

Project

**“PROMOTING A SUSTAINABLE LAND
MANAGEMENT IN LAS BAMBAS” (APURÍMAC)**

2011-2014

MID-TERM EVALUATION

Final Report

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Lima, November 2014

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EXECUTIVE SUMMARY

The Final Mid-term Evaluation Report of the Project “Promoting a Sustainable Land Management in Las Bambas” is presented. The basic information of the project, its costs, involved partners, among other information, is shown in the next synoptic table.

Project synoptic table

<i>Project title: Promoting a Sustainable Land Management in Las Bambas</i>			
FNAM Project ID:	<i>No. 3821</i>		At the approval point (USD millions)
UNDP Project ID:	<i>00070894</i>	FNAM funding:	4
Country:	<i>Perú</i>	IA and EA possess:	0.2 (UNDP)
Region	<i>Peru Center/South</i>	Government:	0.2 (MINAM)
Area of interest:	<i>Environment and Sustainable Development</i>	Other: SOBAMFU	10
		Other: Xstrata	0.714916
		Other: Global Mechanism (NGO)	0.1
		Other: COSUDE (NGO)	0.311
Operative program:	<i>Development of social and economic opportunities</i>	Total co-funding:	11.125916
Execution organisms:	<i>MINAM</i>	Total project expense:	15.525916
Other involved partners:	<i>FOSBAM, XSTRATA, World Mechanism (NGO) COSUDE (NGO)</i>	Project document signature (Project start date): 2011	
		Closure date (operative):	Proposed: 2014

Project description

The project “Promoting a Sustainable Land Management in Las Bambas” is located in 12 districts of the Cotabambas, Grau, and Antabamba provinces (Apurimac Region). The project started in 2010, has a duration of 5 years, and benefits 2500 families settled in 3 provinces, 12 districts, and 23 communities of the Apurimac Region.

The Project develops in an environmental context affected by desertification processes from a decade ago; a context, which during the 80s had to bear the violence from armed groups, and has the presence of formal and informal mining activities, causing a changing process of land use and the modification of cultural patterns in traditional ancient societies.

Towards such situation, the project proposes “*To achieve an effective collaboration among the private sector, the government (at local, regional, and national levels), and*

local communities for supporting a sustainable land management (SLM), in areas such as Las Bambas, which are characterized by high land degradation levels and poverty, and have corporate social responsibility funds available”.

Evaluation qualification table

Criteria	Qualification	
Follow-up and evaluation (F&E): Very Satisfactory (VS), Satisfactory (S), Somewhat Satisfactory (SS), Somewhat Unsatisfactory (SU), Unsatisfactory (U), Very Unsatisfactory (VU)		
General F&E quality	5/6	S
F&E design at the Project begining	5/6	S
F&E plan execution	4/6	SS
IA and EA execution: Very Satisfactory (VS), Satisfactory (S), Somewhat Satisfactory (SS), Somewhat Unsatisfactory (SU), Unsatisfactory (U), Very Unsatisfactory (VU)		
General quality of Project aplication and execution	5/6	S
Aplication organism execution	5/6	S
Execution organism execution	4/6	SS
Results: Very Satisfactory (VS), Satisfactory (S), Somewhat Satisfactory (SS), Somewhat Unsatisfactory (SU), Unsatisfactory (U), Very Unsatisfactory (VU)		
General quality of Project results	5/6	S
Relevance: relevant (R) or non relevant (NR)	2/2	R
Effectiveness	5/6	S
Efficiency	5/6	S
Sustainability: Probable (P), Somewhat Probable (SP), Somewhat Improbable (SI), Improbable (I)		
General probability for sustainability risks	2/4	SI
Financial resources	2/4	SI
Sociopoliticals aspects	3/4	SP
Institutional framework and governance	3/4	SP
Environmental aspects	2/4	SI
Impact: Considerable (C), Minimum (M), Insignificant (I)		
Improvement in environmental status	3/3	C
Reduction in environmental tension	3/3	C
Progress to the change of tension and status	2/3	M
Proiect general results	5/6	S

Source: Own elaboration

Summary of conclusions, recommendations, and lessons

Among the main findings, it can be mentioned at the moment of the evaluation that the SLM project has achieved goals and a satisfactory level of accomplishment in terms of indicators and activities (almost 90%). The most successful component is the one related to institutional capacity building, followed by the capacity building in technological agro-ecological topics and optimal water usage; the less successful component is the one related to the interactions among the main actors of SLM in the project area.

One of the central recommendations is to highlight that it is important that the SLM complete activities related to the third result, namely, the interactions among the main actors involved, and that it build a discussion on SLM for the region, based on the concepts that conform the Project title: Management, land, and sustainability for Cotambambas, Grau, and Antabamba; finally, the project should introduce the proposal of harmonious relationships among the community actors, the private sector (mining enterprises), and the government (at local, regional and national levels).

Among the lessons learnt, it is important to have a “roadmap” that allows to keep an order according to the importance of the results of the Project; to have a strong monitoring system that allows to incorporate in a short time the modifications or changes that come into view; to formulate and plan the time to dedicate in the final phase, the objectives that involve the private sector and the government (at local, regional and national levels); and to consider the internships as a methodological strategy of great impact.

ACRONYMS AND ABBREVIATIONS

LCC	Local Coordination Council
VC	Vigilance Committee
FOSBAM	Social Fund Las Bambas (Spanish acronyms)
GEF	Global Environment Facility
HDI	Human Development Index
MINAM	Ministry of Environment (Spanish acronyms)
MINCETUR	Ministry of External Commerce and Tourism (Spanish acronyms)
SLM	Sustainable Land Management
NPD	National Project Director
CDP	Concerted Development Plan
PMU	Project Management Unit
UNDP	United Nations Development Program
PPbR	Result- based Participatory Budget (Spanish acronyms)
PRODERN	Program of Sustainable Economic Development and Strategic Management of Natural Resources in Apurimac, Ayacucho, Huancavelica, Junin, and Pasco (Spanish acronyms)
SERNANP	National Service of Protected Natural Areas by the State (Spanish acronyms)
F & E	Follow-up and Evaluation
SNIP	National System of Public Investment (Spanish acronyms)
UNDAF	United Nations Development Assistance Framework
EEZ	Economic Ecologic Zonification

1. INTRODUCTION

1.1. Evaluation purpose

To show the achievement progress of the results posed for the Project “Promoting a Sustainable Land Management in Las Bambas”, in order to amend, improve, and define methodologies to guarantee the accomplishment of the objectives proposed for the project.

1.2. Key questions addressed

The questions were framed in the three main results of the Project. The interviews were separated according to the actors involved. Open interviews were undertaken with organisms, institutions, and peasants, in an effort to talk about the natural and social context and the project in a spontaneous way, to avoid influencing the answers. It was notorious that the less addressed theme by this group of actors was the relationship with the private mining extractive activity. It is important to point out the good and great memories that they have, especially from the activities related to the capacity building (workshops, courses, meetings, and, even more, the exchanges and missions to other areas). The relationship with the SLM team was one of the other great themes. The interviews finished with a request of recommendations for a potential next phase of the SLM project.

The key questions addressed with the current local projects in the region were related to the project profile; in other words, how the SLM differs from the other projects that currently work in the same area.

With the national level actors, the topic was similar, pointing out the one related to the component of a proposal for a relationship among the communities, the private sector (mining enterprises), and the government (at local, regional, and national levels).

1.3. Evaluation methodology

The methodology for collecting information was based on two kinds of sources:

- Secondary information: Documents provided by the SLM Project team, Internet available material, and the information collected in the Apurimac and Cusco Regions.

- Primary information: Interviews with key actors involved directly and indirectly at the local, regional, and national levels. Collection of field information (*in situ*), for verifying data, actors, and experiences reported by the project.

The evaluation categories were proposed by the GEF-UNDP Evaluation Guide and the terms of the GEF “Consultant Code of Conduct” was accepted (see Annex 7).

Sequence of the collection of information:

a) Collection of secondary information

Information about the Project was received, including base project documents, publications, presentations (ppt), systematizations, interviews, press releases, among others.

b) Collection of information by work area

A visit to the project area (Cotabambas, Grau, and Antabamba provinces) was scheduled from 21st to 26th July, including interviews in Cusco city; then, additional interviews were undertaken in Lima city during August, with PRODERN, Xtrata, and MINAM (see Annex 1).

Interviews

About 46 interviews took place with actors involved directly and indirectly in the project, from 13 institutions that work in the Project area, in the region, and at a national level (see tables 1 and 2). The interviews took place from July 24th to November 7th, 2014.



Interviews in the Yuricancha community (July, 2014)

Table 1. Total number of institutions and people interviewed

Nº of institutions	Nº of people
13	43

Source: Own elaboration

Table 2. Detail of communities and institutions interviewed

Institution or Community	Number of interviews	Date
Yuricancha community	7	21/06/2014
Coyllurquie City Hall	1	22/06/2014
Acpitan community	6	22/06/2014
Pfaco community	2	22/06/2014
Oropesa and Totorá Communities	16	23/06/2014
Apurímac regional government	1	23/06/2014
PACC Abancay	2	24/06/2014
Abancay SLM	3	24/06/2014
Graú province City Hall	1	24/06/2014
COPYME Graú province	1	24/06/2014
PRODERN Cusco-Apurímac	1	26/06/2014
PRODERN (Lima)	1	12/07/2014
MINAM (Lima)	1	15/08/2014

Source: Own elaboration

1.4. Evaluation structure

The preset report keeps up with a structure according to the GEF-UNDP Project Evaluation Guide¹ (Executive summary, introduction, Project description and evaluation context, findings, conclusions, lessons and recommendations, and annexes), and is based on the analysis of secondary quantitative information and primary information according to the perceptions of the actors involved directly and indirectly at local, regional, and national levels (see Annex 4).

¹1) UNDP Evaluation Guidance for GEF-Financed Projects. Version for External Evaluators (Final Draft, March 17th, 2011) & 2) Guidelines for GEF Agencies in Conducting Terminal Evaluation Document No. 3 2008

2. PROJECT DESCRIPTION AND EVALUATION CONTEXT

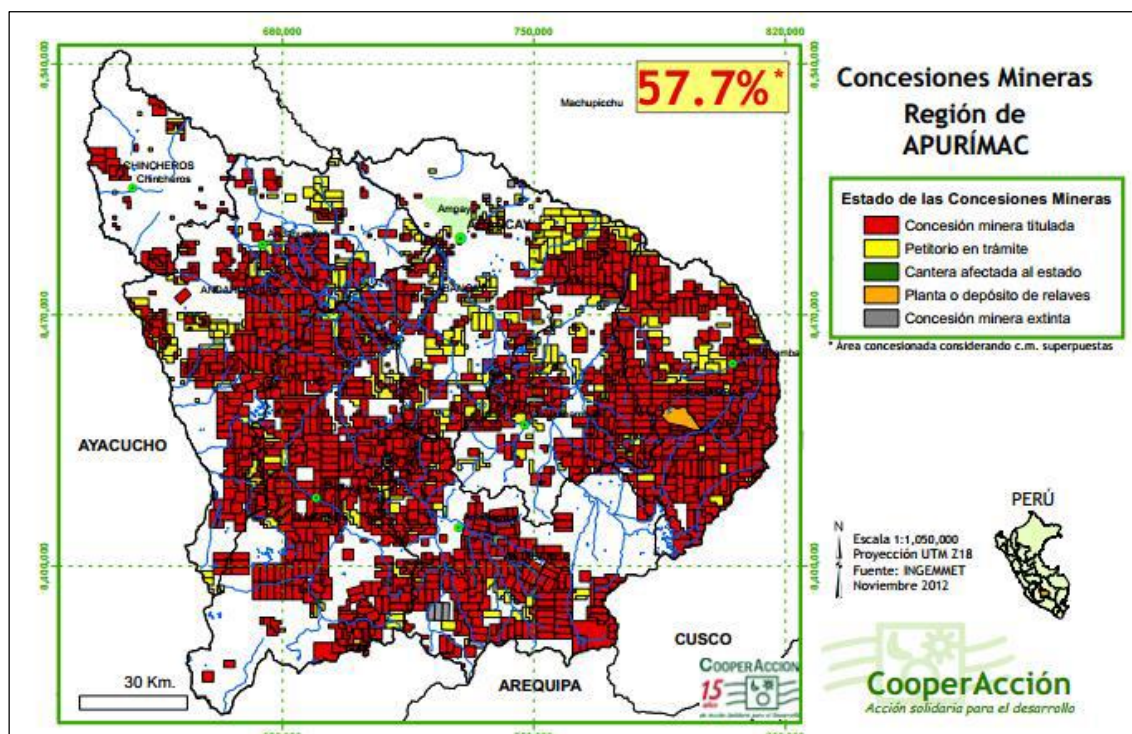
2.1. Start and Project duration

The Project was approved in mid 2010, and started its activities in February, 2011. The closure of the Project activities was expected to be in October, 2014, and the total closure is due in mid 2015, thus, having a total duration of 4 years.

2.2. Project location

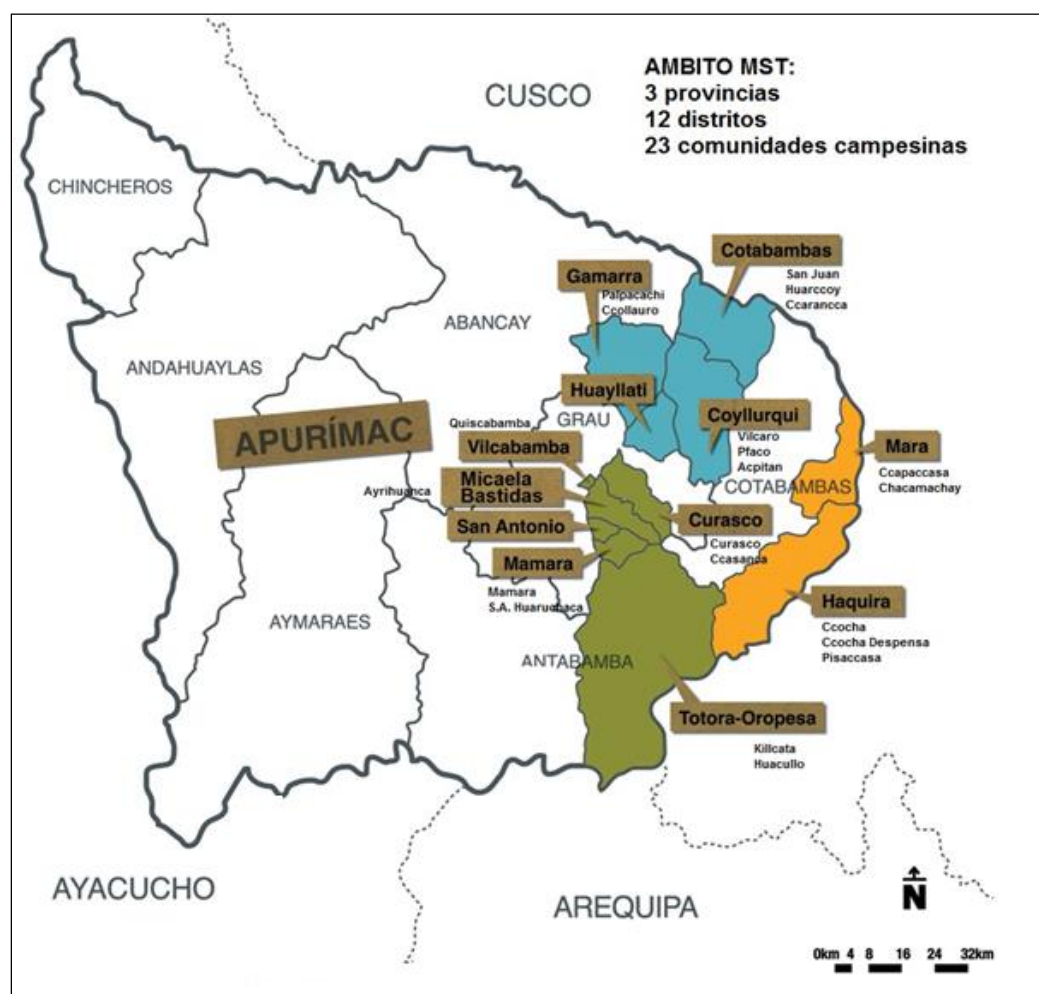
Apurimac is one of the most concessioned departments for mining activity, arriving at 57.7% of its total area (Cooper Acción 2012). See Figure 1.

Figure 1. Location Map of Apurimac mining concessions



The Project is located in the outskirts of the influence zone (second ring) of Xtrata, now Minmetals Perú, mining operations, belonging to the Grau, Cotabambas, and Antabamba provinces. Apurimac is a region that forms part of the center/southern area of the Andean mountain chain and is located between 800 and 4000 m.a.s.l. It is characterized by having high land degradation and high poverty levels: in the Cotabambas and Grau provinces, 92% of the land is highly vulnerable to erosion and desertification (See Figure 2).

Figure 2. Project location in the Apurimac Region

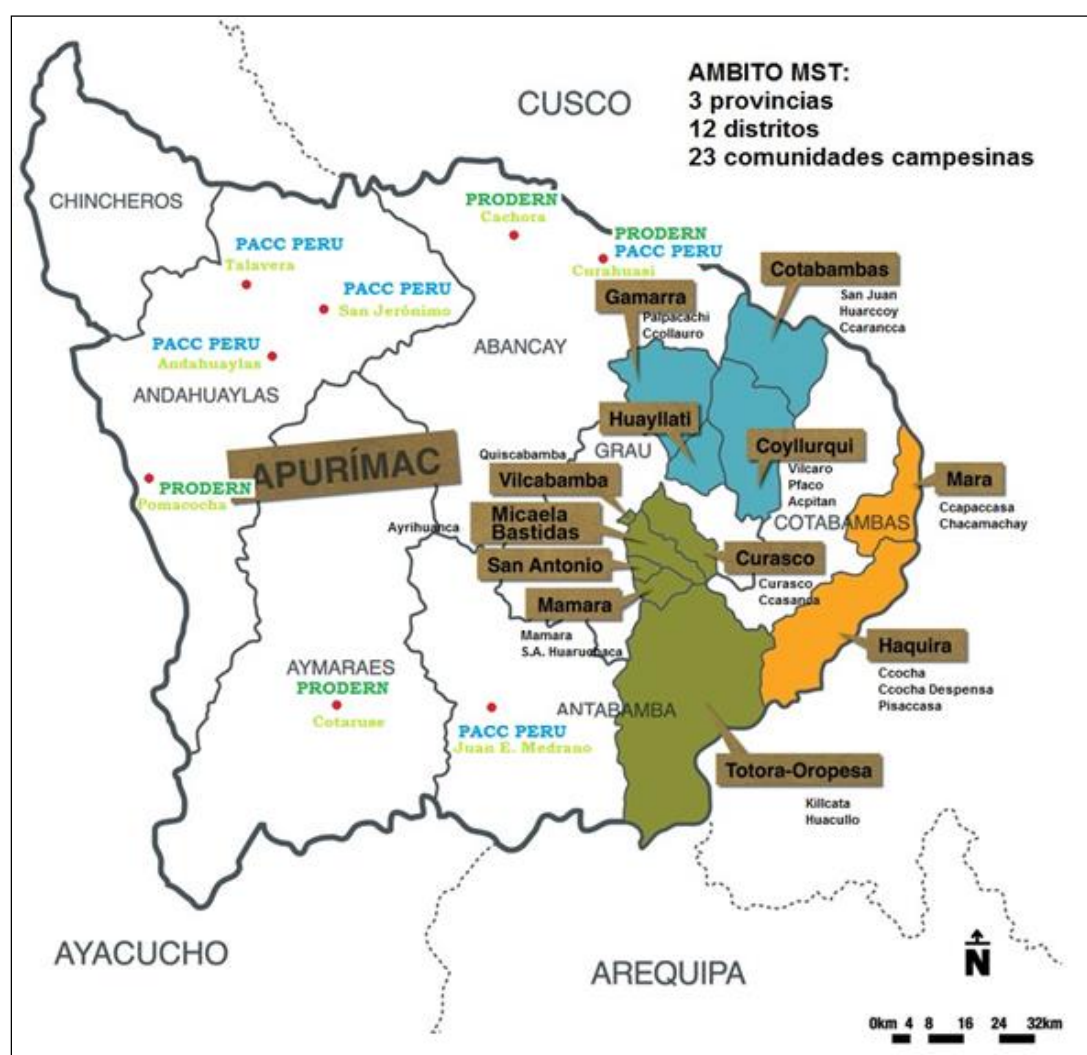


Source: SLM Project.

Project location in relation to other projects

The Project is located in an area where other two important projects have a major presence: PACC and PRODERN. Also, there are approximately twelve other projects related to rural development in the same area, but of less magnitude (see Figure 3).

Figure 3. Project location in relation to other projects



Source: Own elaboration based on information provided by the SLM Project

Other related projects: CDH (Centro para el desarrollo humano), CEDES, CEPROSER, CAUSAY, IDMA, Instituto Tecnológico de Agronomía Rural, DESISIF, Cáritas, CICCA, IIDA, CADEP, SOLUCIONES PRÁCTICAS, etc.

2.3. Problems that the Project tries to address

The Project is executed in three Apurímac provinces, one of the most affected regions by desertification. Its land degradation levels are extremely high. In the Grau and Cotabambas provinces, 92% of the soil is highly vulnerable to erosion and desertification, causing a declining productivity of its ecosystems².

This process, influenced by the high climatic instability, is produced by factors such as global warming, but also by factors related to man and his society, who deforest

²www.minam.gob.pe

without thinking of the consequences, who cultivate many times in a counter-productive way, and who extract minerals without any sustainability criteria.²

In Apurimac, 44 of 80 districts are highly vulnerable to extreme events caused by climate change³.

The provinces that surround the Las Bambas Project are considered the poorest in the country. Apurimac is the antepenultimate on the HDI classification list (from 24 departments), with a life expectancy of 63 years, child mortality of 97 per thousand, and chronic child malnutrition of 71%.⁴

The principal economic activity of the inhabitants is subsistence farming, on a great land fragmentation –the average land property per family is around 1,5 and 3 ha distributed by their altitude- and the presence of a large number of young people– (45% of the population is younger than 15), who tend to migrate to the cities.⁵

The main problems that the Project tries to address are overgrazing, wrong farming practices and lack of technologies and irrigation systems. The overgrazing in the work area is the result of replacing existing camelids with others that cause a higher impact on the soil consistence, and a lower productivity (poor herd management, loss of traditional knowledge), and genetic degradation. “Horses are responsible for 60% and 30% of overgrazing in the Cotabambas and Grau provinces respectively”⁴. Overgrazing is directly related to soil degradation and erosion as well as to vegetation degradation. Wrong farming practices refer to soil conservation and the loss of technology and traditional knowledge (such as andenes or terraces). On the other hand, an inefficient use of irrigation systems still persists and aggravates the erosion (irrigation by gravity). Additional to this context, the effects of climate change and global warming intensify the previously mentioned problems.

The EEZ, the LU, and the SLM

The process of Economic Ecology Zonification (EEZ) in the Grau and Cotabambas provinces is highly important for the project. The EEZ is an instrument that facilitates the participation of the population in the land use (LU), and, hence, the Project planned to convoke the mining company, civil society, public and private institutions

³ Source: Website of the Ministry of Environment (MINAM). In <http://www.minam.gob.pe/notas-de-prensa/los-ecoheroes-historias-de-peruanos-que-no-dejaron-morir-su-tierra-en-apurimac/>

⁴ Source: Document of the Project- UNDP. Peruvian Government. United Nations Development Program. Promoting a Sustainable Land Management in Las Bambas. PIMS No. 3821. Atlas Number 00070894. INEI Data, conclusions of the XI Population Census, 2007.

⁵Source: Document of the Project. Ministry of Environment (MINAM). 2014. “*Systematization of the SLM Project Las Bambas*” Final Report.

under the leadership of local and district authorities, MINAM's technical assistance, and the involvement of the regional government. In this line, thematic maps have been generated.

SLM and traditional knowledge

On the other hand, SLM has collected the communities' traditional knowledge on land sustainable management such as the case of the "layme" practice, integrating it to capacity building. For example, a farmer mentions: "we used to put the manure directly on the base of the plants, but we did not know that by doing so, we were contaminating the products."

Desertification and SLM

The Project collects several affirmations related to desertification; there are some of them in the document entitled: "Ecoheroes: Green pathway for the future Peruvians" (p.14 y 15) such as:

- "What do we mean when we talk about desertification? We think about the coast, but Apurimac is the region that suffers the most because of soil degradation."
- "What are the actions taken by the government in order to address this process? We look forward to sustainable land management, but there are other efforts such as the creation of new production chains that would allow the farmers to take their products to external markets."
- "How is the water managed? It is a complex topic, water does not understand local, district, regional, or national borders".
- "One of the greatest challenges in Peru is encouraging the mining activity to support the building of alternative capacities. We have very important resources that come from mining, and it is important to dedicate these resources in the search of middle and long term actions. Minerals are temporary, but people will stay in the zone making use of the land".

SLM and market

"SLM contributes to the creation of new chain productions that allow the farmers to take their products to external markets; hence, it is necessary that the products accomplish determinate organic and sanitary requirements, in order to arrive in

Europe in excellent conditions” (“Ecoheroes: Green pathway for the future Peruvians” p.14).

2.4. Immediate and development Project goals

Main objective of the project

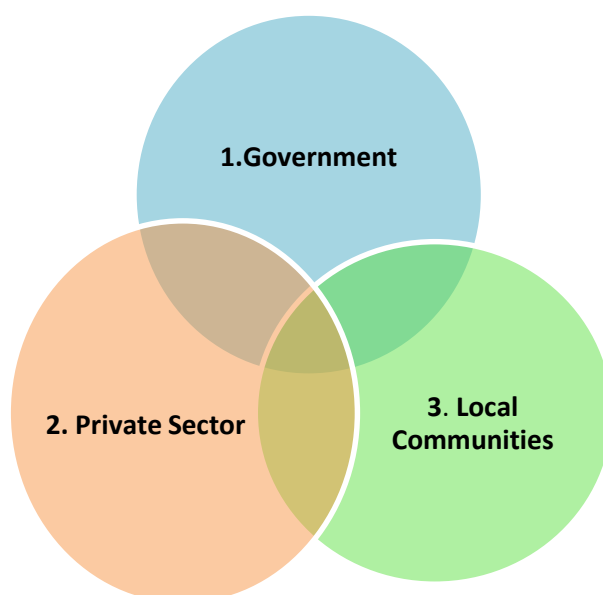
“To achieve an effective collaboration among the private sector, the government (at local, regional, and national levels), and the local communities for supporting a sustainable land management (SLM) in areas such as Las Bambas, characterized by high land degradation levels and poverty, and with corporate social responsibility funds available” (see Figure 4).

"The SLM- Apurimac is the first project that aims at preventing specifically soil degradation and seeks to validate in the same way, a model of rational use of natural resources which boost knowledge and sustainable management practices of land, water and agricultural biodiversity, through a consensus among the state, the private sector and the population... At the project closure, it is expected that farmers will perform a sustainable management of their land at household, community, and basin levels, and that community organizations will be strengthened enough for planning, proposing, and evaluating initiatives and policies that affect them and benefit collectively, within a development plan of which they form a substantial part... In South America, Peru is the pioneer in implementing SLM with the private sector in an area close to a mining site".⁶

⁶ MINAM, GEF, PNUD. “Men and Land: Working together for the future”. SLM Project- Apurimac.

Figure 4. The objective of the SLM Project
2011- 2014

Effective collaboration among these actors in a stage of acute processes of land degradation, poverty and important investments of the private sector (mining)



Source: Based on the document: PNUD and Peruvian Government. 2010. Promoting a Sustainable Land Management in Las Bambas.

Components of the project

The SLM is the first large-scale environmental project located in the high and mid part of the Vilcabamba sub- basin and in the mid part of the St. Thomas sub basin, targeted at the sustainable use of natural resources and biodiversity in Peru, with resources of the Global Environment Facility (GEF), administered by the United Nations Development Program (UNDP), and implemented by the Ministry of Environment⁷.

The project has three expected outcomes:

- Outcome 1: strengthened capabilities of institutions and organizations for planning, proposing, and evaluating initiatives in supporting the SLM.
- Outcome 2: strengthened capabilities of farmers for applying the SLM in their productive system at household, community, and basin levels.
- Outcome 3: the best model of practice of interactions among the private sector, the government, and the farmers for supporting the SLM is promoted throughout the country.

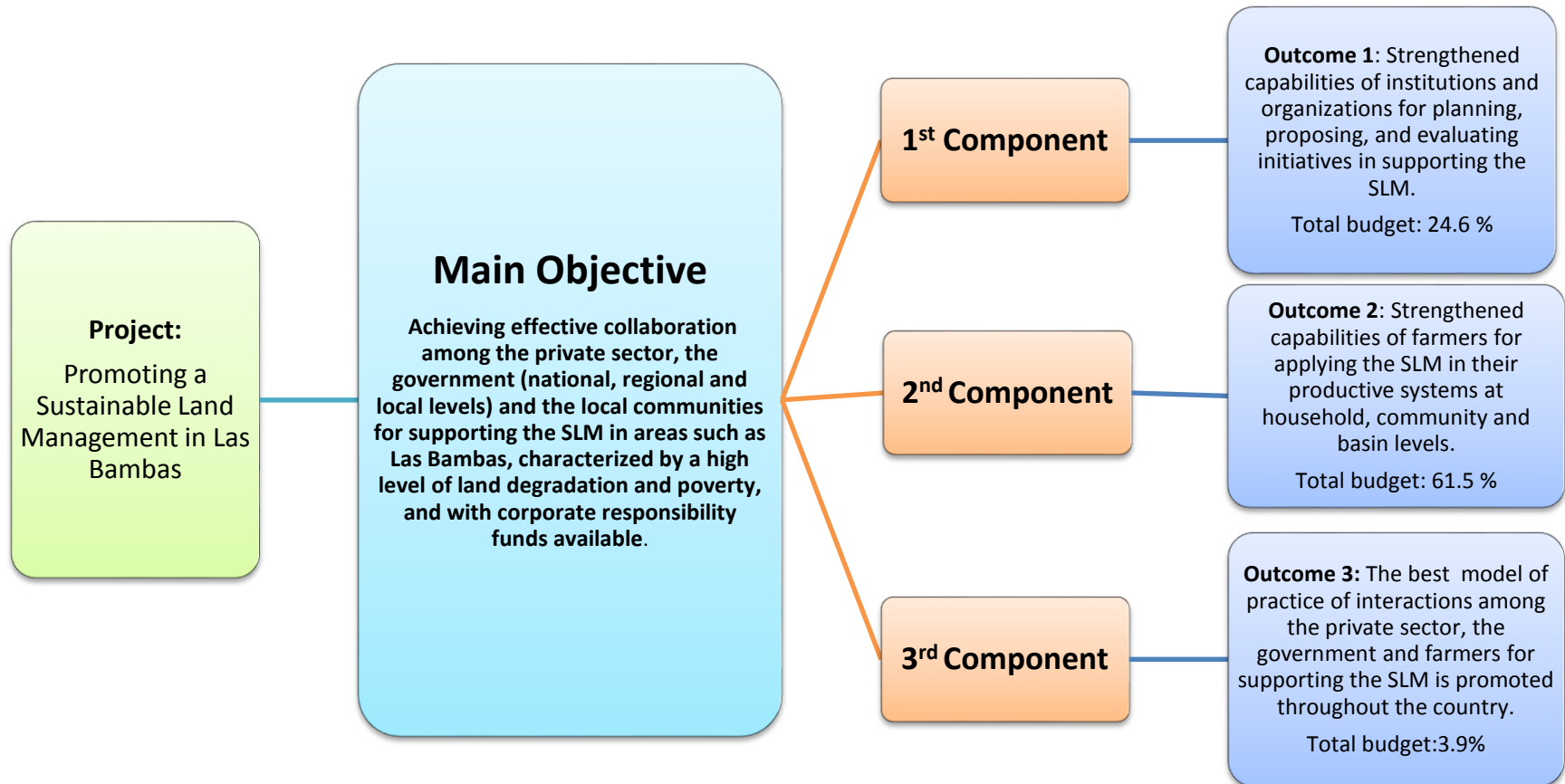
⁷Comunicaciones MINAM www.minam.gob.pe

It is important to note that these three outcomes are aimed at capacity building, which is the focus of the project⁸ (see Figure 5).

The main products of the 3 outcomes are framed into the management of the land, water, agrobiodiversity, and the mechanisms to generate effective collaboration among the private sector, the government and the local communities (see Figure 6).

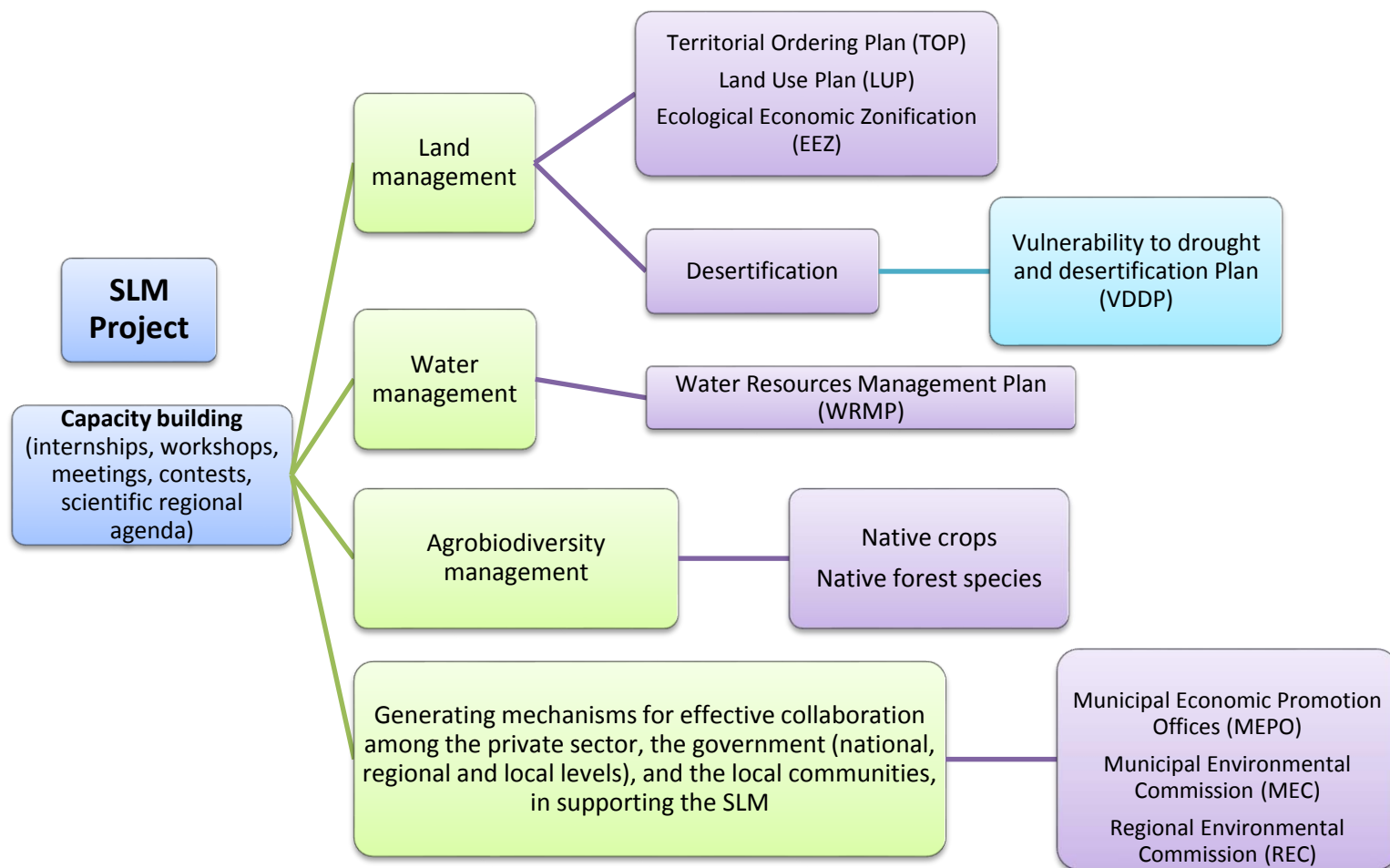
⁸ Source: Document of the Project. Ministry of Environment (MINAM). 2014. *"Systematization of the SLM Project Las Bambas"* Final Report.

Figure 5. Immediate and development goals



Source: Own elaboration based on the Project Document: Ministry of Environment (MINAM). 2014. "Systematization of the SLM Project Las Bambas" Final Report.

Figure 6. Main products of SLM Project's components



Source: Own elaboration based on the Project document: Ministry of Environment (MINAM). 2014. "Systematization of the SLM Project Las Bambas" Final Report

2.5. Key stakeholders interviewed during the process

The project is located in an area with a large presence of institutions related to development and environment, and in recent years with a large private sector mining activity. It is also true that there is informal mining, which causes high environmental impact.

The Sustainable Land Management project, known as SLM in the region, has a level of presence and prestige gained primarily through the first two components of the project related to the development of institutional and technological capabilities with the villagers in the area of Cotabambas, Grau, and Antabamba. However, the third component related to the interactions among the main actors in the region: community, private, and the government, is the least highlighted component and at the same time, is the one which the project aims more because it expects to contribute with an interaction model to promote positive impacts and with replication nationwide.

"The sale by Xstrata does not invalidate the model that the SLM project is developing, but it is necessary to build trust between the population and the new regional and municipal authorities to be elected in October of the current year, when the project will be finished"⁹.

A list of the main stakeholders of the project environment is presented in Table 3.

Table 3. Main stakeholders for evaluation process

Local actors	Local governments: Haquira and Mara Municipalities. Municipal Environmental Commission, Haquira and Mara.
Rural Communities	Some of the communities in which the project has taken action are: Patan, Ccocha (Haquira) Ccapacasa, Chacamachay, Amaru Pata, Yuricancha.
Peasant producers Technology leaders ("Eco-heroes")	Yuricancha: Potato producers. Ccapacasa: Irrigation Committee in formalization process. The community has no answer about this aspect.
NGOs (with local presence)	Centro Andino de Educación y Promoción (CADEP) "José María Arguedas. With interventions in the local governments of Haquira, Mara, Tambobamba, Challhuahuacho, and 15 communities in the province.

⁹ Source: Document of the Project. Ministry of Environment (MINAM). 2014. *"Systematization of the SLM Project Las Bambas"* Final Report.

	Centro Bartolomé de las Casas (CBC). With interventions in the local governments of Pararani, Challhuahuacho, and Asacasi in Tambobamba, as well as in Mara.
	Centro Guamán Poma de Ayala. By conducting studies requested by the SLM Project and the “Commonwealth Association of the sub basin St. Tomas” (AMSAT, Spanish acronyms).
	Cooperación. With interventions in Tambobamba.
	Caritas Chuquibambilla. With interventions in Fuerabamba and in agreement with Las Bambas Project.
	Active projects in the area of influence: PACC: Climate Change Adaptation Project. PRODERN (Spanish acronyms): Program of Sustainable Economic Development and Strategic Management of Natural Resources in Apurimac, Ayacucho, Huanavelica, Junin, and Pasco. FOSBAN (Spanish acronyms): Social Fund Las Bambas.
Regional actors	Apurímac Regional Government and the Division of Environment and Natural Resources Agriculture Sector, Water Local Authority, AGRORURAL. Mining companies: - Las Bambas Project, current owner is a Chinese consortium called Minmetals Perú - Haquira Project: First Quantum Company. Presence of artisanal miners' association
National actors	Ministry of Environment (SLM Project team) UNDP
Other actors in the area	Haquira women organization Mara women organization Haquira peasant federation Haquira peasant patrols Mara peasant federation. Sub headquarters of the National University Micaela Bastidas - Haquira. Haquira technological institute. Civil Construction Union. Front fender for the interests of Haquira y Mara. Environmental Management Committee (EMC): Is a civil society actor formed in Haquira, which articulates with the MEC (Municipal Environment Committee) for issues related to environmental monitoring.

Source: Own elaboration.

FINDINGS

2.6. Formulation

Regarding the formulation of the objectives: clarity, viability and feasibility

By the time of the project formulation, the Peruvian government, the communities, and the mining companies had not identified how to work together to advance towards the SLM in a sustainable way, preventing the emergence of social conflicts among these actors¹⁰.

The main objective of the project- which is to create a platform of effective cooperation among the actors aforementioned (see Annex 8)- was very clear during the project formulation. However, for the actors interviewed, the way to work to accomplish such main objective- through the development of capabilities of the organizations (institutionality) and peasants (on their productive systems and agro- ecological technologies)- was clearer than the full understanding of the main objective of the project.

As mentioned before, there are two well-known components of the project by the actors, or at least they are clearer: the development of capabilities and the technological and agro- ecological initiatives.

The **viability** of the project is related to the development of capabilities and the emphasis on the development of an institutionality that supports the technological initiatives instead of the implementation of initiatives on infrastructure properly speaking.

The feasibility was perceived throughout the time of duration of the project, because the actors understood that it was not a 1-2 year ordinary project, as it was based on the capacity building and knowledge, and on organizational strengthening. The project was less focused on infrastructure and external supplies, which are sometimes more difficult to support over the time.

In conclusion, the general objective was viable and feasible to accomplish in 4 years, but it will not be definitive because its course will change through the experience since the

¹⁰ Source: Document of the Project. Ministry of Environment (MINAM). 2014. *"Systematization of the SLM Project Las Bambas"* Final Report.

private sector will fully initiate its extractive activities and according to changes in the political scenario. Nonetheless, it is part of a process in which the instability is precisely one of its main characteristics.

Regarding the role of the institutions and counterparts within designing of the project

One of the first tasks was to identify the existence of political will of the two provincial mayors, insomuch as the regional governments do not have competence to decide over the use of land at the provincial level. It should be noted that, initially, some public servants of the regional governments considered that the SLM project should be executed by the subnational government.

UNDP Peru, which accompanied all the process of project elaboration, proposed the Direction of Climate Change, Desertification, and Hydric Resources of the Peruvian Ministry of Environment (MINAM) to assume the role of the executive direction of the project; UNDP Peru was going to act as the implementing agency. The criteria for appointing an institution to be in charge of the project were the institutional capacity, in the case that the experience were to extend at a national level¹¹.

The idea that the project should have been implemented by the Regional Government of Apurimac still persists.

Regarding the relationship with other relevant projects within the area

The project has coherence with other projects that exist in the zone, according to the representatives of the Regional Government of Apurimac (Sub-Manager of Natural Resources) and the technicians of PACC and PRODERN; however, there is still a “regional feeling”, which states that the project should have been directed by an institution connected to the Regional Government. There are many platforms, such as commissions and dialogue tables, in which regional projects can be dealt with through coordinated work in specific topics related to the environment and productive issues. Actually, the SLM participates actively in dialogue tables related to the development of capabilities and in topics such as the “agenda of regional investigation”. Its active role through initiatives is recognized by the institutions of the Region.

¹¹ Source: PRODOC of the SLM Project. Ministry of Environment (MINAM). 2014. *“Systematization of the SLM Project Las Bambas”* Final Report.

Assumptions and risks

According to the “Systematization of the SLM Las Bambas Project”, the main assumptions identified for the project implementation are:

- The steady political stability in the country
- The international stability of prices for mining products
- The continuing commitment expressed by the national government and other interested key parties to develop a model of interaction, which involves the private sector in the promotion of activities related to SLM

It is worth mentioning that, when the project started, these three assumptions had already lost some validity. The activities of the project began with new authorities elected in the national, regional, provincial, and local governments. Consequently, the new authorities elected in the Regional Government of Apurimac had not participated during the project formulation phase and did not know about its objectives. Therefore, it was necessary to incorporate a stage of presentation and sensitization of the project to these authorities.

It is also important to remark that, when the project was being formulated, the Xtrata Mining Company was initiating the exploration phase of copper extraction (opencast), and it committed the Social Fund Las Bambas (FOSBAM, Spanish acronyms), which was part of its Community Relations Program, for the project implementation. Hence, there was a risk that the mining project would not keep working in the zone, as it depended on the international economic crisis.

Table 4. Risks identified and mitigation measures

Risks	Mitigation measures
Increased competence of low-cost food imported from neighboring countries as a result of an increased integration of infrastructure, affecting in this way the viability of the productive systems of small farmers	Strengthen the capabilities of farmers to improve their livelihoods through practices compatible with the SLM
Increment of labor costs as a result of the	Increase and diversify the incomes of the

Risks	Mitigation measures
rural- urban emigration and the return of people who are used to perceiving urban (higher) salaries, affecting in this way the viability of the productive systems of small farmers	local producers based on innovative initiatives and creation of capabilities
Effects of climate change on decreased raining and availability of water	The risk of climate change has been included in all the outcomes of the Project, because the activities of the SLM are not sustainable without a proper management of hydric resources and crop diversification, in order to deal with the changing climate conditions of raining seasons and frequency
Limited commitment of the private sector to incorporate the SLM within its corporate social responsibility programmes	<p>Xtrata Mining Company is committed to the project; however, its participation depends on the international prices of commodities, which are affected by the current international economic crisis. In consequence, the company's finance viability is in danger, as well as its permanence in the zone.</p> <p>Towards this scenario, the PRODOC of the project states that one of its objectives is to promote the integration of the SLM in the plans and priorities of the local and regional development through the strengthening of capabilities, independent of the permanence of the company in the zone</p>

Source: PRODOC of the Project. Ministry of Environment (MINAM). 2014. *"Systematization of the SLM Project Las Bambas"*. Final Report.

Other risks and assumptions defined in the PRODOC of the initial project are:

- Complexity in the monitoring of the pressure exerted over the natural resources due to the variety of elements and actors to take into account
- Adhesion of all the interested parts
- Proper coordination among the different levels of the government (local, regional, national) and the private companies
- MINAM respects the result-based budget methodology

- Mobility of technical personnel within the local governments
- Initiatives for promoting the SLM are developed
- The regional and local governments maintain their commitment to the project and fund the implementation of such initiatives effectively.
- Political and social stability in the two provinces
- Complexity in the elaboration of a Monitoring and Evaluation System targeted at following up the pressure over the environment (water, land, and agro-biodiversity), due to a high number of variables and actors.
- Children less than 5 years old have access to medical care
- Generation of excedents to the market
- The market of organic products keeps growing
- Xtrata buys products produced locally
- Inexistence of will to pay for ecological services
- Allocation of public and private funds for irrigation projects and water capture
- The market of these products remains favourable
- Existence of institutional capacity for climate change adaptation
- Private companies are convinced about the importance of the sustainable management investment of natural resources

Incorporation of lessons from other relevant projects into the Project design

The PRODOC of the Project (PRODOC, 2011) states that there is little evidence in the country of lessons learnt or applied related to experiences involving Corporate Social Responsibility programs or funding coming from trusts created with royalties from mining concessions. Currently, many foreign companies undertake mining initiatives¹² with little motivation to exchange experiences or agree on joint codes of conduct, resulting in less satisfactory experiences, which are disfavoured both for local communities and for mining companies.

Although there is little or no evidence of other projects with the same purpose, some methodologies applied by other projects were used in the Project design. For example, the activity 1.2.2 “Elaborate the Land Use Plan (LUP)”, which had to be done through a participatory process, per sector and per community and as part of the sustainable management of land and natural resources, was done with “small integral plots and contests” which were successful in projects such as MARENASS, CEPRODER, IDMA, CEDES and CAUSAY.

¹² <http://directoriominero.pe/empresas-mineras/companias-mineras/>

Planned participation of interested actors

Table 5 shows the relevant actors who participated in the designing and follow-up stages of the Project, in order to facilitate the accomplishment of its objectives. During the planning of activities of the project at the end of 2011, the Project counted with the necessary base to ensure a continuing relationship with the local actors and institutions in the zone, looking for the articulation of processes related to planning and generation of agreed policies. At the end of 2013, community actors carried out the planning processes in their districts (PDC, PPbR, ZEE, CCL, CV). At the provincial level, the participation of 02 Federations of peasant communities – Grau and Cotabambas- was promoted within the following participatory planning processes: Concerted Development Plans (PDC, Spanish acronyms), Result-based Participatory Budget (PPbR, Spanish acronyms), Ecological and Economic Zonification of the two provinces (ZEE, Spanish acronyms), Local Coordination Council (CCL, Spanish acronyms), and Surveillance Committee (CV, Spanish acronyms).

Table 5. Participation of interested actors in the project

Interested party	Characteristics
NATIONAL GOVERNMENT	
Ministry of Agriculture (MINAG)	AGRORURAL (which is part of MINAG) incorporated personnel of PRONAMACHCS and MARENASS, who have extensive experience in the management of watersheds and natural resources. ANA is in charge of the water management issues in the country. The access to water and the maintenance of its quality is turning into a potential conflict issue, which usually involves the mining companies.
Ministry of Environment (MINAM)	MINAM has divisions in charge of climate change, desertification and hydric resources, which were involved in the project. Also, MINAM is responsible for project implementation.
Ministry of Energy and Mining (MINEM)	MINEM has implication in the advocacy of public institutionalality for disseminating good practices, which are identified and documented, and for propiciating their incorporation in the public policies (outcome 3)
REGIONAL GOVERNMENT OF APURIMAC	
Management of Natural Resources and Environment	It works in similar and complementary topics with the SLM and natural resources: planning and ecological- economic zonification; development of capabilities for the mitigation of drought and desertification; protection and improvement of the forest biodiversity, among others. The concern for the sustainable management of natural resources and climate change adaptation is of high priority in the region. The Regional Government of Apurimac agreed on the objectives of the project and pledged its participation.

Interested party	Characteristics
PROVINCIAL GOVERNMENTS	
Grau and Cotabambas Governments	Its authorities and representatives of the civil society participated in a workshop of information and approval, and provided valuable information related to the main obstacles for the sustainable management of natural resources; they also pledged to participate in the project.
LOCAL GOVERNMENTS (DISTRICTS)	
Communities of the provinces of Grau, Cotabambas, and Antabamba	The local authorities participated actively in the implementation of the project. In the case of the Grau province, the results obtained were better, because the local government pledged to the project through the appointment of a public servant for a shared articulation.
PRIVATE MINING COMPANIES	
Xstrata (2011-2013)	The mining company Xstrata committed resources for the development of the zone and appointed a representative who attended meetings of concertation
NGO	
	The project interacted with NGOs at regional and local levels, through the consensus of promotion strategies and dissemination of information
ACADEMIC AND RESEARCH INSTITUTIONS	
Guaman Poma de Ayala Center	Its role in the project was related to the activities planned as part of Outcome 1, as well as to the elaboration of related consultancies, such as the Ecological-economic Zonification
Micaela Bastidas National University	It was involved in the management of information for contributing to the negotiations among local actors. It participated in the strengthening of youth capacities.
OTHER INTERESTED PARTS	
Social Fund Las Bambas	The Social Fund Las Bambas participated in the co-financing of the project
Civil Society	<p>Different local organizations were involved in issues related to land management and development:</p> <ul style="list-style-type: none"> • Community directive boards • Community administrative boards • Irrigation committees, with judges per each irrigation channel • Association of specialized producers • Grassroots organizations for nutritional support: "Club de Madres" (Club of Mothers) at community and district levels. District Committees: "Vaso de Leche" (Social Program of Milk Distribution), in both provinces. • Administrative board of potable water, in both provinces • Peasant federations

Source: Elaboration based on the PRODOC of the MST-PNUD project

Repetition Focus

The main replicable focus of the project is related to outcome 3 (The best model of practice of the interactions among the private sector, the Government, and the communities for supporting the SLM is promoted throughout the country). Although the area of project intervention is part of the area of influence of the mining project Las Bambas, there is a replication potential due to many mining projects, which are being implemented, or are in exploration phase under the same conditions. According to the baseline presented in the PRODOC of the project, the presence of private mining companies in Peru is characterized by many social conflicts and tensions with local authorities and population, linked to water issues and redistribution of wealth. Hence, the existence of an interaction model between the private companies and local actors was required; reason why this model would probably be an example in similar contexts in Peru.

UNDP's comparative advantage

The advantages designed and planned for the project are aligned to the Development Strategy of the Cotabambas and Grau provinces, which was formulated in 2006 through a participatory process supported by UNDP, as requested by the Agency of Promotion of Private Investment (PROINVERSION). The proposal was complemented with the priorities identified in such strategy, particularly the conservation of water, land, and biodiversity in the Andean highlands; the training of producers and the economic- active population in general; institutional strengthening; and the production of alternative products¹³.

UNDP expects, under the United Nations Development Assistance Framework (UNDAF), that the project can contribute to the Assistance Areas, including the support and promotion of the development of human capabilities, with emphasis on the excluded population; the support and promotion of opportunities for social and economic development, with emphasis on the excluded population; and the support and strengthening of capabilities in the Government and society for the consolidation of a democratic governance¹⁴.

Finally, within the context of UNDAF and the commitment of the Peruvian government with the Millenial Objectives, the project contributes to the development of local and regional capabilities for supporting and implementing practices of sustainable land

¹³ Project document SLM- UNDO (PRODOC).

¹⁴ Documento del Proyecto MST-PNUD (PRODOC).

management, according to the National Strategy of Climate Change, the National Action Plan under the United Nations Convention to combat Desertification, and the National Strategy of Biodiversity¹⁴.

Links among the project and other interventions within the sector

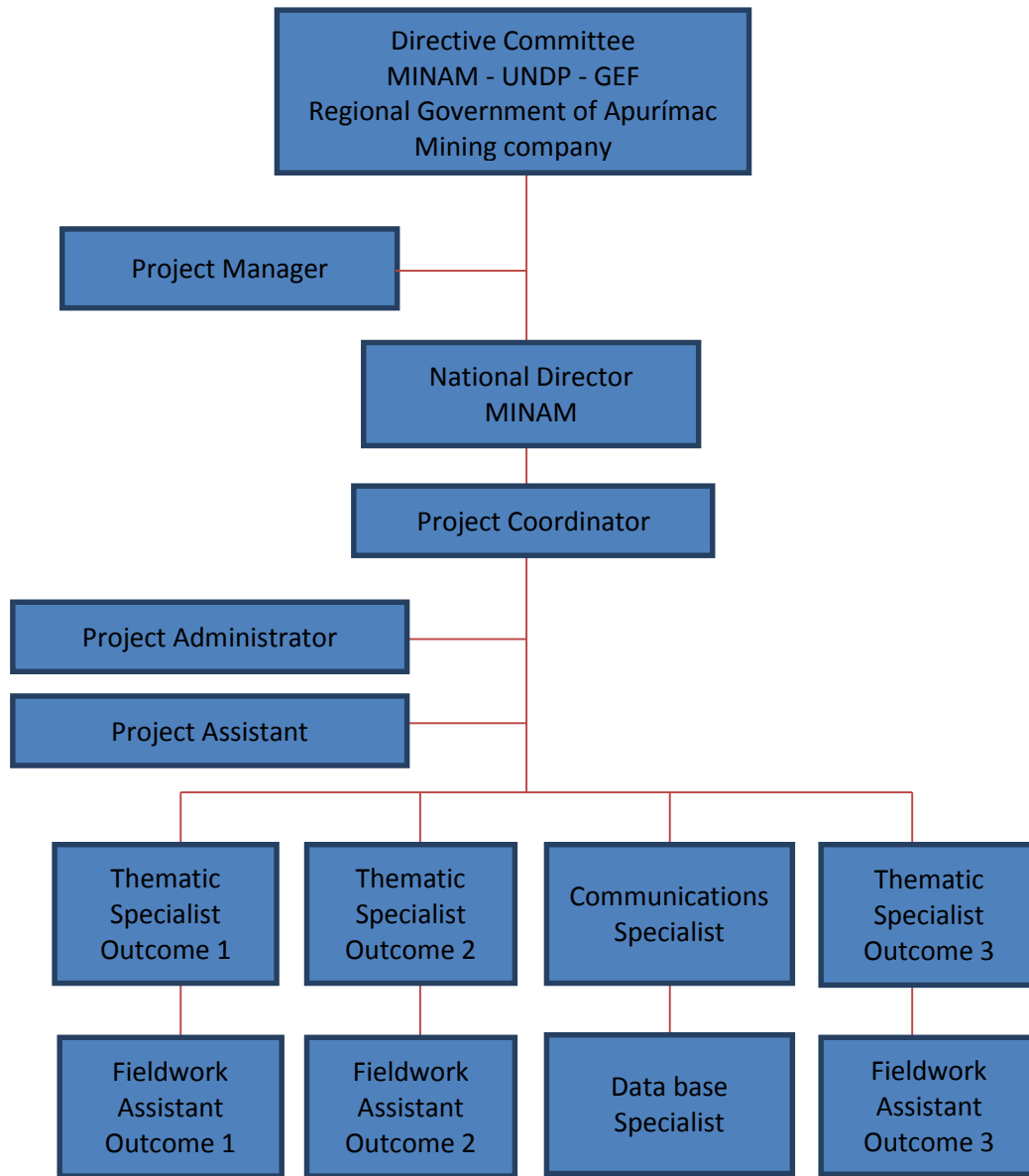
The project was linked to other projects of national relevance, such as the Climate Change Adaptation Program (CCAP)- Apurimac, the Sustainable Economic Development and Strategic Management of Natural Resources Program (PRODERN, Spanish acronyms)- Apurimac, and the Regional Government of Apurimac.

Administrative Dispositions

The project was implemented under the NEX modality (national execution), according to the standards and regulations of UNDP cooperation in Peru. The Executive Agency of the project was the Ministry of Environment (MINAM), under the general direction of the National Project Director (NPD), who was responsible for orienting and advising the Project Management Unit (PMU). The NPD supervised the activities, and ensured timely inputs from the Government.

As can be seen in Figure 7, the organization of the project is composed of the directive committee, the project manager, the national director, the project coordinator, the project administrator, a project assistant, and the specialists and assistants responsible for the results of the project.

Figure 7. Project Organization



Source: <http://www.minam.gob.pe/mst/index.php/gestion/organizacion>

2.7. Implementation or execution

According to the annual monitoring and evaluation reports (“UNDP Annual Reports of the SLM Project”), the average percentage of achievements was always over 50% until 90%, as can be seen in Table 6.

In conclusion, the project maintained a steady rhythm in accomplishing the main components. However, it is worth mentioning that the component related to “effective

collaboration among the community, private and governmental sectors” has the lowest percentage of achievement (58-70%).

Table 6 . Progress rate of the Project’s activities

Annual Reports	Annual average of the achievement of the activities (%)	
Annual Project Report (2011)	Outcome 1	74%
	Outcome 2	76%
	Outcome 3	70%
	Outcome 4	76%
	Total	74%
Annual Project Report (2012)	Outcome 1	64%
	Outcome 2	88%
	Outcome 3	58%
	Outcome 4	78%
	Total	72%
Annual Project Report (2013)	Outcome 1	77.5%
	Outcome 2	83%
	Outcome 3	67%
	Outcome 4	90%
	Total	79.4%
TOTAL		75.1%

Source: Own elaboration based on UNDP Annual Reports of the SLM Project

Where

- Outcome 1: Strengthened capabilities of the institutions and community representatives of Las Bambas for planning, proposing, and evaluating initiatives in supporting the SLM
- Outcome 2: Strengthened capabilities of Las Bambas’ farmers for applying the SLM in their productive systems
- Outcome 3: The best model of practice of the interaction among the private sector, the Government, and the communities for supporting the SLM is promoted throughout the country.
- Outcome 4: Follow- up, monitoring, and evaluation of the results of the project.

Adaptation Management (changes in project design and results of the project during implementation)

After revising the UNDP Annual Reports, it can be seen that the project management unit targeted its actions at the strategic results; however, it also undertook measures for problems and obstacles that had arisen (see Table 7).

Table 7 . Problems and obstacles that arose during project implementation

Year	Description	Measures adopted
2011	Delay in the approval of Annual Operational Plan (AOP) 2010	Actions to define the intervention strategy were established between the team and the national direction of the project. Management instruments of the project were designed, such as internal formats of schedules, project website design, and communicational strategy.
	Definition of studies and base line to be launched for bidding	It began with a process of induction and coordination of the best strategies for consultancy implementation, to get efficiency in the management of the project's resources and products delivered to the beneficiaries.
	During the first quarter of 2011, the scenario was different from the planned one, due mainly to the existence of new municipal and regional authorities, involved in a process of "management of previous agreements with the central government"; hence, the absence of mayors was evident. This scenario did not change very much in the third quarter (from July to September), due to the presidential elections, which brought a new process of "management of previous agreements" with the new authorities of the central government.	The accompaniment to municipal management in the promotion of policies and good practices of local development management based on SLM. For the second and third quarter, actions were focused on strengthening the capabilities of councilors and mid-level managers from the municipalities. The project had to be flexible in pursuing the definition of timing and mechanisms for accompanying municipality management.
	During the second semester, the political context caused the delivery of sectorial directives, limiting the hiring and bidding processes of consultancies, which brought as a consequence a delay of certain activities	The reference terms for biddings were improved and the articulation among sectorial instances and regional authorities was pursued to facilitate the definition of such reference terms according to the existent information in the region or sector.
2012	Due to the raining season in March, many landslides occurred in almost all the provinces, making difficult the access to Abancay- Grau, which was suspended for 40 days. The Abancay- Mariscal Gamarra road also	Actions to ensure the team's integrity were undertaken primarily, which caused the postponement of activities and the dosification of efforts to attend meetings among the team and the national direction of the project.

	collapsed until the end of May.	
	Frequent changes of local public servants, which made the coordination and implementation of processes such as the insercion of the Local Economic Development Offices (ODELs, Spanish acronyms) difficult.	Coordination with the authorities of local governments
	Informal Mining activity, which continued through the extraction and commercialization of minerals, due to the extension conceded for obtaining the formalization. It especially occurred in the Grau province, with the transportation of at least 80 trucks per day.	This aspect was covered since the beginning of the project, through the support to communities in establishing agreements and conditions for artisanal exploitation. Unfortunately, national regulations allowed the increment of formalization petitions from communities that do not even have mining vocation.
2013	Frequent changes of local public servants, making difficult the coordination and implementation of processes such as the insertion of the Local Economic Development Offices (ODELs, Spanish acronyms)	More coordination and direct support from the project- through the technical secretariat-, with the authorization of local governments.
	Informal Mining activity, which continued through the extraction and commercialization of mineral, due to the extension conceded for obtaining the formalization	Conditions were generated so that the community could decide what activities it would allow and under what conditions.

Source: UNDP Annual Reports of the SLM Project

These measures did not cause changes in the general and specific objectives of the project; however, the frequent changes of the local public servants and the political context may have affected in some way the delay of the third strategic outcome.

Association Agreements (with the interested and relevant actors involved at regional and national levels)

The facilitation process to establish a relationship among institutions from the civil society, public sector, and local authorities was undertaken in 2011, as a result of the meetings held by the representatives of the Ministry of Agriculture, MINAM, the private sector, and the regional government; the latter through the Management Divisions of Planning & Natural Resources and Projects.

During the project implementation, specific local agreements with different involved actors¹⁵ were reached, propitiating the following events:

- Formation of Community Development Committees (CODECO, Spanish acronyms), for creating local concerted spaces.
- Implementation of a School of farmers, producers, and leaders in Sustainable Land Management
- Creation of intervention synergies among the different institutions and projects, for propitiating policies related to the conservation of agro-biodiversity (regional ordinance of transgenic seeds' prohibition); the ecological- economic regional zonification (socialization of this instrument at regional level), and the creation of an Environmental Regional Information System as a regional instance in charge of the management and dissemination of information for development.
- Organization of the event *Week to Combat Desertification*, including activities such as the training given to university students of Apurimac in conducting research related to SLM. Also, the organization of the Seminar *Forests and Deserts*, and the sensitization activities.
- Sensitization and articulation with the youngsters in Apurimac, promoting the "First Meeting of youngsters in the Apurimac Region", which resulted in the formation of the Youth Network of Environmental Volunteering of Apurimac, in coordination with the MINAM's General Direction of Education. One hundred youngsters coming from the provinces of Grau, Cotabambas, Antabamba, Andahuaylas, Aymaraes, and Abancay formed the network.
- Reactivation of associations and women district federations, articulated to third-level organizations such as the women regional federation of Apurimac.
- Participation of local organizations, the private sector, and local authorities in the following processes:
 - o Participative elaboration of 07 Concerted Development Plans (PDC, Spanish acronyms), in the following districts: Haquira, Mara, Coyllurqui, Cotabambas, Palpacachi, Huayllati, Mariscal Gamarra, Totorá-Oropesa y Micaela Bastidas;
 - o Socialization of 01 provincial PDC (Cotabambas);
 - o Beginning of the elaboration process of 05 district PDC;
 - o Updating of the PDC of the Grau province.
- Beginning of the Ecological- economic Zonification process in two provinces (Grau and Cotabambas), during the last quarter. This process counted with the

¹⁵ Source: UNDP Annual Reports of the Project

participation of the private sector, civil society, and public and private institutions under the leadership of the provincial and district authorities, supported by the technical assistance of MINAM and was undertaken with the knowledge and involvement of the regional government.

- Promotion of the organization of the “First Fair of Innovative Alternatives for the Sustainable Land Use” in the three sub-watersheds, which counted with the participation of the Municipalities of Vilcabamba, Coyllurqui y Haquira and the Youth Network of Environmental Volunteering of Apurimac (RVAJ, Spanish acronyms).
- Production and validation of a pilot radial program named “Pachamama Rimayni”.
- Organization of the “First Meeting of Farmer promoters in Grau, Antabamba, and Cotabambas”
- Organization of the Seeds Fair named “La Hora del Trueque” (The barter time)
- Promotion of the participation of the project’s producers in national events of commercial negotiation (MISTURA Fair and International Fair PERUNATURA)
- Creation and formalization of a Central Association of peasant agro-ecological communities of Grau and Cotabambas Pachamamanchisraycu.
- Organization of the “Regional Workshop of Environmental Journalism in Apurimac”, which was targeted at 50 communicators and journalists at regional and local levels.
- Establishment of agreements among different programmatic and sectorial initiatives in relation to land use, through the organization of a Regional Seminar “Promoting Methodological Agreements for land use and territorial development in the Apurimac Region”. The General Direction of Land Use of MINAM participated in such seminar, committing itself in this way to support the Ecological- economic Zonification and Land Use processes in the region, similarly to the SLM Project and the Regional Government. Also, as a result of the event, the Technical Committee of Ecological- economic Zonification in the Apurimac Region was formed.
- Promotion and facilitation of the First Regional Workshop “Socialization of Environmental Indicators in the Apurimac Region”, which counted with the participation of the General Direction of Information and Environmental Research (MINAM), the Regional Management of Natural Resources and Environment, and different actors and institutions related to the management of information.
- Reinforcement of the re- institutionalization of community organization, with an emphasis on its legality: 22 peasant communities formalized their new directive boards in the Public Registry, and were advised in the conduction of their

meetings, sessions, and community assemblies. The peasant communities have been participating in planning processes (PDC, PPbR, CCL y CV) in their districts. At regional level, the participation of 02 Community Federations (Grau and Cotabambas) in the participatory planning processes (PDC, PPbR, CCL y CV) is being promoted.

- Internships for authorities and leaders of the Regional Governments and communities from the area of influence of the Chongoyape Community's Private Conservation Area (Chaparri Reserve) and Porcon Farm.
- Organization of the GEOJUVENIL, which was a space for dialogue and counted with the participation of 41 institutions, among universities, environmental organizations, municipalities, schools, post-secondary educational institutions, etc.
- Training courses, with topics such as healthy homes, agro-ecological practices, concerted spaces, nutrition, equity, etc., and participatory workshops for the elaboration of development plans.
- Elaboration of a participatory inventory of hydric resources, involving the population. As a result, 154 water sources in the Santo Tomas sub-watershed, 362 water sources in the Vilcabamba Media sub-watershed and 462 water sources in the Vilcabamba Alta sub-watershed were identified.
- Organization of the "First Course and Clinic of formulation of Integral Project Profiles"
- Promotion of the organization of the Regional Forum for Development in Apurimac, which convoked actors at regional, provincial and district levels.

Feedback of the Monitoring and Evaluation activities used for the adaptation management

The monitoring and evaluation activities used for the adaptation management were based mainly on the annual reports handed over to UNDP in 2011, 2012 and 2013. According to Table 5, it can be seen that the average percentage of accomplishment per year is 75.1%, which is an accumulated datum from each outcome, considering the execution of activities and the financial execution.

On the other hand, the grade of accomplishment per activity was 88%, according to interviews undertaken in September, 2014 (see Figure 8 and Annex 11), highlighting that some activities scheduled in the PRODOC were not undertaken or were done partially due to different reasons (see Table 8).

Table 8 . Activities which were not undertaken or were done partially

N°	Activity	Level of accomplishment (%)
1	Activity 1.5.3 "Agreement with the DESISIF project for the operation of the information center"	It was not implemented due to the lack of funds
2	Activity 2.4.4. Promotion of projects of payment for environmental services based on the water conservation	65% Inexistent conditions; however, the Mariño pilot process was supported
3	Activity 2.4.5. Promotion of agro-tourism and ecotourism in the Apurimac Canyon Area, in cooperation with the Ministry of External Trade and Tourism (MINCETUR, Spanish acronyms), and the National Service of Natural Protected Areas (SERNARP, Spanish acronyms)	Activity out of context; however, the committees and technical groups of the Nazca and Apurimac- Cuzco passes were supported
4	Activity 2.5.2. Implementation of an interinstitutional system of technical assistance for developing sustainable productive systems based on SLM	70 % NGOs disarticulated and some of them disappeared during the project implementation
5	Activity 3.1.2. Support the strengthening of the Regional Mining Table	The Table stopped its activities in 2009. Discussion spaces such as the Table to combat poverty and the technical group of mining and environment were promoted through the project.

Source: Own elaboration based on interviews

Project Financing

According to the PRODOC, the total budget of the project is 15.525.916 USD, coming from 7 different sources. Tables 9 and 10 give details of the planned contribution per each funding source, according to the PRODOC.

Table 9. Funding sources

GEF	4.000.000 USD
TRAC UNDP	200.000 USD
Government (MINAM):	200.000 USD
FOSBAM:	10.000.000 USD
Xstrata:	714.916 USD
World Mechanism (NGO)	100.000 USD
COSUDE (NGO):	311.000 USD
TOTAL	15.525.916 USD

Source: PRODOC of the SLM-UNDP Project

Table 10. Planned budget per outcome and funding source

Outcome	GEF (USD)	UNDP (USD)	Gov. (USD)	WM (USD)	Xstrata (USD)	FOSBAM (USD)	NGO COSUDE (USD)	Total (USD)
Outcome 1	1.157.150	200.000	0	0	198.700	2.000.000	273.779	3.829,629
Outcome 2	1.939.000	0	0	0	510.407	7.075.445	37.315	9.562,167
Outcome 3	513.580	0	0	100.000	5.809	0	0	619.389
Outcome 4	390.270	0	200.000	0	0	924.555	0	1.514.825
Total	4.000.000	200.000	200.000	100.000	714.916	10.000.000	311.094	15.526.010

Source: PRODOC of the SLM-UNDP Project

Table 11. Co-funding Table

Co-funding (type/source)	Own financing from IA (application organization/ (USD millions)		Government (USD millions)		Other sources*		Total Financing (USD millions)		Total Disbursement (USD millions)	
	Planned	Real	Planned	Real	Planned	Real	Planned	Real	Planned	Real
Subvention										
Credits										
Capital										
In- kind support										
Intruments without subvention**										
Other types										
Total										

* Other sources refer to contributions to the project from other multilateral organizations, bilateral cooperation and development organizations, NGOs, private sector, etc.

** Guarantees, eventual subventions, etc.

Follow-up and evaluation: Input design and execution

The focus employed for the designing and execution was proper according to the PRODOC, and the activities of outcomes 1 and 2 were satisfactorily developed; however, with respect to the development of activities as part of outcome 3, related to the interactions among the private sector, the Government and the farmers for supporting the SLM, the average of accomplishment is 70% according to the annual reports, and 80%, according to the interviews (see Figure 8 and Annex 11).

The main activities planned as part of the Follow-up, Monitoring, and Evaluation of the project are:

- Follow-up and monitoring of the project (contract services- personnel)
- Actions for the validation and consolidation of results (travels, per diem)
- Administrative charges for the rent and maintenance of the office, computer equipment, furniture, courier service, photocopying, printing, telephone service, internet, office supplies, etc.

Table 12 shows the performance in terms of Follow-up, Monitoring, and Evaluation of the project's results, according to the annual reports submitted to UNDP.

Table 12. Performance in the Follow-up, Monitoring, and Evaluation

Year	Main activities	% Total accomplishment
2011	The project management was focused on: <ul style="list-style-type: none">- Operating of the project in the field- Acquisition of equipment and furniture- Definition of administrative procedures for the proper resources flow- Formation of the Directive Committee of the project and presentation of the strategy and 2011 work plan	76 %
2012	<p>The first field visit was carried out during the second quarter of 2012, counting with the participation of the Directive Committee's members (Xstrata, MINAM, UNDP, Regional Government); the visit to the project zone was undertaken, as well as the interaction with the different actors.</p> <p>One of the agreements reached by the Directive Committee was to emphasize on the consolidation of a systematization process and the formation of a national multiactor platform to start scaling the project.</p> <p>The project management was focused on:</p> <ul style="list-style-type: none">- The socialization of the project's progress among the different actors- Preparation for the Mid-term Evaluation	78%

2013	The Mid-term Evaluation was planned for the second semester of 2013 The project management was focused on the socialization of the project's progress among the different actors.	90%
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Source: Annual UNDP Reports of the SLM Project

Table 13 shows the evaluation of the Follow-up and Evaluation processes, based on the criteria established by the Evaluation Guide of Projects financed by GEF.

Table 13. Follow-up and Evaluation (F&E) Analysis

Qualification of the input designing of the F&E	Satisfactory (S)
Qualification of the execution of the F&E Plan	Somewhat Satisfactory (SS)
General quality of F&E	Satisfactory (S)

Source: Own elaboration

Coordination of the application and execution of UNDP and the executing partner

In general, the implementing and executing agencies had a proper focus on the outcomes. The supervision of the project was properly conducted by the implementing agency; however, there is no detailed information to verify its full performance. Regarding the risks, they did not occur in the predicted intensity, as many of the threats did not happen; the assumptions, although they did not fully occur, were enough to create favourable conditions for the continuity of the project. The main problems presented were the constant changes of representatives of the local governments and the existence of informal mining, causing delays in the accomplishment of activities. Regarding the duration of the project, there was a delay in the beginning of the Mid-term Evaluation, because if the project lasted 5 years, the evaluation should be carried out ideally at the end of 2012.

Table 14 shows the valoration of the quality in project execution up to date.

Table 14. Valoration of the quality in project execution

Execution		Qualification
a.	Quality of UNDP's application	Satisfactory (S)
b.	Quality in the execution: executing organizations	Somewhat Satisfactory (SS)
c.	General quality in the application and execution	Satisfactory (S)

Source: Own elaboration

2.8. Results

Relevance

The project is relevant because it is located in a zone where the climate change will be one of the main problems during the following years, intensified by the change of land use due to the mining activity, which may cause conditions of greater vulnerability, as this activity will impact on the land use, and cover not only the provinces (Cotabambas, Grau, and Antabamba), but also the region, bringing, as a consequence, changes in cultural patterns. The changes in the land use for agriculture and livestock to other purposes (mining and urban areas), will impact on the land of a region with acute problems of desertification; hence, the generation of alternatives for the conservation of the land resource has become a central problem in the present that will continue in the following two or three decades.

Relevance	2/2	R
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Criteria: relevant (R) or no relevant (NR)

Effectiveness

The objective of the project has been accomplished; however, some components were delayed (for example, the promotion of practices for the interaction among the main actors of the region. Therefore, it is a pending component.

It can be said that the general objective of the project has been accomplished in 70%, taking into account the delay of the component related to the promotion of practices for the interaction among the main actors of the Region.

Effectiveness	5/6	S
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Criteria: Very satisfactory (VS), satisfactory (S), somewhat satisfactory (SS), somewhat unsatisfactory (SU), unsatisfactory (U), very unsatisfactory (VU)

Efficiency

The project had three main objectives, two of which were related to the development of capabilities (at household and institucional levels), and the third one to the creation of an interaction model among the private sector, the government and the local communities, in a context of mining activity. In other words, the project targeted the development of “thinking” (education, capabilities, ways of relationships among the main actors, and research), instead of the physical transformation of the environment.

The investment percentages of the project (disbursements) should reflect the above mentioned prioritization. If the project objectives are ranked, the main one is related to obtaining an interaction model among the main development's actors in a context of mining activity.

Efficiency	5/6	S
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Criteria: Very satisfactory (VS), satisfactory (S), somewhat satisfactory (SS), somewhat unsatisfactory (SU), unsatisfactory (U), very unsatisfactory (VU)

Sustainability

The project had, as a main aspiration, the development of a continuous capability for land management proposals created and undertaken in a changing context of land use. The sustainability is related to three levels: environmental (preventing desertification processes), social (human life quality), and economic (equitable incomes).

One of the risks identified was that Xstrata left the zone during the beginning of the project, due to the international economic and finance crisis. During the project formulation, mitigation measures were proposed towards this scenario (see Table 15 and for further details, Annexes 8, 9, and 10).

Subsequently, the risks did not occur in the predicted intensity, as many of the threats did not happen; the assumptions, although they did not fully occur, were enough to create favourable conditions for the continuity of the project.

Table 15. Risk analysis for the sustainability of the project's results

Objective	Risks and assumptions	Analysis
General Objective: Validation and promotion of a management model of natural resources compatible with productive uses,	Complexity in monitoring the pressure on natural resources, due to the diversity of elements and actors to take into account	<i>It was possible the monitoring of the basic components of the project related to agro-ecological technologies and development of capabilities.</i>
	The project shows that the sustainable management of the land, water, and biodiversity is compatible with the productive activities. Adhesion of all the interested parts.	<i>The demonstration plots of the communities' technical leaders show that it is possible to produce and conserve. Communities have adhered to the project's proposals.</i>

Objective	Risks and assumptions	Analysis
and through a joint effort of the government, communities, private sector, and civil society	The metal price in the international market stays stable, ensuring the continuity of mining activities. Proper coordination between the private sector and different levels of the government (local, regional, and national). MINAM respects the result-based budget methodology.	<i>The metal prices have been stable. Coordinations between the private sector and different levels of the government have been maintained. MINAM has respected the result-based budget methodology</i>
Outcome 1: Strengthened capabilities of the institutions and community representatives of Las Bambas for planning, proposing, and evaluating initiatives in supporting the SLM	Mobility of technical personnel within local governments	<i>It actually happened and can be seen in the knowledge that the local population of the project's zone has about the project.</i>
	Adaptation capacity in case of political and environmental changes. Initiatives for promoting the SLM are developed.	<i>The adaptation capacity in case of political and environmental changes has not been verified yet because there were no constant climate changes, but recurrence of extreme climate events have occurred. The initiatives for promoting the SLM can be appreciated mainly in pilot and replication areas, especially those related to the development of capabilities.</i>
	The regional and local governments maintain their commitment to the project, and fund effectively the implementation of these tools.	<i>It can be seen the commitment of local and regional governments (especially members and municipal authorities) to the project's proposals.</i>
	The regional and local governments maintain their commitment to the project.	<i>It can be seen the commitment of local and regional governments (especially members and municipal authorities) to the project's proposals.</i>
Outcome 2: Strengthened capabilities of Las Bambas' farmers for applying the SLM in their productive systems	Political and social stability in the two provinces	<i>The two provinces involved have maintained an acceptable political and social stability, within a relatively stable national environment.</i>
	Complexity in the elaboration of an M&E system for monitoring the pressure on the environment (land, water and agro-biodiversity), due to the large number of variables and actors.	<i>The monitoring system proposed by the project has been maintained</i>
	Children under 5 years old have access to medical care	--

Objective	Risks and assumptions	Analysis
	Surpluses for market are generated. The market of organic products keeps growing. Xtrata purchases local products.	<i>The process of surplus generation for the market has started. The market of organic products is growing.</i>
	The PES (payment of environmental services) concept is new in the country; the PES law was approved in January, 2009. Up to date, there is no signal of will to pay for environmental services.	<i>There is not a complete acceptance yet for payment of environmental services</i>
	Public and private funds are allocated for irrigation projects and water capture	<i>The process of allocation of public and private funds to finance irrigation projects and water capture has begun.</i>
	The market for these products keeps favourable.	<i>The market of organic products is growing</i>
Outcome 3: The best practices developed throughout the country, for the interaction among the private sector, the Government and the communities in supporting the SLM	Properly coordination among the different level of government (local, regional and national) and the private sector	<i>The process of coordination among the different levels of government and private sector has initiated.</i>
	There is an institutional capacity for climate change adaptation	<i>The institutional capacity for climate change adaptation is still incipient.</i>
	Proper coordination between the different levels of government (local, regional and national) and the private sector Private companies are convinced of the importance of the intervention in the sustainable management of natural resources	<i>There is a favourable environment for the coordination between the different levels of government and the private sector. The private sector is starting a process of valoration about the importance of contributing to the sustainable management of natural resources.</i>
	MINAM respects the result-based budget methodology.	MINAM has respected the result-based budget methodology

Source: Elaboration based on the PRODOC of the SLM- UNDP Project

Probability of the sustainability of the results at the end of the project

The main argument to affirm about the probability of the sustainability of the results after the closure of the project is its strong orientation to the development of capabilities and institutionality.

Among the main risks that may affect the persistence of the project's results, it can be mentioned the risks involved in the process that comes after Outcome 3, related to the

relationship among actors, especially the private sector (possible disagreements may arise, see Table 16).

Table 16. Risk Evaluation for the sustainability of the project's results

Risks	Endogenous risks	Exogenous risks
Financial	SI	SI
Socio- political	SP	SP
Institutional Governance	SP	SP
Environmental	SI	SI
General probability	SI	SI

Source: Own elaboration

Where

- Probable (P): There are severe risks that affect sustainability
- Somewhat probable (SP): There are significant risks that affect sustainability
- Somewhat improbable (SI): There are moderate risks that affect sustainability
- Improbable (I): There are no risks or the risks are insignificant for the sustainability

Results

a) Using the activities as a reference

According to the SLM Project, the range of accomplishment of results is between 60 and 100%, and the total average of accomplishment is 88% (see Figure 8 and further details in Annex 11).

Outcome 1 is the one with the highest level of accomplishment, which is related to the development of institutional capabilities; it has 94% (between 75 and 100%).

Outcome 2 is the second one with a high level of accomplishment (91%, between 65 and 100%), which is related to the development of farmers' capabilities for applying the SLM in their productive system (household level). It could be evidenced through the demonstration plots and during the conversations with technical leaders.

Finally, Outcome 3 has the lowest level of accomplishment (80%, between 60 and 100%), which is related to the interaction models among the community actors, the government,

and the private sector. This outcome is also the most difficult to measure and the least tangible.

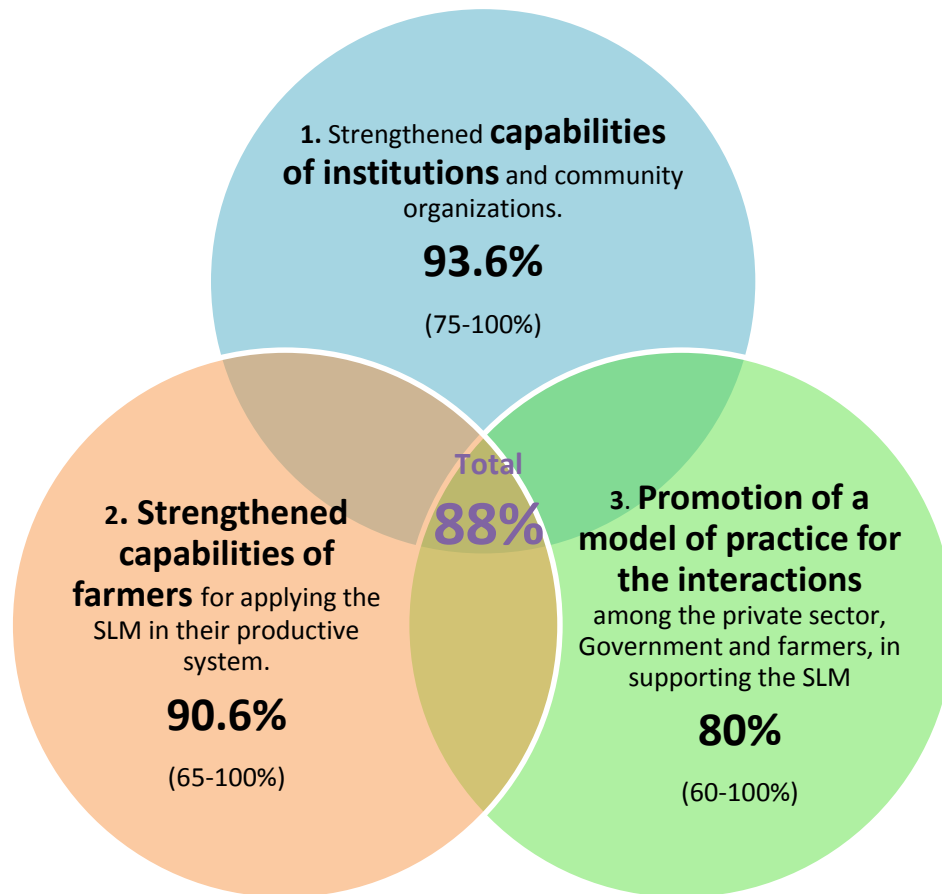


Meeting with leaders and community members of Totora and Oropeza communities (July, 2014)



Mrs. Griselda Letona, Agrobiodiversity promotor of the Acpitan community

Figure 8. Level of results' accomplishment
(until August 19th, 2014)



Source: Own elaboration, based on the information of the SLM Project

b) Using the indicators as a reference

Most of the indicators were satisfactory (see Annexes 12, 13, 14), according to the criteria considered in the GEF- UNDP Evaluation Guide. The criteria are: Very satisfactory (VS), Satisfactory (S), Moderately satisfactory (MdS), Moderately unsatisfactory (MdU), Unsatisfactory (U), Very unsatisfactory (VU).

2.9. Perceptions towards the SLM

Perceptions of the actors

Beyond the numbers, it is important to know how the project is perceived by the actors involved (directly or indirectly), especially because the project is in a context of mining

activity. Accordingly, 45 actors from the most important sectors involved gave their perceptions:

- Peasant Communities
- Local governments
- Regional government
- Development projects
- National government (MINAM)
- Mining sector

The type of interview was open-design (structured or directed types were not used to avoid oriented answers). In the next paragraphs, there is a summary of the perceptions from the actors interviewed.

a) Regarding the development of capabilities of institutions and organizations, related to the SLM

Two municipalities and four community organizations interviewed identified two types of support to the SLM, which allowed the strengthening of their organizations: meetings and internships (municipalities' representatives could travel to different places in the country and to Bolivia), and the advice that the peasant communities received in relation to their legal instruments (notebook acts, statutes, and registration)

b) Regarding the strengthening of farmers' capabilities for applying the SLM in their productive system

Farmers of the four communities interviewed expressed the kind of support provided by the project, mainly in the diversification of crops, organic agriculture, and optimization technologies for water use (reservoirs, pressurized irrigation systems). The pride for the recovery of their own technologies plus the new technologies learnt is expressed in the publication "Eco-heroes". The existence of "technical leaders", "demonstration plots", and the monitoring manual of plots is also a consequence of the project.

c) Regarding the promotion of a model of practice for the interactions among the government, farmers, and the private sector (mining companies)

It can be confirmed that, although there is a certain progress in this component, it is not something explicit, documented, or recalled among the actors interviewed from the three big sectors: 1) Regional government of Apurimac (Natural Resources and Protected Areas

Division), Municipalities of Grau and Coyllurqui, and the two main projects in the zone involving the central government (MINAM); 2) community leaders from Yuricancha, Acpitan, Pfacó, Oropesa and Totorá communities; and 3) Xtrata company's representatives, who revealed their little knowledge about the project.

Final Evaluation from the perceptions

Ideas from the perceptions of the actors, who have been interviewed, are presented as mentioned before, by using open-design type interviews (see Annexes 2, 3, 5, 6).

a) Regarding the development of capabilities of the institutions and organizations, related to the SLM

There is an acceptance level about the strengthening of their organizations, as everybody expressed the consolidation of their organizations such as in legal formalization issues and unity of the members in activities such as water management.

b) Regarding the strengthening of farmers' capabilities in applying the SLM in their productive system

It can be perceived awareness about biodiversity value and optimal water use, as well as organic production and healthy products, these latter contribute to self-consumption and a necessary entrance to the market.

c) Regarding the promotion of a model of practice for the interactions among the government, the farmers, and the private sector (mining companies)

This topic is the least treated by the three sectors. The representative of the Grau Municipality was one of the interviewed people who further treated the topic, stating the relation with the mining company, especially referring to the stage after mining activity. Nonetheless, this is a topic that is not explicitly shown, and according to a personal opinion of one of the representatives of Xtrata mining company, the project is little known by his institution.

Evaluator's perception

There are some key concepts of the project that are not explicitly clarified:

- **Land** is a basic concept that should be managed transversally among all the actions of the project. Although the concepts of biodiversity and water are mentioned in the project, they should be treated from a perspective of land management, and not separately as a project of PRODERN (which targets at biodiversity projects) or PACC (which targets at climate projects).
- The **desertification** concept, which is associated to the degradation of lands in arid, semi-arid, or sub-humid dried conditions, is not a concept that is related to water and biodiversity recurrently. Nonetheless, only two actors (big projects in the zone) have a clear idea of this conceptual relationship: PACC and PRODERN.
- The **Ecological-economic Zonification (EEZ) and the Land Use (LU)** are topics that do not appear related to the sustainable land management and desertification in a clear way. It is not clear if there are related maps for the zone of influence of the SLM project, although there is some progress in this matter (see Annex 16).
- One of the interviewees who demonstrated knowledge of the importance of the EEZ, as a tool for planning the production in Grau, was a representative of the civil society in Grau.
- According to the interviews carried out with the representatives of the other two main projects in the zone, it is perceived that, although there was coordination among these projects in the field, the SLM project did not define its profile clearly, in comparison to the profiles of the other projects. For example, one of the projects had a clear profile targeted at climate issues, and the other one targeted at biodiversity issues. Hence, the SLM project should have defined itself as a project targeted at desertification issues, combating land degradation, sustainable land management, and land conservation.
- Another key topic that was not explicitly shown is related to the central and final goal of the project, which is the promotion of a model of interaction among peasant communities, the government, and the private sector (mining companies), as a **replicable model** to be followed by other experiences in the highlands, where this scenario is very common.
- Among the three sectors, the least involved and could be said, the least satisfied, was the mining sector, according to an unofficial opinion of one representative of the most important mining company in the zone.
- Other topics that should be highlighted even more are the role of traditional knowledge, and climate change issues, which are always related to central topics of the SLM.

3. CONCLUSIONS, LESSONS AND RECOMMENDATIONS

3.1. Corrective measures for the designing, implementation, follow-up, and evaluation of the project

The measures recommended for future similar projects, starting from the weaknesses found in the original formulation of the project, are:

- To have an order in the activities to maintain the focus on the land management.
- To strengthen and propitiate indicators that show the relationship with the private sector in the zone, as it is the synthesizing component of the entire project.
- To highlight the relationship of the “capabilities” concept to the educational sector, research, and regional, national, and international academia.
- To elaborate a speech based on the concepts that compose the title of the project.

3.2. Actions to follow for strengthening the initial benefits of the project

Highlight the importance of the products related to EEZ, LU, CD (combating desertification), and maps (for land cover and use, land classification, and conflict of use), bearing in mind that the key words of the project are “land”, “management”, and “sustainability”.

3.3. Proposals of future directions targeted at the main objectives

The main objective of the project is the validation and promotion of a model for the management of natural resources, compatible with productive uses and involving the government, the communities, the private sector, and the civil society. As a result, it is expected to contribute to the diminishment of pressure on natural resources (in terms of land management, water conservation, and biodiversity), and the increment of funds invested in the SLM from the mining company that operates in the zone. Although the project has accomplished important progress, in relation to the validation and promotion of a model, it has not been evidenced enough yet due to sustainability reasons (now the project has to relate to the new owners of the mining company). Hence, it is important to follow the recommendations suggested and prioritize their progress.

3.4. The best and worse practices for tackling issues related to relevance, performance, and success

The best practices used in the project were:

- The scope related to the strengthening of capabilities for communities
- Good relationships with the Regional Government of Apurimac, and Grau and Coyllurqui municipalities
- Good relationships with the communities and farmers directly involved in the SLM
- Joint actions with related projects, located in the zone

The worse practices used in the project were:

- Lack of further precision in the sustainability indicators, during project formulation
- The formation of a meeting space for the three main actors has not been completed
- Lack of references in desertification issues
- Lack of further planning in a surveillance or monitoring system against the uncertainty

3.5. Conclusions

- Up to date, the SLM project has a level of accomplishment close to 90% (88%)
- The component with the best accomplishment is related to the strengthening of institutional capabilities, followed by the development of agroecological capabilities and the optimal use of water. The component with the lowest accomplishment is related to the interactions among the main actors of the SLM in the zone.
- Relationships with the Regional Government of Apurimac and municipalities (e.g. Grau and Coyllurqui) are optimal.
- Relationships with farmers and communities directly involved in the SLM are also optimal.
- Relationships with other related projects in the zone are also optimal, reflected in the great number of joint actions undertaken in the Region, although the differentiation profile of the SLM project is not clear.
- Apparently, the least satisfied actor with the project is the mining private sector of the zone.
- Some of the topics least mentioned during conversations with the actors were the desertification and the creation of meeting spaces for the three main actors identified in the project's zone.

3.6. Lessons learnt

Regarding the results expected from the project

An important lesson to take into account is the existence of a “roadmap” that allows to maintain a ranking of the project’s results. Every result is important, but there are priorities and differences in “specific weight”.

Another lesson learnt is being alert about the results of the surveillance or monitoring system; consequently, it would be possible to make changes during the project implementation. For instance, having a rapid reaction towards the change of owners of the most important mining company in the region, which just before the commencement of the exploitation phase in 2015 changed from Swiss capital to Chinese capital.

Regarding the project management and executing team

There was confusion in the prioritization of the project’s activities and the distribution of tasks among the team members, due to endeavors linked to urgencies (immediate problems) of the communities involved in the project. The lesson learnt is to maintain as much as possible the original lines proposed for project management, including for tasks of the personnel. In case it is impossible, a strong and active monitoring system should be able to report changes in a short time, especially in a diverse, unstable, and complex environment such as the highlands.

Regarding the project strategy

The project maintained a strategy; however, it did not work with the same intensity on one of the most important components due to its national level of relevance: a harmonious relationship or at least a zero tolerance towards conflicts, through the component “promotion of a model of practice for the interactions among the private sector, the government and the farmers in supporting the SLM”. Hence, the lesson is to set the endeavours in a hierarchical order, which is always demanded by any strategy for reaching a goal. The resources of the project were not necessarily ordered; there was a progress in the creation of favourable conditions for the meeting space of the three main actors, but maybe the timing of the final phase of the project (the most important phase) was not correct.

Regarding the main activities of the project

The main activities were accomplished: strengthening of institutions such as communities, local governments, different kinds of groups (women, youngsters, and producers); training of leaders and authorities through courses, workshops, and internships, the latter with a great impact. Likewise, activities targeted at the development of farmers' capabilities were carried out, as well as activities targeted at producers and youngsters (Globe Program for students and teachers of high school mainly). However, the most delayed component was the "promotion of a model of practice for the interactions among the private sector, the government, and the farmers in supporting the SLM", which caused an imbalance in the accomplishment of the main activities. Hence, the lesson is to improve the hierarchization of activities, bearing in mind which goes first, second, and third.

3.7. Recommendations

- The Project should order its actions hierarchically. The focus on land management, desertification, sustainable use of water and land, biodiversity and land, climate change and land, development of capabilities for the SLM, and, finally, a model of interaction among the three main actors for the SLM, should be maintained. These aspects should be explicitly ordered according to the priorities, objective and expected main results of the project.
- Internationally, the SLM projects are associated with combating desertification; hence, this is the main aspiration of the project, and topics related to land should have a central role in the SLM.
- The products related to EEZ, LU, CD (combating desertification), and maps (for land cover and use, land classification, and conflict of use) should have a special place in the SLM project, bearing in mind the key words "land", "management", and "sustainability".
- The relationship with the mining private sector should be strengthened, as this is the synthesizing component of the entire project.
- The project has important results, but they should coincide with the title of land management in a sustainable way that prevents and mitigates desertification processes in the zone, and contributes to combat desertification at regional and national level. Due to it, the project has a relationship with the Convention of Combating Desertification, and the Division of Climate Change, Natural Resources and Combating Desertification of the MINAM.

- The SLM project should highlight its relationship with the educational sector, research, and regional, national, and international academia, while the concept of “capabilities” should be treated as a transversal concept.
- The SLM project should elaborate a discourse based on the concepts that compose the title of the project, ensuring in this way a consistency in every action undertaken.