



EVALUATION SUMMARY

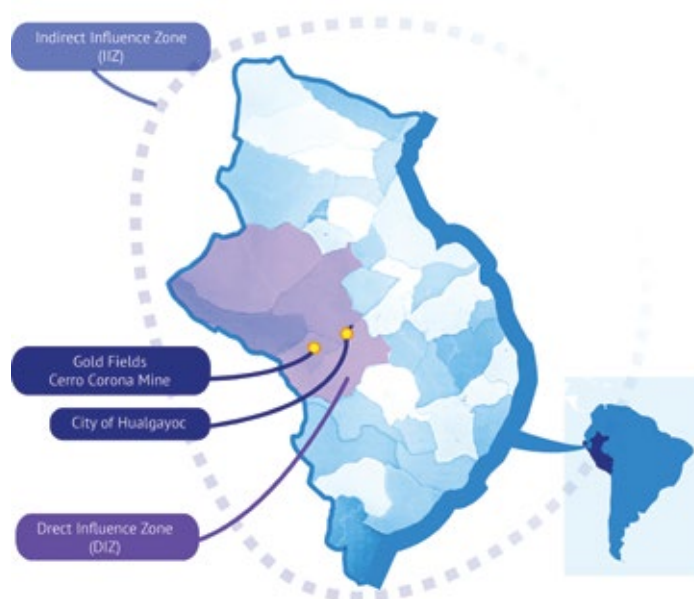
CIVIC PARTICIPATION INITIATIVES IN PERU

Lutheran World Relief (LWR) contracted Flux R.M.E. to evaluate the contribution of the civic participation component to agriculture productive component in the REDyPAC project¹ that supported dairy producers in Hualgayoc, Peru between 2009 and 2015. The evaluation was conducted from May through October 2016. The resulting evaluation report provides recommendations for the development of interventions in the region as well as broader learning on the intersection of civic participation and production in agriculture programs.

PROJECT SUMMARY

REDyPAC was established in Hualgayoc, a district in northern Peru, in 2009 as a partnership between Gold Fields, a mining company, LWR and CEDEPAS Norte², LWR's local implementing partner organization. The first two phases of REDyPAC, 2009-2015, included both a 'productive component' aimed at raising the income of 420 dairy producing households and a 'civic participation component' aimed at building the leadership capacity and the quality of management in local governance in at least 20 villages.

MAP OF REDYPAC INTERVENTION AREA*



* REDyPAC serves the residents of 40 villages (caseríos) in the district of Hualgayoc, Cajamarca Province, Peru. Five of these villages fall within the Direct Influence Zone (DIZ) of the Gold Fields Cerro Corona operation (Tingo, Pílancones, Coymolache Alto, Coymolache Bajo and as of 2012, La Cuadratura). All villages are within the Indirect Influence Zone (IIZ) of the mine, which is more loosely defined as "The city of Bambamarca and the communities located in the Tingo, Maygasbamba and Arascorgue watersheds..." (Source: <http://www.GoldFields.com.pe/include/html/paginas/gold-fields-la-cima-historia.php>). The DIZ and IIZ are defined under Peruvian law (see Decreto Supremo 040-2014-EM).

1. REDyPAC stands for Promotion of Business Networks and Civic Participation to improve rural livelihoods in Hualgayoc (Promoción de Redes Empresariales y Participación Ciudadana para mejorar ingresos campesinos en Hualgayoc).
2. CEDEPAS stands for The Ecumenical Center for Social Promotion and Action (Centro ecuménico de promoción y acción social).



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EVALUATION METHODOLOGY

The evaluation targeted the question: How and to what degree did the civic participation component of REDyPAC contribute to the achievement (or not) of the results of the productive component?

The evaluation consisted of two phases, an Inception Phase (Evaluability Assessment) and an Implementation Phase (Contribution Analysis, CA). The evaluation team:

1. Set out the attribution problem to be addressed
2. Developed a Theory of Change (ToC)
3. Gathered the existing evidence on the ToC
4. Assembled and assessed the contribution story (i.e. how the civic participation component contributed to the productive component)
5. Sought out additional evidence
6. Revised and strengthened the contribution story

The findings of the evaluation rest on the following types of evidence (fieldwork took place during both Inception and Implementation phases):

- Desk review
- Semi-structured interviews
- Participatory exercises
- Observation
- Attendance lists (descriptive statistics)

The evaluation faced the following limitations:

- Gold Fields was unable to fully participate in the evaluation.
- The period of examination reached back to 2009, which is a long recall period.
- Community members had difficulty distinguishing between different CEDEPAS interventions.
- The attendance records had misspellings and missing information.

“A multi-staged recruitment strategy was developed which leveraged the civic participation component at several moments in different ways and succeeded in dramatically growing participation as of 2010.”

SUMMARY OF FINDINGS

The evaluation revealed four Contribution Channels (CC) of influence running from the civic participation component to the productive component. The evidence suggests that while all these mechanisms were present in REDyPAC, their strength was varied and often specific to certain stakeholders.

CC1: Fomenting conditions necessary for the productive component to function uninterrupted.

CC2: Attracting and retaining participants in the productive component.

CC3: Increasing chances that participants would sustainably apply learnings and resources provided by the productive component.

CC4: Improving sustainability of gains made by participants in the productive component by developing participatory governance systems able to address needs outside the scope of the productive component in an effective and coordinated manner.

SPHERE OF CONTROL: RECRUITMENT & PARTICIPATION

Participation in REDyPAC, which peaked at 1,492 people in 2012, totaled 4,327 people for all six years. The proportion of participants in the civic participation component in their 20s and 30s grew from 20% in 2011 to 52% in 2014. The evidence indicates that recruitment was a multi-staged endeavor in which both components played a key role at different moments.

- a. Capacity-building with the implementation team strengthened key competencies essential to gaining acceptance and then trust of local authorities and community leaders.
- b. A few local authorities brought in by the civic participation component were key in disseminating invites to the activities of both REDyPAC components.

c. With community leaders, the concrete benefits of the productive component provided a gateway to recruit them into the civic participation component.

d. Eventually, participants in the civic participation component became megaphones/recruiters for both components.

LOCAL AUTHORITIES

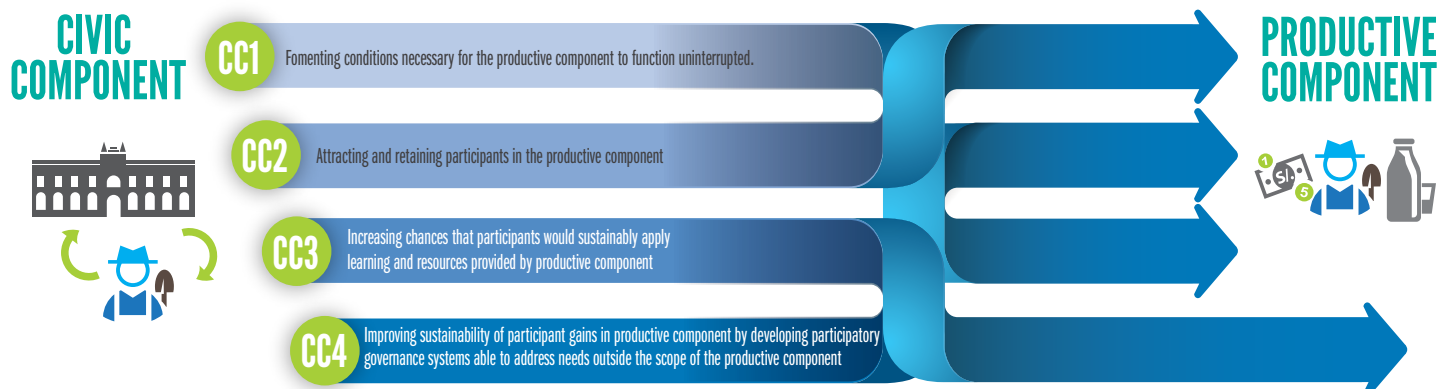
Several factors contributed to the implementation team's difficulty in developing strong ties with authorities in the municipal government:

- The lack of a culture of collaboration within the municipal government.
- The mayor who intentionally maintained a distanced relationship with REDyPAC and chose to prioritize infrastructure projects.
- Concern from government officials that REDyPAC would foment critiques for providing services that were ostensibly the responsibility of the municipal government.
- The loss of key champions within the municipality, especially after municipal elections; the timing of REDyPAC's phases also further aggravated this factor.

Gold Fields and its Sustainable Development Office worked to develop an increasingly supportive and participatory attitude towards REDyPAC's management.

CONTRIBUTION CHANNELS

Four broad channels through which REDyPAC's Civic Participation activities contributed to the achievement of results in the Productive Component.



COMMUNITY LEADERS

Participant recruitment for the civic participation component and the productive component (but especially the former) was impeded early on due to:

- Limited staff capacity (implementation team);
- A restriction to the villages within the Direct Influence Zone (DIZ) close to the Gold Fields Cerro Corona operation, which is well served by other similar interventions.

The recruitment strategy evolved to address these issues and succeeded in dramatically growing participation, starting in 2010 (CC2). The implementation team focused their efforts on retaining participants who were consistent and committed in lieu of expanding participant numbers simply for expansion's sake. The civic participation component did, however, experience a high attrition rate due to:

- Some misunderstandings amongst community leaders about the REDyPAC project;
- The cost of participation, mainly in terms of travel time required to attend workshops;
- An increasingly transient population.

SPHERE OF INFLUENCE: OUTCOMES

LOCAL AUTHORITIES

Since municipal governments are generally thought to hold less sway over development interventions than mining companies in Peru, the implementation team initially included only a small number of municipal authorities.

Overall, REDyPAC did not generate a core group of local authorities committed to participatory governance because of:

- Turnover of committed individuals;
- Distanced attitudes of key power-brokers;
- Institutional resistance to genuinely committed participatory management.

REDyPAC did not fully achieve its goal of creating new spaces for participatory governance in Hualgayoc.



COMMUNITY LEADERS

For the core group of community leaders that remained involved with REDyPAC, the civic participation component:

- Strengthened their capacity to address issues in an open, solution-focused manner;
- Instilled the confidence necessary for some participants to take on leadership roles;
- Provided technical knowledge about legal issues, budgets and project management to be used to form more realistic, actionable proposals within participatory governance spaces and beyond them.

Women's involvement in the civic participation component was closely balanced with men's, in terms of both the number of participants and the quality of participation. This is in contrast to the productive component where women strongly dominated. However, cultural gender-based barriers remain high. The evaluation found only weak and indirect evidence that women's participation in REDyPAC has contributed to encouraging women to take up leadership positions.

SPHERE OF CONCERN: IMPACTS

GOVERNANCE

Although the civic participation component did not inspire dramatic improvements in participatory governance in Hualgayoc, some of the pre-conditions for that change did manifest in the following ways:

- There is strong evidence that improved project proposals supported by REDyPAC's capacity building with leaders gave rise to new productive projects. These new projects were concentrated (as were the gains in capacity among individual community leaders) in a few villages, especially La Tahona. Community leaders trained by the civic participation component also took on a more active role managing the implementation of these new projects.
- Community leaders have demonstrated their new capacity through alternative channels, such as meeting with regional and national bodies as well as with mining company representatives.
- Capacity building with local authorities played a minor but necessary role in the ongoing movement towards systematic coordination and prioritization of local development projects within the municipality.



“The civic participation component of REDyPAC contributed significantly to the achievement of the results of the productive component.”



CONFLICT

Preventing large-scale conflict between community members and mining companies is a prerequisite for the productive component of REDyPAC to function (CC1). The civic participation component contributed to reducing the propensity of conflict escalation to mass mobilization and violence. However, gauging the strength of this contribution is difficult given the large number of parallel contributing factors and the inherent difficulties of eliciting evidence to the contrary.

The evidence clearly indicates that the strength of the relationships between the community leaders and the implementation team, built in large part through the civic participation component, served to sustain REDyPAC, allowing both components to pick back up in the wake of external shocks.

CONCLUSION

The civic participation component of REDyPAC contributed significantly to the achievement of the results of the productive component. The contribution had various facets that manifested in a layered, time-ordered succession.

WITHIN HUALGAYOC

The REDyPAC civic participation model, especially the Leadership School, empowers those who are presumably already the highest-capacity leaders in the community.

The subtle work of building and maintaining relationships with key community leaders should continue as an explicit, active piece of the suite of NGO interventions in Hualgayoc. This work is necessary to permit the uninterrupted functioning of economic development projects and indirectly contributes to their scaling and sustainability.

LWR's programs should dedicate more resources to creating ties between participants in Hualgayoc and outside communities that have experience with successfully developing participatory governance. Components of this relationship-building could include field trips or exchange visits accompanied by regular conference calls.

CEDEPAS' governance program deserves continued support. Deepening participatory governance will complement economic development programs like REDyPAC Phase III by ensuring that participants are able to advocate for and access additional forms of support, increasing the likelihood that economic gains like increased income will be integrated into broader development gains (CC4).

Under the same premises, LWR should model a participatory approach in program design, implementation and assessment.

BEYOND HUALGAYOC

Findings from this evaluation should be generalized with caution. However, particularly regarding recruitment models for similar projects, LWR should choose a model with equal awareness of its risks as well as benefits. While the evidence from this evaluation supports the appropriateness of the REDyPAC model for the context of this project, increased attention should have been paid to its inherent risks, including:

- It is staged and gradual, allowing time for more risks to arise, including regional conflict;
- Inequality (in leadership capacity) will increase at first;
- Little can be done to address rabble-rousing leaders in the early stages, opening the opportunity for them to continue escalating conflicts in the region;

The evaluation has the following additional recommendations for LWR:

- Plan recruitment in overlapping stages. In Andean cultures with strong 'for all' (para todos) values, an initial canvas of 100% of leadership bodies is a crucial first step, even if it is done with the knowledge that most may refuse or quickly drop out.
- Increase the amount of time expected to achieve a given scale of participation. The synergies between productive and civic participation components (in terms of recruitment) take months or even years to fully manifest.
- Capacity-building with implementation staff to work on self-presentation, negotiation and conflict resolution should not be a one-off activity.
- Do not assume that more staff will allow for larger scale and greater impact.





CONSIDERATIONS FOR IMPLEMENTATION

LWR MANAGEMENT RESPONSE

Overall, LWR Peru agreed with the evaluation findings for the REDyPAC project. The evaluation was particularly useful because it formally documented and confirmed various hypotheses stated during the six years of the project. An important aspect of this evaluation was the use of the Contribution Analysis methodology that gathered data from different sources, including surveys, interviews, focal groups and observations. From the LWR Peru office's perspective, the evaluation process itself has been as informative as the actual findings.

EVALUATION ACTION ITEMS

The following recommendations from the evaluation will be considered and applied or continued as appropriate to LWR's existing and future projects in areas with high prevalence of social conflict:

- Work with community leaders to meet objectives in development projects, particularly in areas that are vulnerable to social conflict. Also, integrate strategies to work on citizenship and conflict resolution.
- Distribute resources to support the development of local leaders. For example, invest in exchanges and internships with different community members so they can share success stories.
- Include strategies in project design for strengthening project partners' management practices.

- Include citizen participation and leadership components in project's design and in the initial assessment of the project. Understand the problems, causes and effects related to these factors.
- Allow some resources and time to integrate citizen participation in project implementation.
- Make alliances with academic institutions (universities, research centers) to identify experts that could support and advise LWR project design and evaluation.
- Since the synergies between productive and civic participation components take months or even years to fully manifest, they should be considered crosscutting components among different projects, similar to the themes of gender equality and environmental sustainability.
- Ensure the development of strong relationships between technical staff and target communities as was successfully done in this REDyPAC project.

ORGANIZATIONAL LEARNING

This research contributed to deepening LWR's knowledge about the relationship between production and citizen participation in projects located in areas with high prevalence of social conflict.



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Photos by Morgan Arnold for LWR.