the complexity of social processes to which these assumptions respond, your verification is relative and may be partial.

HYPOTHESIS 1:

The multi-actor dialogue spaces under the principles proposed by Dialoga make it possible to address conflicts and are a good mechanism for transformation.

The analysis of the verification of this hypothesis will respond to the following variables:

a. The principles promoted by the project as background of the dialogue spaces:

This variable of the hypothesis represents one of the cornerstones of the project, as it proposed to promote qualitatively superior dialogue processes supported by a principled approach. This meant overcoming instrumentalist views and practices from which the State, companies and leaders participated in spaces generally for negotiation to move towards an understanding and implementation of genuine dialogue underpinned by principles.

From what was observed, we can affirm that it had direct impact on modifying the conceptual and evaluative schemes of the actors invited to the dialogue spaces:

- Fairness: It has been shown that strengthening the capacities of the actors and promoting reflection facilitates dialogue's being a process that benefits all those involved and is not used as a tool to legitimize partial interests.
- Human Rights: It has been shown that promoting development agendas for dialogue spaces and strengthening the capacities of the actors, promote dialogue spaces to have people in the center of supreme interest as subjects of rights and the constant search for better opportunities for their exercise.
- Transparency and accountability: There is evidence that the promotion of dialogue processes supported by principles makes transparent the interests of the actors involved and their ways to proceed with shared and consensual agendas.
- Good faith and integrity: It has been proven that overcoming the instrumentalist view of dialogue is only possible when the actors involved are appropriating, from the personal to the organizational levels, the principles underlying the process of genuine dialogue and, moved by these principles, act in good faith and integrity.
- Cooperation and participation: It was found that when establishing shared development goals, one can summon the cooperation and participation of different actors around these development goals.

- Consensus and co-responsibility: There is evidence that dialogue processes supported by principles have the ability to build consensus from conflict and have the power to establish agreements of co-responsibility.
- b. *The dialogue spaces as mechanisms to address conflict:*** Although the project does not state that the purpose of the dialogue is addressing conflict, it has been shown that in both means and end, dialogue processes are the best tool to manage conflict, incorporating equally leaders, organizations and various institutions.
- c. *Dialogue spaces as a mechanism for conflict transformation:*** It has been demonstrated that promoting genuine dialogue processes results in the transformation of conflict and even violence, processes of the management of development and / or the defense of rights. This transformation is recognized in three main features: the content of the agendas have purposes of development and therefore, benefit the majority. These agendas are long term and incorporate actors representing various sectors into the decision-making on equal terms.

HYPOTHESIS II:

Under the person-to-person and conflict transformation approach we promote, the actors who are reluctant to participate in multi-actor spaces (roundtables, thematic working groups, etc.), find in the dialogue spaces a space of much trust because an initial scenario of respect is generated that is later transformed into affection and friendship. From them, one can more safely start building substantive agendas.

To analyze the verification of this hypothesis, we focus the core of analysis on three variables:

- a. *Reluctant actors find scenarios of trust in the dialogue processes:*** There is evidence that, to the extent that dialogue processes transparently address conflict and to the extent that they are shown to be processes that seek the common good and equality opportunities for the exercise of rights, some actors who previously defended inflexible positions have played down these positions as a result of positive assessments and trust in the dialogue.
- b. *The initial scenarios of trust become effectiveness and friendship:*** The evidence generated by the project does not support the conclusion that this hypothesis II variable has been proven. While it has been observed that the dialogue processes have strengthened respectful and tolerant relationships, these have not necessarily transcended into the realm of friendship. In terms of effectiveness, neither has it been shown that the greater trust generated as a

direct effect, the effectiveness in achieving goals or agendas raised in the dialogue process. We believe that many other factors, in addition to trust, which have to do primarily with the political - institutional context, are involved in the effectiveness of the dialogue process.

- c. ***Friendship and effectiveness permits starting, more safely, the building of substantive agendas:*** It has been shown that respect, tolerance and, in general, the principles of the dialogue underlying the project's efforts, permit building substantive agendas. There is no evidence that friendship and effectiveness are prerequisites for this.

VI. Conclusions

The nature and status of conflict (latent, manifest, and crisis) requires an approach and role of a third party. The roles played by the project in latent conflicts were: bridge builder, trainer-teacher, facilitator, technical assistant-generator of ideas, vigilante, and in conflicts in time of crisis, articulator and good offices. These roles complement the work of the state that plays the role of mediator, negotiator, referee and guarantor. Thus, the project had a wide variety of roles in conflict prevention, but also during times of crisis (articulator and good offices).

The different strategies and roles performed for conflict mitigation outweigh the matter proposed by the project: the dialogue platforms. Capacity building [understood in its many forms, not only as the training program, but also as support, coaching, shared learning, educational visits, etc.], articulation of the various players, building bridges and promoting debate around development, are other supplementary strategies that helped mitigate the conflicts. This highlights the importance of aiming capacity building to building a network of links or a social platform of peace.

This is confirmed in the lessons learned from Conga, where the previous cabinet ministers showed little interest in transforming the relationships. On the contrary, it seems that it tried to tire and delay the sector opposed to the project. In this context of secrecy in the two authorities (national and regional), there was a need for a local force that would promote change. Although CARE contributed to this logic, along with the facilitators, it did not find support from other organizations due to the polarization, preventing there being a force for change. In that sense, the decision to address the Conga conflict was correct, but also created the need to reorient the other activities (monitoring committee and the training process) to that area.

All the cases of conflict addressed contributed to the mitigation directly or indirectly and in the context of a series of interventions. It is difficult to measure the contribution of the project due to the complexity of the scenario and the interactions. We can even show a change in the reactions of the public when facing conflict. For example, in Aymaraes, the Environmental Roundtable was created as a result of the agreement made between the Ares company and the organizations of Chalhuanca, then the latter took over the camp and called for social mobilization when it found evidence of dead trout in the river. At that time, there was no evidence of the relationship between the dead trout and the company. Years later, in 2013 a spill occurred from one of the company pipes and, although the population rejected this, there were no demonstrations that sharpened the scenario. On the contrary, the Environmental Roundtable and respective sectors conducted inspections in the area of the spill. We see the same id when we compare the 2004 and 2013 protests around informal mining.

We want to emphasize the valuable personal changes by the leaders themselves. Aspects that need to be worked deeply and effectively in appropriate places and times. Despite this progress, the leaders have reacted to the conflicts by looking for information and promoting opportunities for dialogue with the companies. By

participating in these spaces, the lack of clarity in the proposals prevented the leadership from achieving results in many cases. Thus, one conclusion is that the personal, relational and technical-programmatic aspects were not worked in the same way to permit identification of the competencies of the state sectors and having the ability to develop proposals.

Another aspect recognized by leaders was the need to decentralize the training program, which had budgetary constraints. In conflicts, it is a breakthrough to have dialoguing leaders who are energies of change, but in time of crisis, polarization dilutes the energy of leaders. We stress once again the importance of building peace platforms in the communities themselves and decentralizing the training programs.

The project focused its activities on capacity building and building linkages for conflict mitigation, which was achieved with the support of various actors and partners. On the basis of evidence, it is necessary that all activities aim at building a peace platform that permits this social energy to transform at all stages of the conflict (latent, manifest and crisis) without dispersing forces and resources that span multiple areas. This work of a third party from civil society prepares the conditions and effectively complements the work of the State in its various roles (facilitator, negotiator and supervisor) to effectively mitigate conflicts and even transforming them by combining short and medium term interventions.

VII. Recommendations

- a) The evidence in this report shows the various roles that the NGOs and civil society can play around socio-environmental conflicts, roles like third parties necessary for conflict mitigation, complementing the traditional role of NGOs as advocates of human rights. This range of roles played by Dialoga required creating synergies and complementarities with specialized State agencies such as the National Dialogue on Dialogue and Sustainability of the PCM and the Office of the Ombudsman. The State has a fundamental role in the areas of negotiation and dialogue among the company, the community and the society - including NGOs - providing previous and parallel actions that help to develop personal skills and generating linkages between conflicting actors in areas that surround the inherently tense scenario of negotiation, which improves the conditions for negotiation processes.

Understanding this complementarity of roles also deepens the understanding of the complementarity between dialogue and negotiation. The first is conducted during the entire relationship, whereas negotiation is the relationship - within a space - aimed at reaching agreements. This second point required prior work on the conditions of dialogue: personal transformations, recognition of the other and generating linkages, without yet reaching agreements. This prior stage requires the good offices of civil society.

- b) The gender approach permits recognition of women as agents of change in development. In the negotiation process, even in communities, the women's agenda is not recognized, nor their demands or requirements. It is essential to recognize the gaps and promote the empowerment of women in the political and organizational aspect.
- c) In order to mitigate conflicts, civil society projects should guide all activities within the same perspective: building a platform of social peace, i.e., a network of linkages of leaders from various sectors with transformative and dialogic capabilities. As discussed in the conflicts that were addressed, the success or effectiveness of the intervention of civil society will depend on the levels or intensity of the energy of the peace platform, determined by the number of linkages and the transformational quality of the leadership.
- d) It is difficult to determine models for conflict mitigation from civil society, due to the complexity of the conflicts, each with its own peculiarities and contexts. However, the identification of axioms for intervention, the product of empirical experience, is presented as the best alternative. In this sense, after analyzing the project experience, it addresses the following function for the mitigation of conflicts from civil society: $f_{(x)} = p \cdot r \cdot e \cdot f = x$, where mitigation of conflicts (x) requires improvement of personal (p), relational (r), and structural conditions (e), and facilitating bridges among the conflicting actors (c).

- e) The coordinated and multi-sectoral State action in the face of a socio-environmental conflict has an impact on the trust of the population, compared with unilateral interventions in each sector. Proof of this is the impact of the intervention of the Technical Group on Mining and the Environment in the district of Colcabamba (2011) and the visits to the spill of pipeline tailings of the Suyamarca company in the community of Iscahuaca, Aymaraes (2013).

In the first case, the inspection was collective, the sectoral reports are joined in a single report elevated to the Regional Environmental Commission, the regional president and presented to both the community and the company. This report, with official data, reduced certain fears in some sectors of the population and generated trust in the State entities. Rather, the OEFA still fails to present the results of its inspection visit, increasing the uneasiness in the town of Chalhuanca. Thus, the main advantage of the collective intervention is that it allows the monitoring and advocacy among public and private institutions to respond to the need of the State by the population.

VIII. Summary of indicators

PROJECT OBJECTIVES	INDICATOR	Description of the indicator	Goal	Baseline / Targets	Año fiscal Set 2011	Año fiscal Set 2012	Results at the end of the project. (September 2012 to September 2013)
USAID Indicators (General)	1. Number of Civil Society Organizations using USG assistance to improve internal organizational capacity	The indicator will measure the number of organizations participating in the dialogue platforms in the 4 departments.	80 organizations	0/20 80	0/20	31/50	84/80 organizations are participating in the dialogue platforms.
	2. Number of participants in USG-funded programs supporting participation and inclusion of traditionally marginalized ethnic minority and/or religious minority groups	The indicator will measure the number of participants attending dialogue platforms in the 4 departments.	240 participants	0/60 240	0/60	122/120	240/240 participants in the platforms.
Objective 1: One national and three local dialogue platforms on mining issues legitimized.	Three cases of conflict are channeled through three regional platforms and one national dialogue platform, which contribute to their mitigation.	One national platform: Dialogue Group on Mining and Sustainable Development (GDMDs). Three regional platforms in Cajamarca, Apurimac and Arequipa. The definition of the cases will be made on the basis of the report obtained from the baseline and from that recognized by the Ombudsman.	4 conflicts addressed	0/4	0/4	7/4	5 cases of conflict (5/4) - Colcabamba: Apurímac Ferrum and the community / Technical Group on Mining and the Environment of Apurímac - Chalhuanca: Social organizations of Chalhuanca and the company Suyamarca / Aymaraes Environment Assembly.

							3) Arequipa: Cerro Verde plant expansion / South Dialogue Group of Arequipa. 4) Cajamarca: Conga Project. 5) National: Informal mining.
Result 1. Strengthening and expansion of the multi-stakeholder dialogue platforms at the national and local levels	One National Platform (GDMDS) and 3 Regional Platforms in Cajamarca, Apurímac and Ayacucho are functioning.	The platforms each meet every three months and national and regional government authorities participate, along with community leaders, business leaders and opinion leaders from academia and the communications media that are related to mining, environment and development.	4 platforms operational	0/2	1/4	4/4	5 dialogue platforms (5/4). 1) National: Mining and Sustainable Development Dialogue Group. Frequency: each 2-3 months. 2011: 5 meetings 2012: 5 meetings 2013: 2 meetings. Participants: State (9%), Community (31%), Company (19%) 2) Arequipa: South Dialogue Group on Mining and Regional Development. Frequency: each 3 months. 2011: 6 meetings 2012: 4 meetings 2013: 1 meeting. Participants: State (31%), Community (36%), Company (18%). 3) Apurímac: Technical Group on Mining and the Environment. Frequency: each 3 months. 2011: 8 meetings 2012: 5 meetings

							2013: 3 meetings. Participants: State (23%), Community (39%), Company (38%). 4) Apurímac: Aymaraes Environment Assembly. Frequency: each 3 months. 2011: no activity. 2012: 7 meetings 2013: 2 meetings 5) Apurímac: Apurímac dialogue collective Frequency: each 6 months. 2011: no activity. 2012: 2 meetings 2013: 1 meeting Participants: State (19%), Community (71%), Company (3%)
Objective 2. Preliminary dialogue platform on oil, gas and the Amazon region (with emphasis in Cusco) validated	5.- Platforms in Lima and Cusco on oil, gas and the Amazon region are functioning.	The Cusco and Lima platforms will meet three times annually (beginning in Year 2). Government authorities, representatives of social organizations, business and academic leaders and mass media representatives will participate. At the national level, bases will be established for the implementation of a similar process with multiple stakeholders associated with oil and gas, based on the DGMDS experience.	4 cases reports in Lima y Cusco	0/1 en Lima y 1 en Cusco 3 en Lima y 3 en Cusco 4 en Lima y 4 en Cusco	0/1 reuniones en Lima y Cusco	2/3 reuniones en Lima 3/3 reuniones en Quillabamba Cusco	3 meetings in Lima. 2 meetings in Cusco.

Result 2. Strengthen and expand multi-stakeholder dialogue platforms at the national and local levels to help mitigate and transform conflicts associated with the mining and oil & gas industries.	6. Number of regional leaders that recognize the regional platform (in Cusco) by Camisea Gas, for contribute to conflict mitigation.	Recognition is expressed as satisfaction with the functioning of the process.	50 leaders	0/20	20/20	80/50	30/50
				50		Reconocen necesidad de construir espacio	
				50		15/50	
	7.- Key stakeholders participate in a national platform (Lima) on oil, gas and the Amazon region.	Stakeholders share principles with respect to the creation of a space in Lima to discuss issues of oil, gas and the Amazon region as vital steps to promote dialogue and support the mitigation and/or transformation of conflicts in these sectors.	50 leaders	0/20	20/20	Piden apoyar diálogo en Camisea	20/50
				50			

Objective 3: Numerous stakeholders acquire social learning skills and abilities in conflict mitigation and transformation.	Leaders from campesino and indigenous communities and social organizations use capacities learned as agents of change in spaces that contribute to the mitigation of conflicts.	A training program will be designed using validated methodologies of conflict transformation. A program will be designed that is agreed upon with GDMDS coordinators.	150 leaders trained	0/20 0/80 0/150	20/20	72/80	172 leaders trained during at least 32 classroom hours (172/150) Cajamarca: 79 male and female leaders Apurímac: 59 male and female leaders Arequipa: 34 male and female leaders Of the universe, a sample of 75 people was taken, of which 97% replicate what has been learned, 86% convene dialogue meetings, 97% look for information during a conflict, 81% analyze it.
Result 3: Promote changes in attitudes and relations among key actors in the mining, oil, and gas sectors so they assume the role of agents of change in situations of conflict.	Women and men in areas of mining, gas, and oil activity develop several capacities that are conducive to conflict transformation. Social, business and government leaders that participate in the GDMDS give testimony on the change in their attitudes and	They are committees in the area of the project, composed of community actors, businesspersons and others, recognized by the regional and / or local authority and that work with protocols that have been agreed upon by consensus. At the national level is the National Network of Participatory Environmental Monitoring and Surveillance.	200 leaders have generated changes in attitudes and relations	0/30 0/100 0/200 0/10 0/30	30/30 10/10	122/100 66/30	172 male and female leaders have effected changes (172/200) 54 testimonials of change (54/60). Apurímac: 24 testimonials Cajamarca: 20 testimonials. Arequipa: 10 testimonials

	relations, which are conducive to positive transformation of conflicts.			0/60			
Objective 4: Consensus-based practices that bring together multiple stakeholders for management of water and land resources.	Three monitoring committees and a national network of monitoring committees are recognized by key actors to monitor, inform on, and disseminate periodic monitoring results.	They are committees in the area of the project, composed of community actors, businesspersons and others, recognized by the regional and / or local authority and that work with protocols that have been agreed upon by consensus. At the national level is the National Network of Participatory Environmental Monitoring and Surveillance.	4 monitoring committees	0/1 0/4 0/4	1/1	7/4	6 monitoring committees. (6/4) Arequipa: (3) Orcopampa committee, Tambomayo committee and Environmental Committee of the District of Cháparra. Apurímac: (1) Chalhuana and Aymaraes. Cajamarca: (2) Michiquillay and La Encañada.
Result 4: Multiple stakeholders promote new institutional agreements associated with environmental resource management in mining areas.	100 key stakeholders sign the National Agreement for Water and/or regional agreements associated with sustainable water management.	They are national government authorities, community leaders, business leaders and opinion leaders from academia and the communications media, etc. that are related to mining, environment and development.	100 persons sign the water agreement and/or regional agreements	0/20 0/50 0/100	0/20	0/50	(3/1) Progress was made in the elaboration of 3 agendas, with 42 subscribers (42/100): 1) Proposals on the EIAs and the public participation in the mining sector, with 42 subscribers. 2) Proposal on environmental surveillance and monitoring. 3) Project proposal for the Intervention in environmental conflicts for the Mining and Environmental Technical Group.