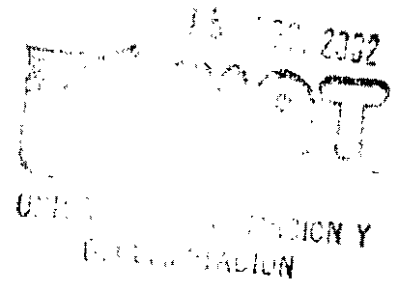


**Methodologies for Decision
Making in Natural Resource Management**

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**Developing Local Organizational Processes
for Natural Resources Management**



**Jorge Alonso Beltrán
Dominga Tijerino
Ronnie Vernooy**

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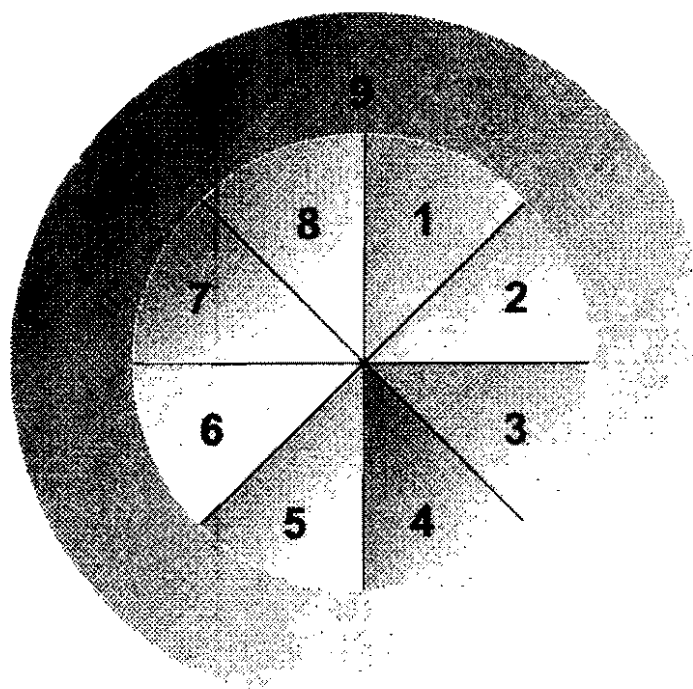
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Includes 48 paper originals for transparencies.

1. Community organization. 2. Participatory planning. 3. Agreement.

Methodological Instruments for Making Decisions in Natural Resource Management



1. Participatory method for identifying and classifying local indicators of soil quality at the micro-watershed level

2. Photo-topographical analysis (PTA) of land use trends in hillside areas

3. Participatory mapping, analysis, and monitoring of natural resources in a micro-watershed

4. Methodology for analyzing the stakeholders involved in collective land management at the micro-watershed level

5. Identifying levels of well-being in order to construct local profiles of rural poverty

6. Atlas of Yorito and Sulaco, Department of Yoro, Honduras

7. Identifying and assessing market opportunities for small rural producers

8. Use of simulation models for evaluation

9. Development of local organizational processes for collective management of natural resources

The figure represents the set of tools for use in decision making in natural resource management. The tools, represented by the green sections of the figure (*Participatory method for identifying and classifying local indicators of soil quality at the micro-watershed level*, *Photo-topographical analysis (PTA) of land use trends in hillside areas*, and *Participatory mapping, analysis, and monitoring of natural resources in a micro-watershed*), help identify, analyze, and prioritize biophysical components, such as natural resources at farm, micro-watershed, or sub-basin levels.

The tools in blue (*Methodology for analyzing the stakeholders involved in collective land management at the micro-watershed level* and *Identifying levels of well-being to construct local profiles of rural poverty*) help identify relationships between the different users of natural resources. By identifying standards of living, the socio-economic components can be classified at rural community, village, and regional levels.

The tool in yellow (*Atlas of Yorito and Sulaco, Department of Yoro, Honduras*) helps standardize integration, analysis, and presentation by mapping data generated by the tools in green and blue.

The tools in orange (*Identifying and assessing market opportunities for small rural producers* and *Use of simulation models for evaluation*) help facilitate the design of alternative scenarios to plan production at the farm and micro-watershed levels.

Encompassing these eight decision-making tools, the purple tool (*Development of local organizational processes for collective management of natural resources*) helps (a) define the collective use of the other tools, and (b) disseminates results obtained from their application. This tool is useful for organizational communities to improve their decision-making processes during collective management of natural resources at the watershed level.

Content

Page

Introduction	1
Users of the Guide	3
Learning model	3
General Structure of the Guide	5
Self-evaluation	6
Self-evaluation Feedback information	8
Objective	10
Originals for transparencies.....	11

Section 1. Processes of organizational difference1-1

Section Structure	1-2
Objectives	1-3
Orientating questions	1-3
Introduction	1-4

1.1 Experience A: Inter-institutional Committee to Reforest the Calico river, San Dionisio, Nicaragua	1-6
1.2 Experience B: Committee for the Sustainable Development of the Tascalapa river watershed (CLODEST) Yorito, Honduras	1-9
1.3 Experience C: Inter-institutional Consortium for a Sustainable Hillside Agriculture (CIPASLA), Municipality of Caldono, Cauca, Colombia.....	1-13
1.4 Experience D: Municipal Counsel for Rural Development (CMDR) Buga, Colombia	1-27
1.5 Synthesis of the experiences	1-30

Exercise 1.1 Organizational processes Case studies	1-31
--	------

Bibliography	1-34
Originals for transparencies	1-36

Section 2. Methodological Instruments for Developing a Process of Organization at Watershed Level2-1

Section structure	2-2
Objective	2-3
Orientating questions	2-3
Introduction	2-4
2.1 Internal regulations.....	2-4
2.2 Basic principles to harmonize producers and interested parties in research activities and management of natural resources	2-7

2.3 Participatory Planning by Objectives (PPO)	2-8
2.4 The flowchart technique	2-9
2.5 Indicators to evaluate organizational processes	2-10
Exercise 2.1 Organizational processes: Internal regulations The Quadrilateral	2-12
Exercise 2.2 Organizational processes: Harmonizing principles Socio-drama	2-15
Exercise 2.3 Identifying indicators to evaluate organizational processes	2-21
Bibliography	2-23
Originals for transparencies	2-25
Section 3. Steps in a Process of Organization at Water-Shed level.....	3-1
Section Structure	3-2
Objectives	3-2
Orientating questions	3-2
Introduction	3-3
3. Steps toward an organizational process at micro-shed level	3-5
3.1 Step 1: Formulation of the purpose, strategy and expected outcomes in an inter-institutional work	3-5
3.2 Step 2: Identifying social stakeholders	3-6
3.3 Step 3: Facilitating the development of new local organizational forms	3-7
3.4 Step 4: Strengthening the existing local organizational forms	3-8
3.5 Step 5: Promoting the conformation of local networks or associations of local community groups	3-9
3.6 Step 6: Facilitating the inter-institutional coordination	3-10
3.7 Step 7: Establishing links among local, regional, national and international levels	3-10
3.8 Step 8: Fulfilling the participatory planning	3-11
3.9 Step 9: Follow up and evaluation	3-12
3.10 Table of methodological tools and experiences	3-13
Exercise 3.1 Key elements to form a Consortium. Video	3-14
Exercise 3.2 Steps of an organizational process at watershed level	3-18
Bibliography	3-21
Originals for transparencies	3-22
Annexes	
Annex 1. Final Evaluation of knowledge	A-5
Annex 2. Final Evaluation of knowledge	A-8
Annex 6. Technical Annex	A-18
Annex 6.1 Case studies	A-18
Annex 6.2 Kit of nine laminas containing the methodological steps of the organizational processes	A-27
Annex 6.3 Video: Water Murmur	A-28

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Introduction

This guide has been based on the work of the CIAT Hillside Project team, in the development of organizational processes at sub-watershed level in Honduras, Nicaragua and Colombia. The problems encountered during the project have provide an ideal basis for the development of this guide.

There is a lack of documentation about the dynamics of the organizational process. This makes the process of reflection and analysis difficult. Another limitation, of a more technical nature, has been the lack of coordination within the governmental, non-governmental agencies and the base communities involved in the process. This lack of coordination has led to disjointed policies, State programs and rural population interests.

Another weakness has been the lack of participation of local organizations in the decision making process. In many cases local organizations have not had sufficient time or been given enough information to be fully aware of the consequences of this process. Lastly, planning limitations exist, particularly of a participatory nature because local organizations lack the experience and ability to apply short, middle and long term policies and strategies that respond to the needs of the people in rural zones.

The concept of collective management of natural resources requires community agreement about exploitation conditions. The section in the guide about the analysis of the stakeholders for the collective management of natural resources in the micro-watersheds contains various strategies to help with the development of agreements about land management, thus avoiding any conflict.

This guide is a discussion document for people who have or will in the future be involved in the development of organizational processes. The guide provides an opportunity to exchange experiences which can then be used in its development.

Favorable conditions

Currently, conditions for community participation in wider decision making processes are favorable. Political and administrative reforms adopted by most Latin American countries to foster decentralization, have produced important changes in municipal life. One of these changes has resulted in a decision making environment in which the people have an opportunity to take an active part in agreements and decisions that affect the management and use of resources. led the municipality to become a harmonizing space to make decisions, where civil society has the opportunity to assume responsibilities, and be an active part in agreements and decisions on resources use and management. This leads to developments within their communities and municipalities.

One premise

In order to strengthen the organization of the community, the following premise is to be taken into consideration: a community organization is not built on entities with traditional grouping techniques. A dynamic organization, locally rooted, results from much more complex social and cultural processes through which local people have the floor and the criteria to choose the best alternatives.

There are 'community organizations' and 'organizations with the community'. The former are generally the result of local cultural, social and political processes, and are the ones that have been proved to be sustainable through time. The latter emerge as institutional initiatives to support developing processes. Nevertheless, they often disregard the feelings, convictions and priorities of the individual communities. (Vidal, M. 1995).

Community organizations interact with inter-institutional organizations in a mutually supportive way in search of increased relevance and sustainability of local level actions.

Community development bodies might play the role of information, methodological and technological facilitators. This means that the communities, previously limited socially, economically and politically, may have access to valuable information, method and technology.

Content of the guide

This guide is structured as follows:

1. **Introduction:** outlines the uses of the guide.
2. **Different organizational processes:** looks closely at the four case studies Honduras, Nicaragua and Colombia (two cases).
3. **Organizational planning and evaluating tools**
4. **Methodological steps:** the various methodological steps required to form an inter-institutional local organization to suit zone needs.

Didactic Materials

This guide is accompanied by the "Water Murmur" video. The video documents an organizational experience in the Cabuyal river sub-watershed, Cauca (Colombia). A guide, with open questions for the audience, is included. Also, there are four case studies about organizational experiences in Nicaragua, Honduras and Colombia.

Users of the Guides

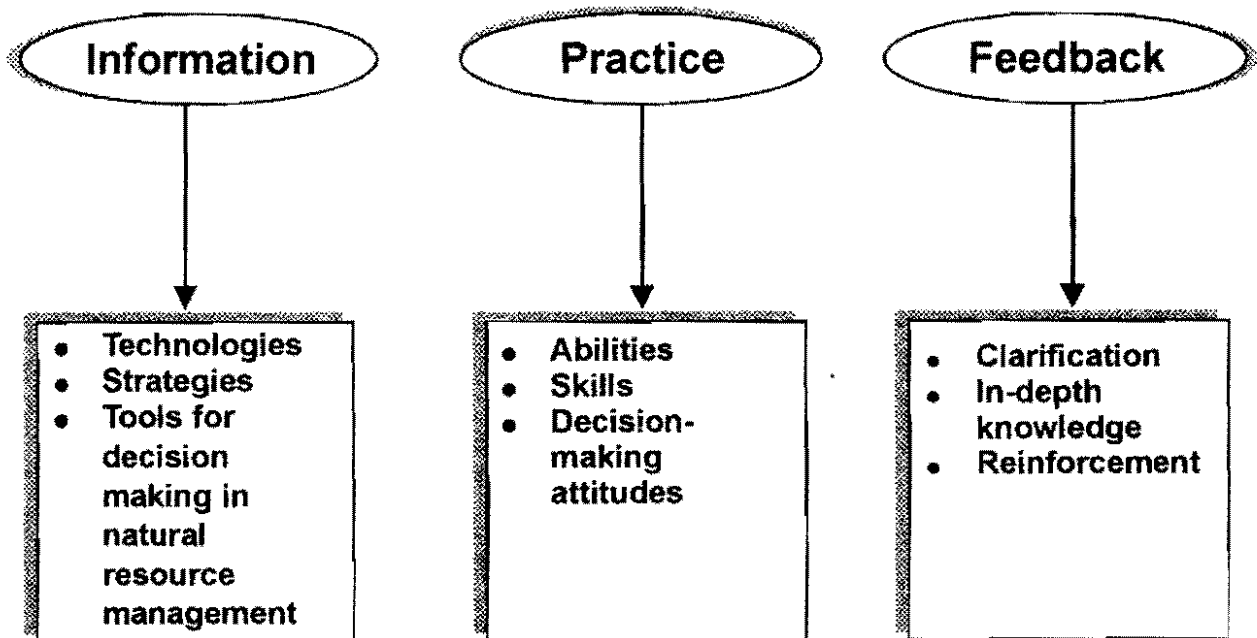
The series of nine Guides for decision making in Natural Resource Management is directed at two specific users.

The first is made up of professionals and technicians who work for organizations and institutions in the private and public sectors. They are dedicated to research, development and training in renewable natural resource management. This type of user should take advantage of the guides to support planning, execution, follow up, and evaluation. We expect that this group, once trained in the use of the methodologies, will exercise a role as facilitator for the hundreds of other professionals, technicians, volunteers, and producers by promoting, analyzing and adapting these methodologies for use in the decision making process in natural resource management at the local, regional and national levels.

The second group of users is made up of inhabitants of the watersheds and portions of watersheds in tropical America. These people, through training, consulting and support from a variety of non-governmental organizations and agencies of the State, will be able to make the methods and strategies presented herein their own. They will be able to actively participate in the management and conservation the natural resources in their area.

These materials are especially dedicated to the teachers in the faculties and schools of agricultural and environmental sciences and those in natural resources. These are the professional and technical people who will work with agricultural communities towards the maintenance and regeneration of the natural resources.

Learning Model



The series *Training Guides over Methodological Instruments for Decision-Making* follows an educational model based on learning by doing. The model outlines a training process for trainers and facilitators that uses field research results as material for developing skills, abilities and attitudes that are required for effective natural resource management decision-making.

The users of these guides will observe that the methodological components differ from other materials. Each section contains design elements for the trainer's use.

The guides include a set of objectives that enable the teacher and participant to direct the learning process. This is achieved through exercises that use field case studies or realistic scenarios to practise the processes of analysis and decision making, using walks, simulations, dramatizations, and the application of different instruments for information collection and analysis.

Other components include the feedback sessions. Here, the training participants and trainers review the completed exercises and consider the aspects that need reinforcement. The last part of each session is for feedback. Here the participants consider how they might develop their own methodology.

In summary, the model is made up of three elements:

- (1) Technical and strategic information: this is the product of research and constitutes the technological content necessary for decision making.
- (2) Practicals: these are presented in the form of exercises in the training site and field activities, aimed at the development of abilities, skills and attitudes for decision making.
- (3) Feedback This formative evaluation ensures the participants master the underlying theoretical principles and their proper application.

The practicals are central to the training process. They simulate decision making situations. Through the exercises the participants use the instruments presented in this guide. They can experience the difficulties that may arise in their individual communities, as well as the problems of application at the local level. Similarly, the participants may recognize the benefits that the process may have for the particular environments (local or regional) of their country.

The exercises included were extracted from case studies conducted in small watersheds in Honduras, Nicaragua and Colombia. However, the trainers from other countries and regions will be able to use the examples together with their own experiences to redesign the practicals and adapt them to a local context. Each trainer has guides that can be adapted to suit the needs of different settings.

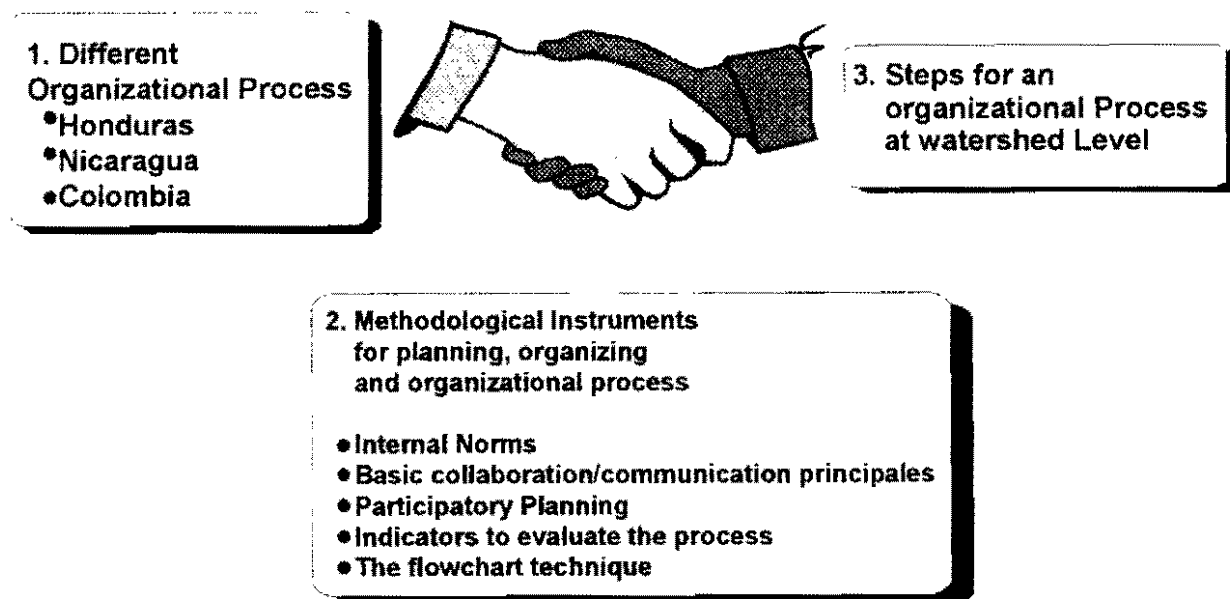
Uses and adaptations

It is important that the users of these guides (trainers, facilitators) understand the functional role offered by the didactic structure so that the participants benefit. The participants are the ones who will be using these instruments in the development process at a local level.

In order to achieve this, we emphasize the use of flow diagrams to help the trainers in the presentation of the different sections. We include: orientation questions to establish a dialogue and motivate the participants before the introduction of any theoretical detail; originals for transparencies that can be adapted to suit different needs; appendices cited for research purposes; recommended exercises and practicals that can be adapted or substituted with more relevant scenarios; feedback sessions to exchange local, regional or national data to make them more relevant and may help to reinforce; didactic appendices (post-test, evaluation of the trainer, evaluation of the event, evaluation of the material, etc.) help to complement the training activities.

Finally, the central idea of the training model presented in this guide is based on the premise that practical experiences are the essence of the learning process. Therefore, training should provide enough time for the participants to develop abilities, skills and attitudes, that reflect the training objectives, through a practical approach. This is essential for the training to be successful in facilitating effective natural resource management decision making.

General Structure of the Guide



Explanation

The figure above shows the general structure of the guide. This figure shows the various topics and sub-topics and how they inter-relate.

The first topic refers to identifying similarities and differences among the organizing processes, using the analysis of four different case studies from Honduras, Nicaragua and Colombia.

The second topic corresponds to methodological instruments for organizing, planning and evaluating organizational processes, that include: internal regulation; participatory planning by objectives (PPO); basic collaboration/ communication principles; and, the evaluation indicators.

The third topic is made up of the principles and characteristics of an organizational process. It deals with definition, purpose, strategy and expected results. It explains the roles of those involved in the process, and establishes some methodological steps to encourage local and inter-institutional organizational development, for the collective management of natural resources.

Self-evaluation

This section introduces some questions aimed at helping the training facilitators to determine prior knowledge of the participants. At the same time, the questions introduce the general theme. Although this guide has been designed to train technicians, sometimes there may be community organization leaders participating. In this instance, it is necessary to adapt the language used in the questions.

The main objective of these questions is to determine knowledge levels of the participants prior to training. The trainers and facilitators can administer a similar evaluation post-training to establish the success of the training process.

Orientations for the Instructor

The participants are to form a circle. This allows everyone involved better visual contact. Each person wears a clearly written identity card that can be seen from a distance.

Two facilitators are required to complete the self-evaluation. One of them is responsible for posing each question to the audience in a plenary session, while the other one writes on a flip chart the answers. A variation to this exercise is to ask the participants to write the answers on cards. These answers are then collected and the information transferred to the flipchart for collective analysis and reflection.

The answers must be written exactly as they are given by the participants. One facilitator is to later field a brief discussion about the responses.

Questions

1. What is the importance of a local organization in a community? _____

2. What are the advantages of the local organization (community participation) in making decisions at municipal level?

3. What are some of the conditions necessary to stimulate and consolidate the participation of community organizations at wider levels?

4. How does the lack of inter-institutional coordination affect local development?

5. What type of limitations, with regard to the internal operation and the external projection, are faced by some local organizations?

6. What would you do to promote the development of a local and inter-institutional organizational process at watershed level?

Self-evaluation Feed back information

Orientations for the Instructor

During the plenary session and with aid of some over head transparencies one facilitator is to present the feed back information generated by the questions from the self-evaluation. The answers may vary dramatically. However, the answers listed below are typical responses. Different answers are to be added to the list and discussed.

Emphasis any responses that are in keeping with the objectives of the guide.

Close this self-evaluation session with the transparency about the various perceptions of reality (DPO-I.10), which can be found in the set of original for transparencies (p.15).

Answers

To question 1

- Allows the identification and quick prioritization of community needs.
- Identifies, collectively, alternative solutions to community problems.
- Facilitates coordinated and harmonized actions.
- Develops communication within the community.
- Involves the population in performing concrete activities for the benefit of the community.
- Promotes the development of community leadership.

To question 2

- Allows the community to establish priorities.
- Helps the project's objectives to respond to community expectations.
- Is guarantees that programs and projects formulated satisfy community needs.
- Allows the formulation of achievable and measurable targets, since the communities have more understanding of their own situation.
- Offers support and strengthens the actions of the municipal government.
- Demonstrates viability of community projects and encourages other co-financers to follow suit.
- Allows the municipal government to make a better use of invested resources (proper and co-financed).
- Encourages the proper use of resources.
- Supports follow-up evaluation of projects.

To question 3

- Creates opportunities for discussion and exchange of ideas, opinions and suggestions.
- Enables communities to access information sources.
- Supports local organizations in strengthening self-management capacity.

To question 4

- Reduces efficiency in the use of human and economic resources.
- Does not develop complementary institutional actions.
- Does not allow the identification of institutional strengths and weaknesses.
- Limits the exchange of inter-institutional experiences.
- Limits the integration of very diverse information sources, from primary and secondary origins.

To question 5

- Lack of internal organization.
- Shortage of economic resources.
- The composition is not representative of interests.
- Insufficient staff training.
- Lack of media communication.
- Excessive zeal for their own activities.
- A non-cooperative attitude with other local organizations.

To question 6

Some participants' answers might include some activities, such as:

- Identifying social stakeholders.
- Facilitating the development of new local or community organizational forms.
- Strengthening existing local organizational forms.
- Promoting the formation of networks or associations of local community groups.
- Facilitating inter-institutional coordination.
- Establishing vertical links between 'the local level' and regional, national and international levels.
- Facilitating participatory planning.
- Clearly explaining the purposes, strategies and outcomes.
- Facilitating monitoring and evaluation.

Note: The instructor is to accept all answers and comments, but must not go into any explanation since this is the purpose of the training.

Objectives

General

At the end of training the participants are expected to be able to facilitate the development of an organizational process at watershed level through the interaction of various stakeholders. The main objective of this is to improve the natural resource management decision making process.

Specific

In order to suitably comply with the general objective mentioned above, the participants are expected to:

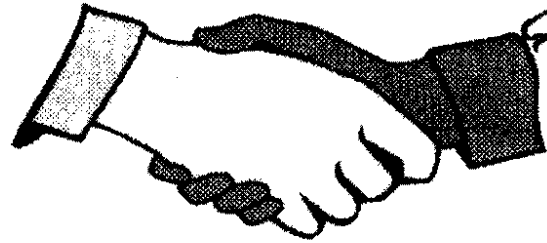
- Recognize similarities and differences among different organizational processes.
- Identify appropriate tools (adapted to the local context) for organizing, planning and evaluating organizational processes.
- Identify the basic components of an organizational process at watershed level.
- Formulate a plan to develop a local and inter-institutional organization at watershed level.

Originals for Transparencies

GUIDE STRUCTURE

1. Different Organizational Process

- Honduras
- Nicaragua
- Colombia



3. Steps for an organizational Process at watershed Level

2. Methodological Instruments for planning, organizing and organizational process

- Internal Norms
- Basic collaboration/communication principles
- Participatory Planning
- Indicators to evaluate the process
- The flowchart technique

GENERAL OBJECTIVE

To facilitate an organizational process watershed level that:

- Involves the interaction of the various local stakeholders,
- aims' to perform joint actions,
- Improves decision-making processes related to the management of natural resources

SPECIFIC OBJECTIVES

- To determine the similarities and differences among the various organizational processes.
- To identify proper tools (adapted to the local context) for organizing, planning and evaluating organizational processes.
- To identify basic components for an organizational process at watershed level.
- To develop a local and inter-institutional organization at watershed level.

SELF-EVALUATION

- 1.** How important is the existence of local organization within a community?
- 2.** What are the advantages of community participation (local organizations) in the decision-making process at municipal level?
- 3.** Name the conditions necessary to stimulate and consolidate the participation of community organizations.
- 4.** How is local development affected by the lack of inter-institutional coordination?
- 5.** What do you think are the steps to promote a local and inter-institutional organizational process at watershed level?

SELF-EVALUATION - FEEDBACK QUESTION1

- Allows a quick identification and prioritization of community needs?
- Identifies alternative solutions to community problems
- Facilitates, coordinates and collaborates actions
- Develops communication mechanisms within the community
- Involves the population in activities that benefit the community

SELF-EVALUATION - FEEDBACK QUESTION2

- Inclusion of community priorities in municipal development planning
- Allows project objectives to meet community expectations
- Supports and strengthens community organization
- Demonstrates viable community projects to others
- Allows the municipal government to make better utilization of resources to be invested
- Suitable follow-up and evaluation of the various on-going projects

SELF-EVALUATION - FEEDBACK QUESTION3

- Creating opportunities at various levels, for the exchange to ideas, opinions and suggestions
- Facilitating community access to information resources
- To have local organization supported by institutions in order, to strengthen their capacity to self-manage.

SELF-EVALUATION - FEEDBACK QUESTION4

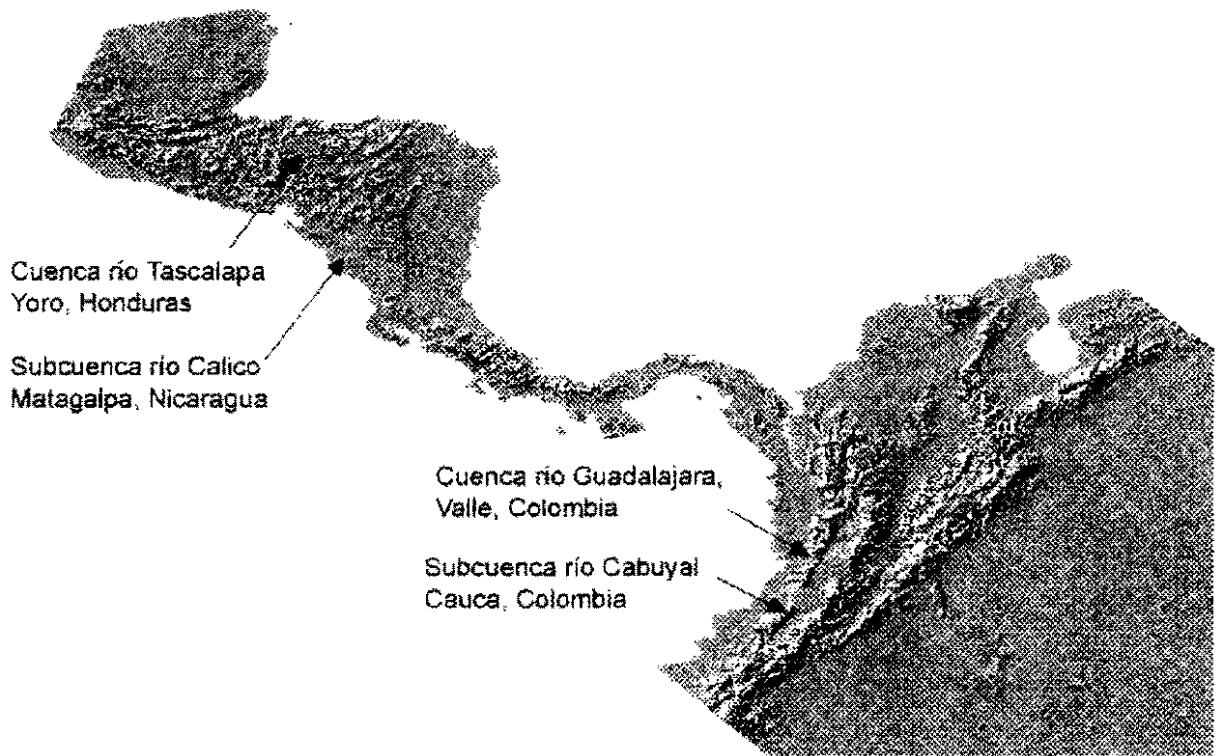
- Does not allow efficient use of human and economic resources
- Little development in the complementary nature of institutional actions.
- Fails to indentify institutional strengths and weaknesses
- Limits the integration and exchange of primary and secondary information sources

SELF-EVALUATION - FEEDBACK QUESTION5

- Identifies social stakeholders
- Facilitates the development of new local or community organizational forms
- Promotes the formation of networks or associations of local community groups
- Makes bonds between local and regional, national and inter-institutional organizations
- Formulates purposes, strategies and outcomes
- Facilitates participatory planning

Section 1

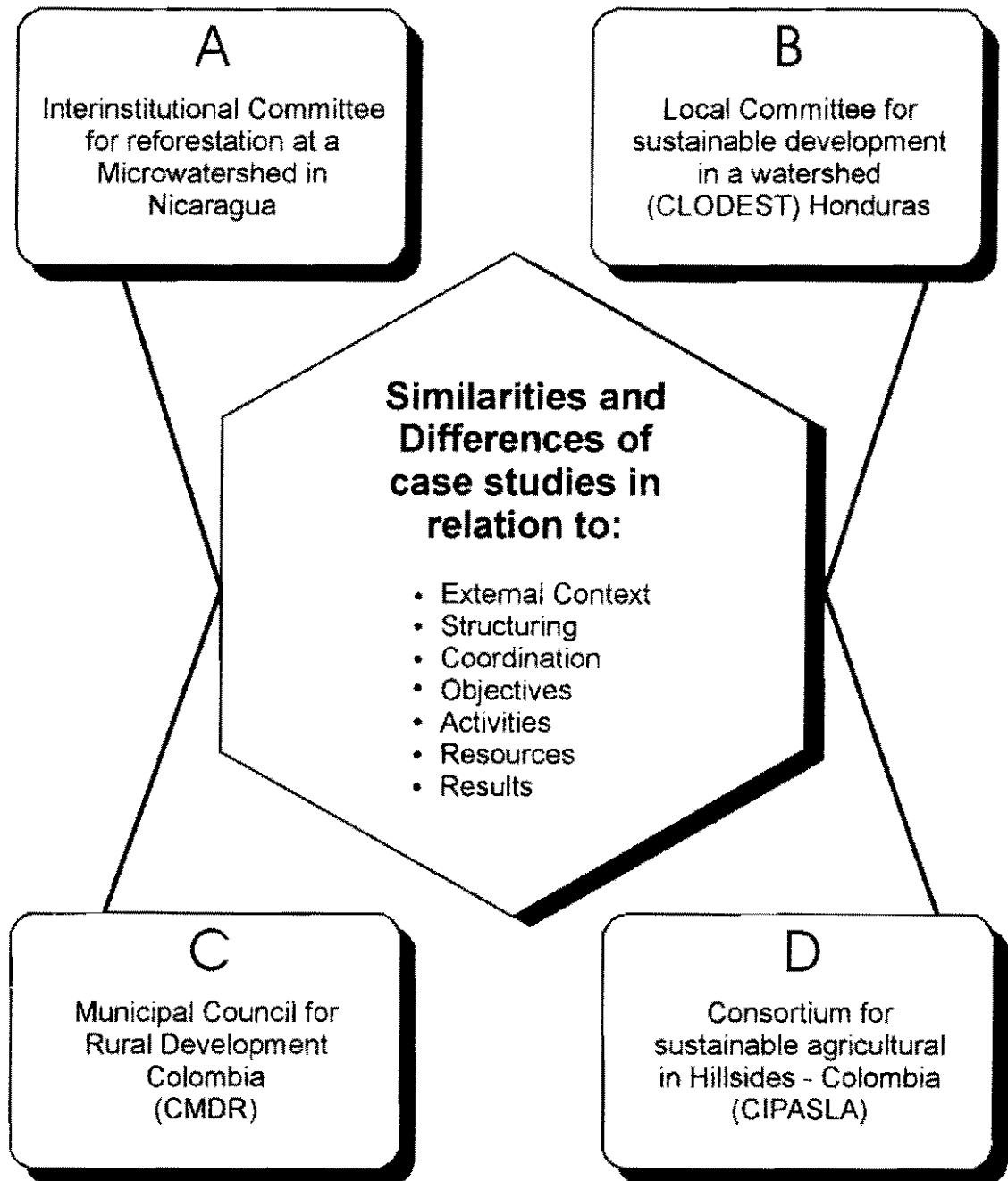
Different organizational processes



(Figure) Tascalapa River watershed, Yoro, Honduras.
Calico River sub-watershed, Matagalpa, Nicaragua
Guadalajara River watershed, Valley of Cauca, Colombia

Section Structure	1-2
Objective	1-3
Orientating questions	1-3
Introduction	1-4
1.1 Experience A: Inter-institutional Committee to Reforest the Calico River, San Dionisio, Nicaragua	1-6
1.1.1 Socio-geographic context	1-6
1.1.2 Formation	1-7
1.1.4 Activities	1-8
1.1.5 Resources	1-8
1.1.6 Expected results	1-9
1.2 Experience B: Committee for the Sustainable Development of the Tascalapa River watershed (CLODEST) Yorito, Honduras	1-9
1.2.1 Socio-geographic context	1-9
1.2.2 Formation	1-9
1.2.3 Mission	1-10
1.2.4 Objectives	1-10
1.2.5 Activities	1-11
1.2.6 Resources	1-11
1.2.7 Outcomes	1-12
1.3 Experience C: Inter-institutional consortium for a sustainable hillside agriculture (CIPASLA), Municipality of Caldoño, Cauca, Colombia	1-12
1.3.1 Socio-geographic context	1-13
1.3.2 Agricultural activities	1-13
1.3.3 Setting up a consortium	1-14
1.3.4 Functions of the CIPASLA and ASOBESURCA Boards of Directors	1-14
1.3.5 Participatory diagnosis	1-15
1.3.6 Planning by objectives (PPO)	1-16
1.3.7 The mission	1-16
1.3.8 Objectives	1-17
1.3.9 Activities	1-17
1.3.10 Resources	1-21
1.3.11 Outcomes	1-25
1.4 Experience D: Municipal Counsel for Rural Development (CMDR) Buga, Colombia	1-27
1.4.1 Geographic location and agro-ecologic characteristics	1-27
1.4.2 Population	1-27
1.4.3 Formation	1-28
1.4.4 Objectives	1-28
1.4.5 Activities	1-29
1.4.6 Participatory planning by objectives	1-29
1.4.7 Resources	1-30
1.4.8 Outcomes	1-30
1.5 Synthesis of experiences	1-30
Exercise 1.1. Organizational processes Case studies	1-31
Bibliography	1-34
Originals for transparencies	1-36

Section Structure



The case studies differ with regard to context, formation, levels of coordination required, objectives, activities, resources and achieved outcomes. Each of the case studies (Honduras, Nicaragua, Colombia) address these components.

Objective

To establish the similarities and differences of the various organizational processes.

Orienting questions

- How useful it is to know and share the organizational experiences of other countries?
- How can we take advantage of the various organizational experiences at local, regional or national level?
- What basic principles need to be considered in the development of an organizational process?

Introduction

To develop a local-level community and inter-institutional organizational process, it is necessary to know the existing socio-economic and political context. This context dictates the options and the opportunities available to the people women and men for organizing and coordinating plans, and actions for the collective management of natural resources.

For this to happen, local settlers (social stakeholders) must have good relevant information, so that they can consider the various alternatives for managing their resources. It is also necessary for these individuals (through common-interest groups or user associations) to manage and control the resources.

Therefore, it is not only the identification and adoption of technological alternatives that enables better management, but rather the search for and the creation of suitable social and organizational processes that will allow the stakeholders to strengthen their management capacity.

Reaching this objective means searching for an answer to these questions:

1. How can the ways currently used by the people to interact with natural resources (either individually or collectively) be changed?
2. How might the stakeholders (in this case, the users of the resources found in the hillside zones) play a meaningful role in developing processes or projects?

Similarly, it is essential that the social stakeholders have ownership of the organizational process. Without this, or the active participation of the people, the organizational process will fail.

Current situation challenges

Although local contexts vary considerably, making comparison is a good starting point for the development of an organizational process.

At local level, some people, particularly small producers and more often women, continue to be excluded from involvement in the development process.

There is a gulf between the peasants and local government organizations who have access to the professionals and resources. Currently there is room for more organizations, programs, professionals and systems to serve as a link between the local government agencies and the peasant communities.

Little is known about the processes through which research outcomes (information, alternative scenarios) might reach the stakeholders and become accessible knowledge. **We need to link ideas or principles, and practices.**

Geographical forms such as a watershed or sub-watershed not only need bio-physical analysis, but also need developing.

In order to build new social communities and the corresponding new organizational forms, it is important to:

- know the users of the natural resources. This requires an analysis of the stakeholders, from a gender perspective.
- create conditions that enable these users to organize themselves and to discuss their interests and possible conflicts. This is referred to as the formation of an organizational structure.
- define objectives, expected outcomes and the new rules of the 'game' (the sustainable management of local resources), develop joint actions or activities and overcome possible conflicts.
- monitor the organizational process at local and participatory levels, as well as the use of the natural resources.
- contact all participants from the watershed, in order to have a wider influence on their agendas and policies, and also to request direct services: It is important to create local demand (e.g: transforming the offered technical assistance, and the capital, into an investment where local needs and perspectives can be taken into account).
- bear in mind that in a community's social fabric there are issues of kinship, and co-paternity and other very informal relationships linking the people from various social groups. Often these links are not visible to the change agents who are generally external and temporary. It is necessary, therefore, to consider these relationships when developing successful initiatives related to the management of natural resources.

Organizational experiences in Latin America

In this guide there are examples of four organizational experiences carried out in Colombia (two cases), Honduras and Nicaragua (see the map on the cover of this section, and transparency DPO 1.1). The case studies can be found in Annex 6.1. The profiles contain a summarized version of the elements indicated in the previous section: local context, formation, coordination, objectives, activities, resources and expected achievements. As already mentioned in the general introduction to this guide, reflecting, analyzing, and exchanging experiences on the various organizational processes, can be meaningful.

We can learn from the successes and failures of these case studies. Recognising and analysing the diversity of organizational experience is worthwhile. It offers an opportunity to avoid similar mistakes and conversley, to learn from the successes. In short, based on these process reflections and analyses, it is possible to build some basic organizational principles to stimulate, develop or strengthen organizational processes at many levels.



Experience A: Inter-institutional Committee to Reforest the Calico River, San Dionisio, Nicaragua

1.1.1 Socio-geographic context

Grande de Matagalpa River watershed, located in the Department the river is named after, comprises three sub-watersheds. One of them is the sub-watershed of the Calico River, with a 170 km² surface, that encompasses the entire municipality of San Dionisio, and small territories adjacent to the municipalities of Matagalpa, Esquipulas and Terrabona. The municipal head is the village of San Dionisio, located 165 km. from Managua, capital of Nicaragua, and 40 km. from Matagalpa, the departmental head (Baltodano et al., 1997) Figure 1.1.

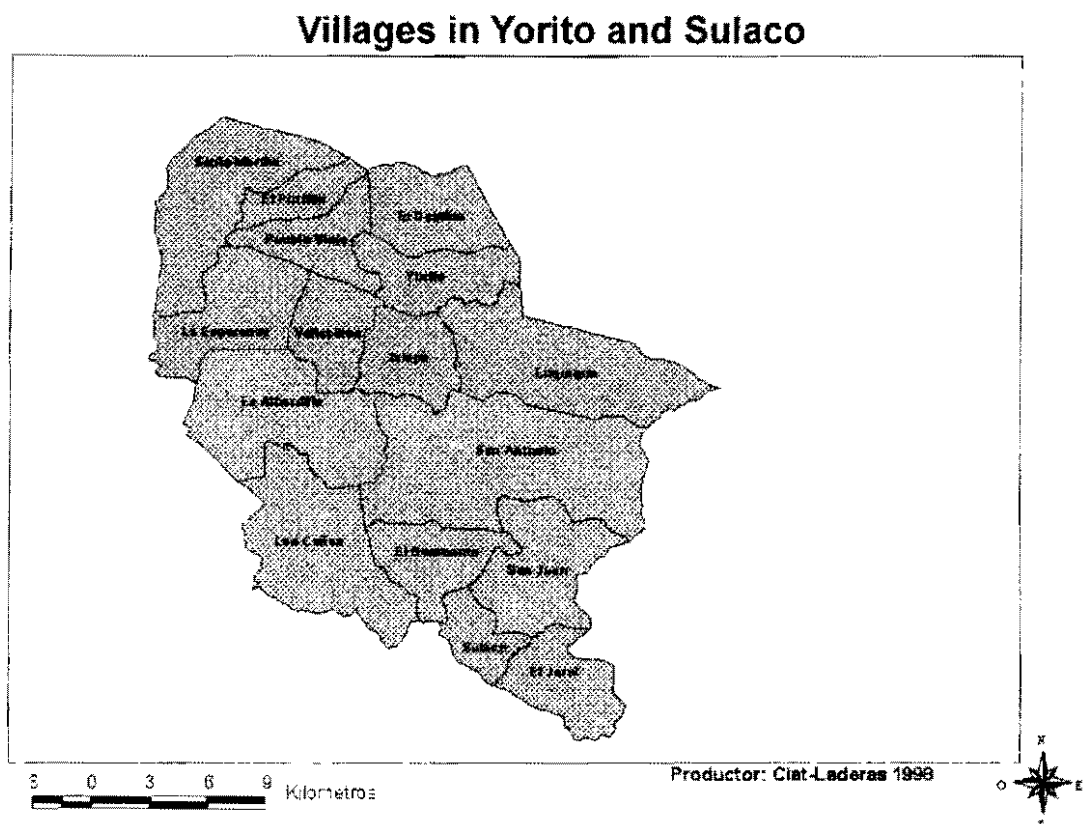


Figure 1.1 Villages in Yorito and Sulaco sub-regions

Municipality of Yorito

Municipality of Sulaco

Warning:

The village limits do not represent the official information; they are only for training purposes.

The climate ranges between dry and semi-arid, with the rainfall regime ranging between 800 and 1,100 mm/year. Heights vary from 350 m (outlet of the Calico River) up to 1,265 meters over the sea level (m.o.s.l.).

According to the 1995 national population census, the total population is 16,003, 86% of which corresponds to the rural population. The zone is noted for the small-scale basic grains production (1 to 4 blocks) and, to a lesser degree, by double-purpose cattle raising, and coffee crops in the high parts. There are some soil fertility loss problems, as well as deforestation and contamination of the potable water.

There are several non-governmental organizations (NGO) in the municipalities who are independently devoted to promoting soil conservation activities, peasant experimentation, credit and training. The municipal mayor's office, in turn, supervises the execution of infrastructure projects.

1.1.2 Formation

By mid 1997, six months after the arrival of the CIAT-Hillsides Project to San Dionisio zone, a reforestation initiative for the Calico River on the part of the mayor's office emerged, which was channeled through the Peasant-to-Peasant (PCaC) program, a local NGO.

For the reforestation initiative, the Calico River inter-institutional committee was formed, coordinated by the Municipal Mayor's office, and integrated by the Municipal Development Committee (MDC), a member of the Local Agricultural Research Committee (CIAL), one farmer from the fertile low land (proposed reforestation site), a representative of a development pole (re-insertion Project of the Social Action Ministry), a representative of the Governor's Ministry, and a representative from CIAT (Reforestation Committee, 1997).

1.1.3 A Participatory diagnosis

Within the framework of this project, a participatory diagnosis was conducted in the study area, supported by the producers from the areas close to the river. The producers thought that the agro-forestry systems, or the agro-sylvi-pastoral systems, combined with various systems, with or without the presence of pastures were preferable for conducting the diagnosis. Many producers referred to the importance of reforesting.

A transect from the Calico River fertile low land, of some 5 km, located to the North of San Dionisio, in the middle part of the sub-watershed was chosen for the reforestation activity. Due to its central location, this transect was selected as a demonstration area.

General objective of the project

To contribute to the sustainable management of the natural resources, and improve the quality of life of the municipality's inhabitants.

Specific objectives

- ✓ To reforest the fertile low land of the Calico River, to form agro-forestal systems that serve to improve soil coverage, recover its fertility and provide an income for the producer.
- ✓ To actively involve the population from the municipality, specially the youngsters, in the sustainable management of the natural resources.

The number of beneficiaries is 10,000 people. The direct participants of the project will be the producers and young students.

1.1.4 Activities

To begin the project, a calendar of activities was drawn up for the first year, which included:

- Between November, 1997, and May, 1998: The establishment and maintenance of a plant nursery; the training of the attendants to the project and the students.
- June, 1998: Trees were sown; producers were trained.
- Between July and November, 1998: Tree re-sowing and maintenance activities were performed; follow-up workshop; encounters with producers from other areas were held.

1.1.5 Resources

Once the aid to the project was approved, the local institutions and members of the Reforesting Committee committed their time to the supervision, monitoring and evaluation of the project. The participation of young students was supervised by the representative of the Ministry of Education in San Dionisio.

CIAT Hillside Project committed economic, human and transport resources to complete the diagnosis, and also offered counseling if required.

The Reforesting Committee received initial economic resources provided by CIAT Hillside Project, to establish a plant nursery, and to hire some people for its management and surveillance. Currently, the Reforesting Committee is trying to get some additional economic resources from the National Program for Rural Development (PNDR) for the amount of US\$35,000, over a three-year period.

1.1.6 Expected results

- Obtaining a greater variety of agro-forestry systems in the zone.
- Improving water quality.
- Obtaining additional income for the producers.
- Reducing water erosion.
- Improving environmental education for the youngsters.

1.2 Experience B: Committee for the Sustainable Development of the Tascalapa River watershed (CLODEST) Yorito, Honduras

1.2.1 Socio-geographic context

The Tascalapa River watershed is comprised of the municipalities of Sulaco and Yorito, in the Department of Yoro (Honduras), with a population of 13,000, and a territorial extension of 231.4 square kilometers (Figure 1.2).

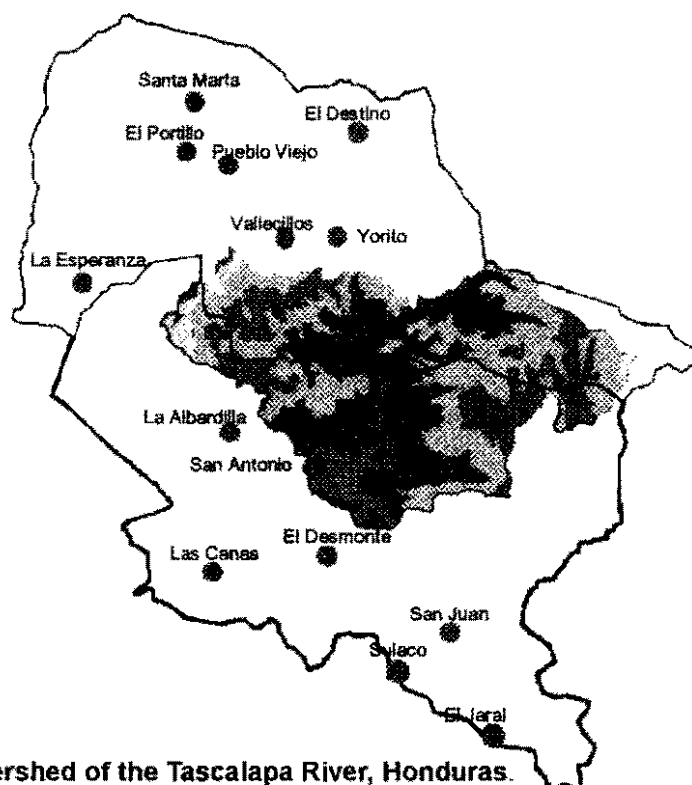


Figure 1.2 Sub-watershed of the Tascalapa River, Honduras.

The topography in Yorito is noted for its mountainous hillside zones, ranging between 400 and 1800 m.o.s.l., with middle and low zones corresponding to narrow valleys between the mountains of the Tascalapa River watershed.

Basic grains production systems prevail (corn and bean), coffee on the mountains, and sylvi-pastoral utilization with an extensive management of cattle-raising near the waterbeds. In the hillside zone, there are wide migratory agricultural areas (clearing and burning) with 'guamiles' (fallow) and isolated ploughs near the water sources.

1.2.2 Formation

The Local Committee for the Sustainable Development of the Tascalapa River Watershed (CLODEST) is made up of governmental institutions, NGO, regional institutions, international research centers and local organizations. A total of 38 people who represent 20 organizations, plus the technicians working for CIAT-Hillsides projects, IICA-The Netherlands/Hillsides, and the Participatory Research Project in Central America (IPCA) make up the committee. In September, 1996, the representatives from these institutions developed the "Joint Actions for the Sustainable Development of the Yoro Sub-region: Tascalapa Watershed", and constituted CLODEST, which is defined as a coordinating and consulting mechanism involving most sectors and stakeholders in the watershed. During the workshop, the main socio-economic and environmental problems obstructing development were discussed and carefully prioritized.

1.2.3 Mission

CLODEST's mission was to ensure that the interests of the Institutions and the people of the Tascalapa River watershed were both united and committed to the preservation of the natural resources of the area. Likewise, an intervention plan for the 1996-2000 period was identified, based on the common interests of the various institutions (CLODEST, IICA, Honduras/Hillsides, 1996).

As can be observed in the organization chart (Figure 1.3), CLODEST is made up of an assembly, the general coordination (exerted by the Municipal Mayor's office), production and environmental commissions, trading, health, credit, micro-enterprises and social commissions. The cooperation agencies (IPCA, IICA, CIAT) make up the counseling or support group, with the power to vote but with no say in the discussions. A board of directors supports the general coordination, which includes an executive director, the secretary, the treasury department, and the members of the counsel.

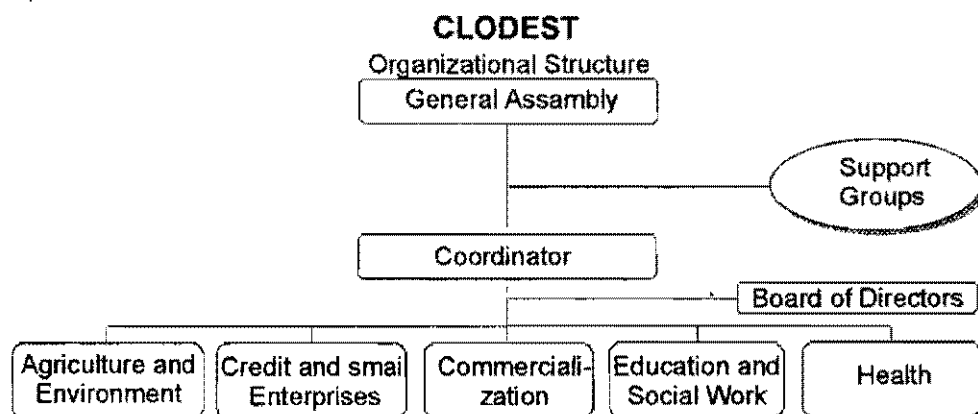


Figure 1.3 CLODEST organizational structure

Assembly: Local Organizations, NGOs, Government, International Centers

Support Group: IPCA, CIAT-Laderas, IICA, The Netherlands Gov., SERTEDES, World Vision

Coordination: Local Major

Board of Directors: Executive Director, Secretariat, Treasurer, Vocals, (all voluntaries)

Work Areas: Each with a coordinator and a secretary

1.2.4 Objectives

General

To coordinate institutional initiatives and collaborate with local organizations, in order to analyze problems, propose solutions, plan activities, evaluate and orientate a sustainable development process for the natural resources management in the Tascalapa River watershed.

Specific objectives

- To promote sustainable management of natural resources on the part of the producers.
- To prepare a municipal development plan and an investment plan.
- To provide opportunity for consultancy, prioritization, collaboration, planning, managing and executing inter-institutional actions and projects.
- To ensure the organized participation of rural communities in the decision-making process.
- To look after the conservation, protection, reclamation, use and management of the natural resources and the environment in the municipality of Yorito.

1.2. Activities

The El Salvador experience provided the opportunity for local organizations to do the following:

- Make contact with national and international agencies.
- Organize an agricultural and livestock products fair.
- Offer training to strengthen inter-institutional teams, taking into account gender, human development, leadership and the decision making tools in the sustainable management of natural resources.
- Form the Inter-institutional Coordination for the Sustainable Development of the municipality of Sulaco (SIDES).
- Submit a Report to both producers and technicians, on the outcomes derived from agricultural experiments carried out in 1996.
- Hold a workshop on participatory planning by objectives (PPO), that results in an integral development plan for the municipality.
- Exchange organizing experiences.
- Campaign against burning.



1.2.6 Resources

CLODEST has its own resources, and those obtained through the co-financing of national and foreign donors.

1.2.7 Outcomes

The main outcomes achieved to date are as follows:

- A 1996-2000-action plan was agreed.
- A calendar was prepared, with the Board of Directors, for assembly meetings and for the support group meeting.
- An office was assigned by the municipal Mayor's office.
- Some soil conservation practices were adopted by the farmers.
- Awareness was raised about the protection of water sources and forests.
- An integral development plan was prepared for the municipality.

1.3 Experience C: Inter-institutional consortium for a sustainable hillsides agriculture (CIPASLA), Municipality of Caldono, Cauca, Colombia

1.3.1 Socio-geographic context

CIPASLA consortium operates in the northern part of the Department of Cauca, Colombia, within the municipality of Caldono, by the side of the Cabuyal river (Figure 1.4). This watershed comprises a 7,000 ha. area, with heights ranging between 1,100 and 2,200 m.o.s.l., and is part of the Ovejas River.

Roads and Administrative, Hidrological map

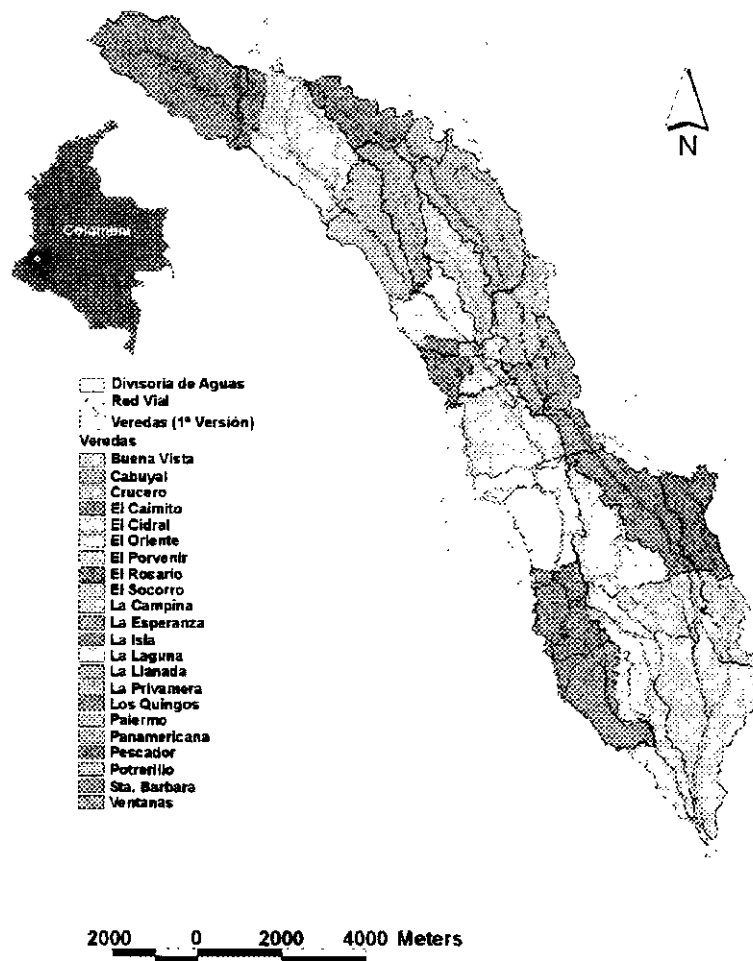


Figure 1.4. Cabuyal river sub-watershed, Colombia.

The population in this area is made up of 6,500 inhabitants, many of which are indigenous dwelling in the highest part of the sub-watershed. The Pan American road passes through the area and allows the access to the markets in Popayán, Santander de Quilichao and Cali.

1.3.2 Agricultural activities

The two most important agricultural activities within the area are coffee and cassava crops, although the farmers also grow bean, corn and several types of fruits. Cassava, bean and corn are sown in association.

Cassava is used to produce industrial starch. While it provides an important market for producers and a source of employment for the poorest rural population, cassava processing also causes a great water contamination. Another common sources both of income and environmental degradation is the cutting of trees for firewood and charcoal production. Moreover, the cutting of trees to create new land for agricultural purposes also, increases deforestation.

Seventy seven per cent (77%) of the agricultural land is made up of slopes, which causes serious erosion. Some producers delay the immediate effects of erosion by applying hen manure, while others plow through the slopes. Nevertheless, the current practices are not suitable in preventing the progressive deterioration of soil quality, which is facing an advanced stage of degradation.

1.3.3 Setting up a Consortium

The first important event when setting up the Consortium, was the inter-institutional cooperation workshop, held in November 1992, which was coordinated by CIAT. This event gathered representatives from 20 governmental and non-governmental organizations, all of whom work in the Ovejas River watershed. The purpose of the meeting was to explore the feasibility of establishing a consortium to focus local action to reduce poverty and stop the degradation of the natural resources.

The participants outlined the objectives and functions of the consortium, and analyzed various organizing options, the criteria to select the sites to be studied, and the need for a diagnostic survey of the target area. Also, the group established joint research and development efforts focusing on promoting farmer participation in creating incentives to preserve natural resources, and for developing methods to be used in similar environments.

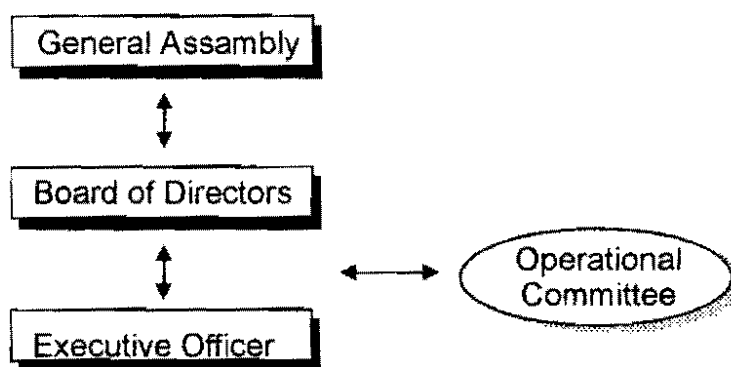
During the three following months, the diagnostic and planning phase of the consortium was organized. CIPASLA's organization chart was implemented (Figure 1.5).

The setting up of the Consortium is the Association of Beneficiaries of the Cabuyal River Sub-watershed (ASOBESURCA) was very important. It aimed to facilitate communication between the sub-watershed communities, and all other bodies from the region, that make up CIPASLA.

ASOBESURCA represents the local organizations, and is made up of the representatives of the 23 veredas (aldeas/comarcas) from the Cabuyal River sub-watershed, who are elected by the Assembly of each Community Action Board. Also, the following organizations are represented: Cooperatives, Teachers, Aqueduct Boards, Tribe Consul of the Lagoon, and Corfocial (Local Committees for Agricultural Research). During the election, the representatives participated in discussions with the local communities, on topics related to the environment and resource management.

ASOBESURCA established its operation structure, and has evolved into its current structure (Figure 1.5 a). The assembly elects its board of directors and four commissions that share functions: a) **Work** : coordinates the activities with the consortium technicians and institutions; b) **Projects** : reviews, evaluates and approves the projects submitted by the communities; c) **Surveillance** : controls and supervises the administrative actions of the association and, besides, monitors and evaluates the projects under execution; d) **Dissemination** : gives feedback information to the community on the outcomes and activities performed.

ORGANIZATIONAL STRUCTURE - CIPASLA



Assembly: Osobesurca, ONG's, Government International Centers

Board of Directors: ONG's or Government, International Centers, Asobesurca and Operational Committee

Figure 1.5: Organizational Structure and CIPASLA

1.3.4 Functions of the CIPASLA and ASOBESURCA's Board of Directors

In February, 1993, the member organizations appointed their representatives to the Board of Directors. Their main functions are:

- Defining policy and strengthening inter-institutional links.
- Designing strategies to conserve natural resources.
- Establish financial cooperation mechanisms.

ASOBESURCA's main objectives and functions are:

- To serve as mediators or middlemen between the communities and other bodies, to coordinate actions and jobs for the benefit of the region.
- To train the communities in order for them to propose and accomplish projects on sustainable agriculture.
- To act as a mediator in conflicts related to the use and management of natural resources.
- To support, coordinate and accomplish a follow-up or control to the activities performed by the stakeholders in the sub-watershed.
- To administer the moneys obtained to support community projects.
- To Evaluate, monitor and follow-up the community projects.

1.3.5 Participatory diagnosis

Between February and March, 1993, CIAT's Participatory Research Project (IPRA) in cooperation with the Municipal Unit for Municipal Technical Assistance (UMATA), the Cauca Regional Corporation (CRC) and Valley of Cauca Regional Autonomous Corporation (CVC) performed a participatory diagnosis aimed at ascertaining farmers perceptions about general and livestock problems, and the causes and solutions proposed. Firstly, it was necessary to ensure that the objectives of the consortium matched community priorities. Secondly, it was important to establish how these needs were inter-related.

The outcomes indicated that the communities in the lower part of the watershed have water needs. The lack of available the water was attributed to deforestation in the higher part of the watershed. The people from the higher areas identified health, education and communication needs. Natural reswources were low priority for them.

1.3.6 Planning by objectives (PPO)

In March, 1993, a workshop on planning by objectives (PPO) was held. Eighteen representatives from institutions and six community leaders participated. This was another important stage in the development of inter-institutional identity. It was also, another step towards meeting community needs. A "problems tree" and an "objectives tree" and a planning matrix were prepared to identify objectives, projects, progress indicators and methods to evaluate success.

Once the outcomes from the workshop were obtained, the consortium began to prepare projects to address the most immediate objectives. Applications for national and international level funds were lodged. Thirteen projects were approved, that covered several components of the logical chain of sustainability (organization, training, research, production, conservation of natural resources, trading and transformation).

CIPASLA's objectives were compared to the sustainability logical chain to detect consortium weaknesses.

1.3.7 Mission

CIPASLA's mission is to develop joint actions with the community and with other institutions to improve the living standard of the population in the Cabuyal River watershed, through organized actions and within the sustainability logical chain, whilst respecting the values and the local culture.

1.3.8 Objectives

CIPASLA's area of study has the following short-term objectives:

- To strengthen community organizations' self-managing capacity (resources generation and projects formulation).
- To develop community programs for environmental and cultural education.
- To develop technical and socio-economic training programs.
- To introduce, reclaim and validate some practices for the management of the living coverage, in order to stabilize the soil and improve water management.
- To recover and introduce some alternatives ensuring food safety, and production in livestock systems.
- To reduce deforestation in vital areas.
- To introduce soils conservation practices.
- To identify the supply and demand of the water resource and prepare some methodologies to identify potential risk zones on the hillside.
- To improve the efficiency of the current markets, and study the feasibility to create new marketing channels.
- To coordinate actions enabling the execution of infrastructure and basic sanitation projects.
- To develop a methodological model that can be copied by other watersheds.

1.3.9 Activities

With the results of the 1993 workshop, the Consortium began to prepare projects to reach the immediate objectives and to search for funding. Thirteen projects were approved which covered various components within the sustainability logical chain such as; organization, training, natural resources, research, production, transformation and infrastructure. Table 1.1 shows a summary of CIPASLA's outcomes and activities.

Other activities include the strengthening of the community organization through ASOBESURCA. This association emerged out of the CIPASLA's organizational process. It is made up of local organizations, including the Board for community action, the aqueduct Board, cooperatives, the indigenous association, a representative of rural private and public schools and rural schools. The training activities have involved tours, talks, method dissemination, country days, workshops and vaccination campaigns. Television programs have been produced for national and regional broadcast. Papers have been written and a video has been produced about the Consortium.

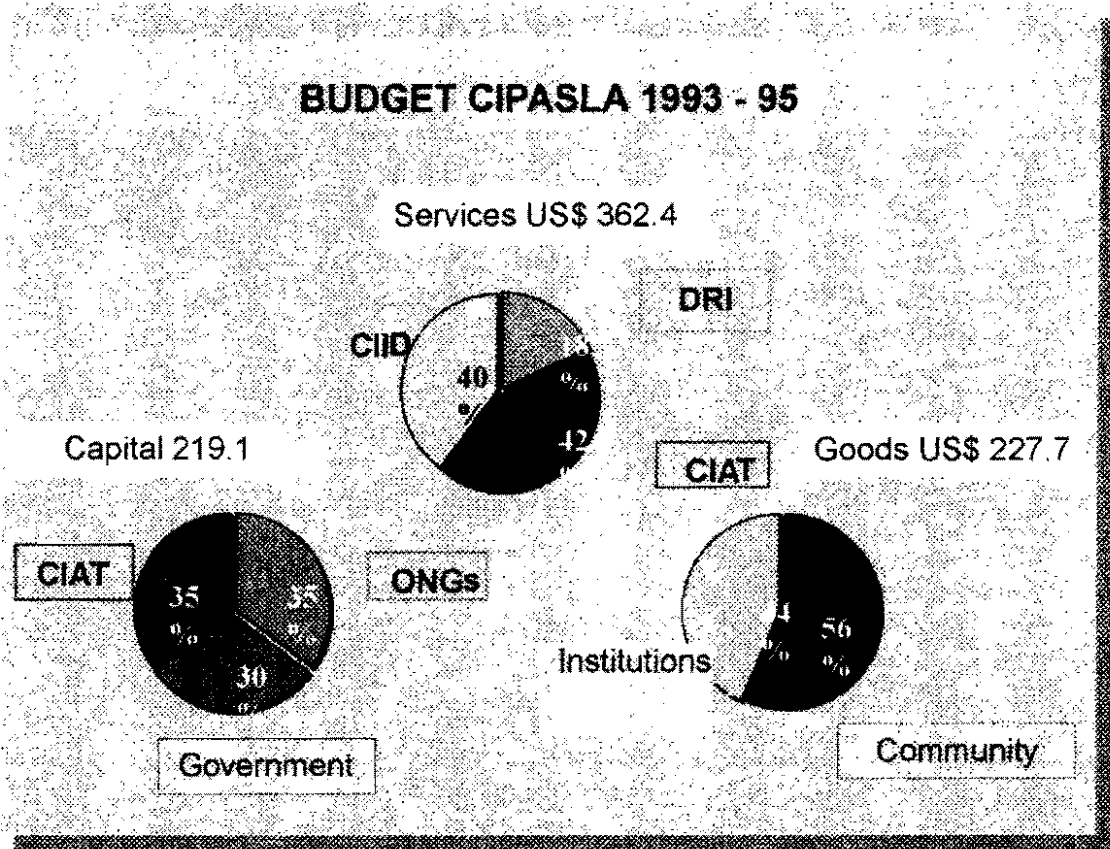
O U T C O M E S	Organization	Training	Natural resources	Research
	1. Improved self-management capacity of the community organizations.	2. To improve the capacity to perform community programs on environmental, cultural, technical and socio-economic education.	3. Institutional and community capacity for the management of natural resources.	4. Improved capacity to make a basic and participatory research.
A C T I V I T I E S	1.1 Strengthening the beneficiaries association (ASOBESUR CA) ⁽¹⁾	2.1 Information on environmental legislation. 2.2 Curricular design for primary and high school education on the environmental component. 2.3 Self-management, financial management and citizens participation. 2.4 Entrepreneurial management of projects. 2.5 Evaluation and follow-up to projects. 2.6 Diversification and transition for organic production. 2.7 Management of waters and basic sanitation. 2.8 Animal health.	3.1 Isolation of water-protecting areas. 3.2 Reclaiming degraded areas. 3.3 Lagoons reclaim and management. 3.4 Establishment of living barriers. 3.5 Management of wild fauna. 3.6 Foresting with native species. 3.7 Interaction among conservation and production, developing alternative livestock systems and biological agriculture. 3.8 Eco-tourism.	4.1 Integrated management of pests. 4.2 Alternatives for organic production. 4.3 Validation of agro-sylvi-pastoral systems. 4.4 Decision-making tools through GIS. 4.5 Methodology to identify potential risk zones. 4.6 Bases for the conservation <i>in-situ</i> of genetic resources. 4.7 Identification of water quality indicators. 4.8 Potential uses of the soil. 4.9 Market systems. 4.10 Identification and evaluation of market opportunities. 4.11 Floristic inventory.

Table 1.1 cont.

O U T C O M E S	<i>Production</i>	Transformation/trading	Infrastructure
A C T I V I T I E S	<p>5. Assessment of alternative technologies assuring food safety, and production under livestock systems.</p> <p>5.1 Preparing proposals about livestock diversification.</p> <p>5.2 Preparing technological manuals on new crops.</p> <p>5.3 Generating, validating and adapting livestock technology.</p> <p>5.4 Increasing the number of groups with organic agriculture.</p>	<p>6. Strategies to strengthen products processing, improve the efficiency of the current markets, and study the feasibility to create new markets.</p> <p>6.1 Generating, validating and adapting with the communities, suitable technologies for traditional and potential agro-industry.</p> <p>6.2 Improving the efficiency in processing cassava.</p> <p>6.4 Identifying artisanal potential in the region.</p> <p>6.5 Identifying traditional products market.</p> <p>6.6 Creating a price and market information system.</p> <p>6.8 Supporting trading networks.</p>	<p>7. Developing strategies to strengthen the infrastructure and basic sanitation</p> <p>7.1 Identifying regional entities to submit projects to the co-financing fund for social investment (FIS), on health, education, culture and sports.</p>

1.3.10 Resources

During the first stage of the Consortium (1993 and 1995) co-financing was obtained from the International Center for the Research on Development (CIID), from Canada; from the Fund for the Integrated Rural Development (DRI) and from the International Center for Tropical Agriculture (CIAT). The money given to carry out the various projects totalled \$US219,100.



Goods were contributed from various institutions and included foodstuffs and transport. The value of these contributions was approximately \$US227,700. The international Center, the NGO and the governmental institutions gave in-kind contributions of approximately the same amount.

Community contribution to the projects was significant. The contribution in services was equivalent to \$US 362,400, 56% of which came from the community, the other 44% coming from institutions.

The total investment for the first three years amounted to \$US 809,200. It is worth mentioning that goods and services accounted for 72% of the total amount invested. The institutions working with the communities proved effective and resulted in community self management.

The second stage of the Consortium (1996 to 2001), has been assigned more co-financing sources. This has been possible due to the work of the Consortium in obtaining resources from other co-financing bodies at national level, such as the National Institute of Waters and Lands Adaptation (INAT), the Ministry of Agriculture (MAG) and the Fund for Departmental Co-financing (CODECO).

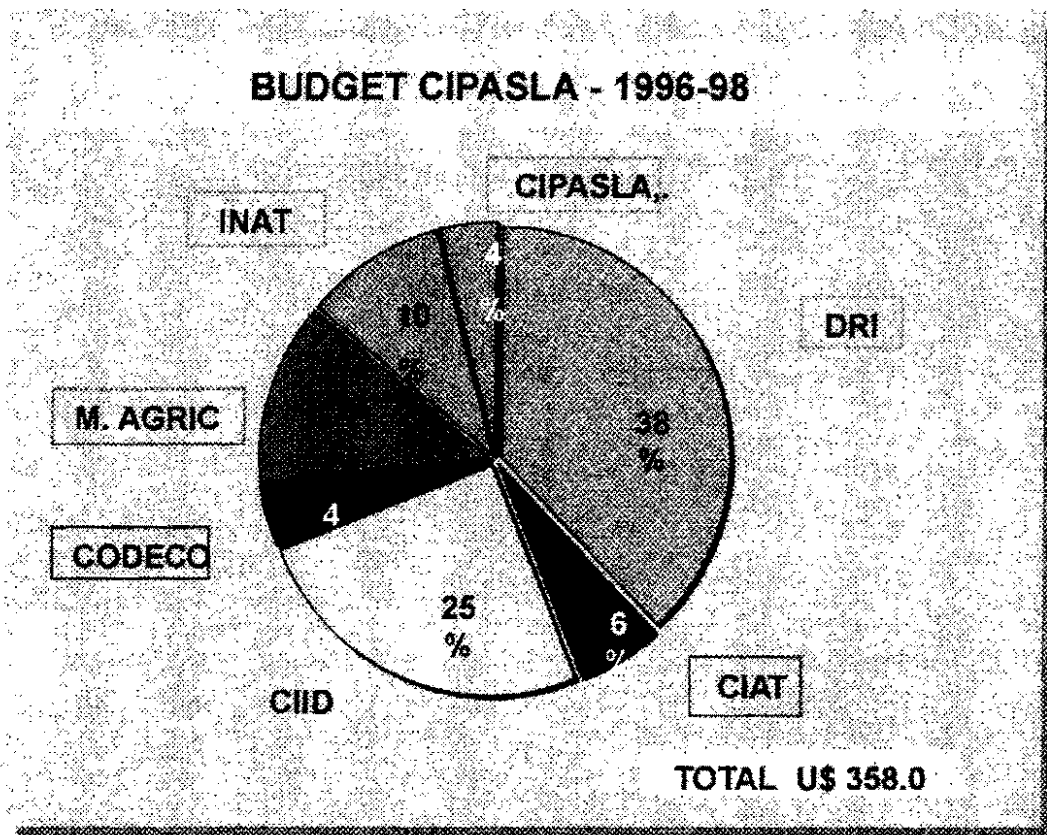


Figure 1.7. CIPASLA's Budget for 1996-98

Table 1.2 CIPASLA outcomes

COMPONENT	OUTCOMES
<p>1. ORGANIZATION</p>	<ul style="list-style-type: none"> • Establishment of the Association of Beneficiaries of the Cabuyal River Sub-watershed (ASOBESURCA). • Participation of 12 local organizations in the Association. • Establishment of the Legal person. • Approval of 23 community projects, in the amount of US\$7,000, to benefit 230 families. • Consolidation of local organizations that have implemented livestock production on projects through some seed capital funds. (US\$ 15,000 distributed in 126 credits). • Setting up the Association of Entrepreneurs of the Cabuyal River (ASERCA), focused on transformation processes for dairy products. • Formation of micro-centers, to gather the teachers from the region, for the preparation of an environmental curriculum.
<p>2. TRAINING, AND INFORMATION DISSEMINATION</p>	<ul style="list-style-type: none"> • The various institutions making up the consortium have given training in several themes, such as: Organic Agriculture, Integrated Management of Pests, Management of the Watershed, Agro-industry, Management of Irrigation District, Environmental Education, Management and Conservation of Soils, and Institutional Organization, among others. • 52 Workshops: Vaccination campaigns (3 for 300 beneficiaries); 20 tours, 13 talks, 9 method dissemination sessions, 5 country days. • Regional TV programs, (8 to 10 minutes each); 1 video about CIPASLA's activities (24 minutes). • Regional, national and international level press reports; publishing in magazines and CIAT's annual reports. • Support to the local radio station through the Consortium's institutions.
<p>3. RESEARCH</p>	<ul style="list-style-type: none"> • Participatory methodology to apply tri-dimensional models of hydrographic watersheds (Models) (Vidal, M; Rubiano, J.E. 1995). • Methodology for the study of changes in the use of land (GIS) (Urbano, P. et al. 1995). • Methodology to identify potential risk zones (De Fraiture, CH, et al, 1997). • Validation of agro-sylvi-pastoral systems (evaluation of gramineae, shrub-like arboreal legumes). • Evaluation of the use of animal energy, with Arandino, in cultural and harvest practices (Serrano, M., 1994). • Evaluation of five production alternatives: Lulo (<i>Solanum guitoense</i>), peas, blackberry (<i>Rubus gaucos</i>), plantain and string beans (<i>Phaseolus vulgaris</i>) through the Local Agricultural Research committees (CIAL). • Evaluation of organic technologies for the management of soil fertility.

<p>3. RESEARCH</p>	<ul style="list-style-type: none"> • Participatory methodology to apply tri-dimensional models of hydrographic watersheds (Models) (Vidal, M; Rubiano, J.E. 1995). • Methodology for the study of changes in the use of land (GIS) (Urbano, P. et al. 1995). • Methodology to identify potential risk zones (De Fraiture, CH, et al, 1997). • Validation of agro-sylvi-pastoral systems (evaluation of gramineae, shrub-like arboreal legumes). • Evaluation of the use of animal energy, with Arandino, in cultural and harvest practices (Serrano, M., 1994). • Evaluation of five production alternatives: Lulo (<i>Solanum quitoense</i>), peas, blackberry (<i>Rubus gaucous</i>), plantain and string beans (<i>Phaseolus vulgaris</i>) through the Local Agricultural Research committees (CIAL). • Evaluation of organic technologies for the management of soil fertility. • Use of legume species for the coverage and technology adaptation for plantain (<i>Musa sp</i>).
<p>4. INTEGRAL MANAGEMENT OF THE NATURAL RESOURCES</p>	<ul style="list-style-type: none"> • Between 1994-1995, 180 hectares were isolated, especially in the areas protecting water births, with influence on veredas (aldeas or comarcas) aqueducts, with the participation of 2,800 farmers in 58 journeys and 7 support entities. The contribution from the community to this activity represents some US 13,000. Between 1996 and 1997, 117 ha were isolated, with the participation of 368 farmers, without the presence of the institutions. • Multi-purpose reforestation and sowing of 183,000 trees (172 ha) in 15 of the 22 veredas in the sub-watershed, with the participation of 1,304 farmers in 23 journeys, where both teachers and students have been an active part. The reforestation is focused on: the energetic use (62%), native timbering yielding (32%) ornamental purposes (5%) and fruits (1%). • Establishing live barriers, with the participation of the farmers. Sowing 75,000 linear meters. The materials for barriers that were mostly accepted by the farmers, were: Pasto telembi (<i>Axonopus scoparius</i>) 91%, Cane (<i>Sacharum officinarum L</i>) 62%, Citronella (<i>Cymbopogon nardus</i>) 48%, Pineapple (<i>Ananas comusus</i>) 30%, Limoncillo (<i>Cymbopogon citratus</i>) 26%, Vetiver (<i>Vetiveria zizanioides</i>) 14%. This selection is related to the double usefulness of the barriers since, besides holding manure in soil, serves as food to the animals and does not compete with the crops. • Lagoons reclaim. The community has contributed 750 work days (US3,750) for cleaning and adaptation activities in two lagoon mirrors (Los Quingos and Cabuyal) sowing ornamental trees and vegetal canopy. To this process some contribution projects have been articulated with the World Food Program (PAM), and delivery of trees. • Floristic characterization, which has allowed to identify between 1,850 and 2,100 m.o.s.l., a total of 26 families, 40 genus and 52 species. Between 1,200 and 15,800 (sic) m.o.s.l., 16 families, 22 genus and 26 species were found, and this was the one with the lowest diversity index. (Diago N.M., 1996).
	<ul style="list-style-type: none"> • Preparation of a socio-economic profile of the Cabuyal River sub-watershed, which serves as a general orientation source for the analysis

It is important to point out the increased co-financing provided by the State, and a sizeable reduction of budgetary contributions from the international agencies.

1.3.11 Outcomes

During these five years, CIPASLA has succeeded in consolidating its power to convene technical and coordinating committees. It has also improved the general will to collaborate.

ASOBESURCA has approved a total of 23 community projects, for the sum of US\$24,000, which have benefited 200 families. The projects are evaluated by a commission made up, mostly, of representatives of ASOBESURCA, using the 13 criteria summarized in Table 1.3. The projects approved have been broken down like this: production (Livestock and Agricultural), (72%), conservation of natural resources (8%), training (7%), transformation (Agro-enterprise), (8%) and school gardens (5%).

Figure 1.8 Projects approved by ASOBESURCA, 1996-1997

The activity of isolating water sources in forest zones occurs during the regulation of the flows during critical periods, and through collaboration with the communities. This has encouraged the farmers to develop an autonomous organizational process with the communities in the sub-watershed.

Through the organization of teachers from the public and private schools in the watershed, a curriculum for environmental education has been designed for and implemented in primary schools and is gradually being extended into high school.

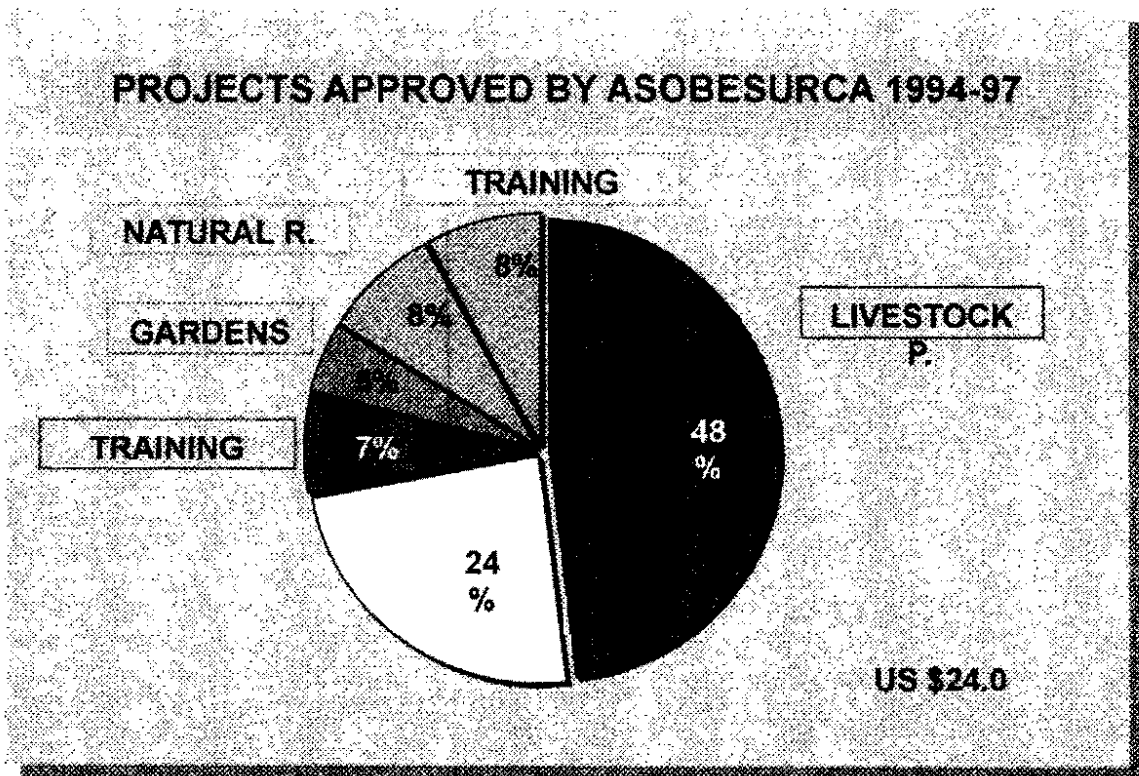


Table 1.3 Criterias for para la aprobación de proyectos comunitarios en la Asociación de Beneficiarios de la Subcuenca del río Cabuyal (ASOBESURCA).

Criterion	Score for each option	Criterion weight	Total score
1 Who is the direct beneficiary?		15	
- The entire comarca, aldea o vereda.	10		
- 10 or more families	5		
- 5 to 9 families	2		
Erosion effect		5	
- Negative effect	0		
- No effect	3		
- Reduces erosion a little	5		
- Reduces erosion a lot	10		
3. Effect on soil fertility	Equal to two	4	
4. Effect on water quality	Equal to two	4	
5. Effect on water quantity	Equal to two	5	
6. Effect on the forest	Equal to two	4	
7. Effect on the use of agro-chemical Products	Equal to two	4	
8. Effect on diversity (plants, animals)	Equal to two	4	
9. Time necessary to get productive benefits		9	
- Short	2		
- Medium	4		
- Long	10		
10. Time to get productive benefits	Idem 9	10	
11. Profitability of the productive project		12	
- High	10		
- Medium	6		
- Low	4		
12. Counterpart or community contribution		12	
- Yes	10		
- No	0		
13. Quality of the working plan		12	
- Ordered and complete	10		
- Deficient and incomplete	5		
- With no working plan	0		
Total		100	

For more information about origin and criteria to approve projects, see Guerrero, Pilar and H. Ravnborg (1997). Guide to formulate projects in Asobesurca, CIAT, Cali,

1.4.1 Geographic location and agro-ecology characteristics

The municipality of Buga is located on the spring of the central mountain range in Colombia. The hillside zone in this municipality comprises an area of 68,760 ha. The height goes from 950 m.o.s.l., in the crossing point of the water current with the Pan American road (Guadalajara urban sector, in Buga) up to 4,000 m.o.s.l., in the Páramo Las Hermosas national park. This height variation favors a high diversity of climates. The temperature ranges between 12° and 24°C, and the rainfall, between 1,100 mm in the lower part, and 2,500 mm in the higher part (ASIAVA, 1997).

The Municipality of Buga is divided into the following catchments: La María, Dos Quebradas, la Zapata, las Frías y La Magdalena. The thermal floors areas follows: hot (153 Km²), medium (169 Km²) and drizzle (172 Km²).

According to the surveys made by the Valley of Cauca Regional Corporation (CVC), the soil use is as follows: introduced pastures (5,870 ha); natural pastures (40,000 ha); permanent crops (3,250 ha); temporary crops (1,570 ha); natural forest (11,928 ha).

The soils have a volcanic origin, with a presence of igneous rocks in the middle zone, fairly deep, well drained in the high middle part. There is erosion and low fertility, with low contents of phosphorus and organic matter.

Tree cutting and forest burning have resulted in the reduction of the flows and the lack of protection to the water springs and flows. The region does not have irrigation systems. The Guadalajara River, in Buga, supplies water to 6,000 ha agricultural land, for industry, recreation and human consumption, through the municipal aqueduct. Currently, the river is affected by bio-physic, social and economic problems.

1.4.2 Population

The total rural population is 12,200, with a 0.61% growth rate. The rural zone is divided among 46 veredas (areas or communities) grouped in 18 corregimientos (micro-regions).

Eighty two per cent (82%) of the economically active population live on livestock, agro-industry jobs (6%), mines and construction (1%), while 6% is devoted to other activities. The most important agricultural products in the municipality hillsides are: coffee, plantain, panela sugar cane, curuba, potato, tree tomato, bean, corn and vegetables.

1.4.3 Formation

The Colombian government, through the General Act on Livestock and Fishing Development (101, 1993), created the Rural Development Municipal Councils (CMDR), to strengthen the municipal agrarian sector, and assure the rural population to be an active and direct part in the execution of municipal public affairs (Ministry of Agriculture and Rural Development, 1995).

CMDR, within the decentralization and democratization scheme for public management, are a suitable space facilitating the participation of the communities in those decisions affecting the economic, political, administrative and cultural level.

According to the above mentioned Act, the Rural Development Municipal Council is made up of:

- The Mayor, who chairs it.
- Municipal Council-appointed representatives.
- Representatives of the public entities with physical presence in the municipality.
- Representatives of peasants associations.
- Representatives of the various sectors.
- Representatives of rural communities in the municipality, who are to constitute the majority of the Council.

Needless to say that this Rural Development Municipal Council is a deliberative instance. The functionality for making decisions lies in the hands of the rural communities representatives, who submit their concrete proposals to such Council.

1.4.4 Objectives

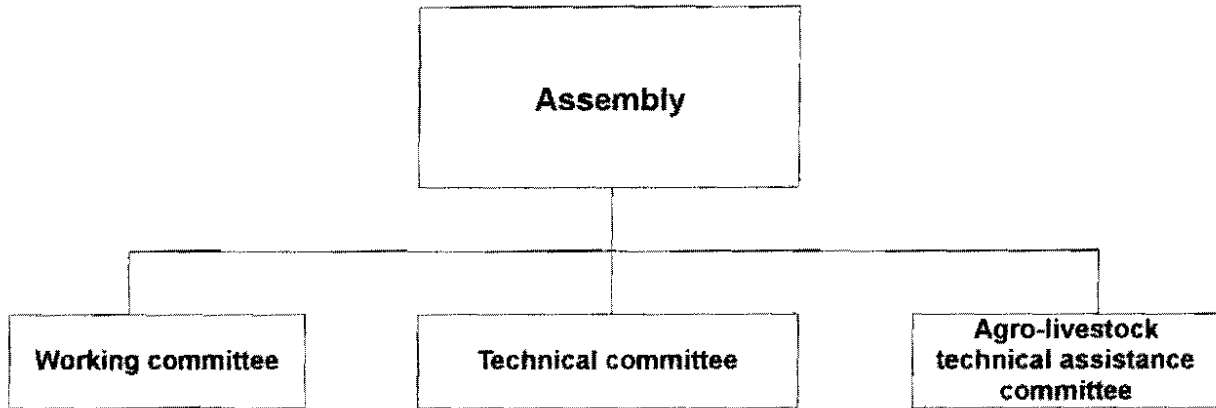
According to the Ministry of Agriculture and Rural Development, CMDR has the following specific objectives:

- ✓ To coordinate the local demands, as compared to the institutional offers in the fields of livestock and fishing services.
- ✓ To evaluate, discuss and approve the municipal livestock and fishing development plan, as part of the municipal development plan.
- ✓ To harmonize the communities' priorities in regard with livestock and fishing public investment at municipality's rural level, and those of the co-financing feasibility projects with other State institutions.
- ✓ To create working committees, according to the needs of the Rural Development Municipal Council.
- ✓ To coordinate public, private and community efforts, to identify solutions to the local livestock and fishing problems.

- ✓ To accomplish a follow-up up to the execution of sector plans, programs and projects developed at local level.

Through the municipal level discussions, the operating structure of the CMDR has been adjusted to the local needs. (Figure 1.8).

Rural Development Municipal Council (C.M.D.R.)



Assembly: NGOs, or governmental organizations, local organizations, private entities.

Technical committee: UMATA, NGO, governmental organizations, sector, ANUC, three farmers.)

Committees; Education and development, research and projects, agro-livestock extension, natural resources en control.

1.4.5 Activities

Since March, 1996, the representatives of the communities and the CMDR institutions have been meeting in the municipality of Buga, with the aim of consolidating the coordinated, harmonized and articulated work dealing with the proposals made by the institutions and the community organizations.

As a result of it, CMDR, in coordination with the Association of Agronomic Engineers of the Valley of Cauca Buga Chapter (ASIAVA) and the institutions making it up, agreed to hold a workshop on Participatory Planning by Objectives (PPO).

1.4.6 Participatory planning by objectives

The objectives of the workshop were:

- ✓ To define action objectives at middle term.
- ✓ To improve communication and cooperation among all the groups involved.
- ✓ To define responsibilities for all involved.

- ✓ To obtain a joint vision of collaboration between the community and the institutions.
- ✓ To consolidate the organization of the Rural Development Municipal Council (CMDR).
- ✓ To develop some proposals to insure community self-management and autonomy.

The workshop was attended by 17 representatives from nine local organizations, seven governmental representatives and five NGOs. During the workshop, the participants analyzed social, economic, cultural and environmental aspects, with a view to developing a collaborative livestock development project for the municipality.

1.4.7 Resources

The Rural Development Municipal Council of Buga is self reliant financially, deriving revenue from within and also from national government's appropriations (equivalent to US1,000,000). These appropriations are due by 2001. The municipalities will eventually assume responsibility for the operation and investment expenses in all areas and sectors from their own budget.

The resources are broken down as follows: education, 30% ; health, 20% ; potable water and basic sanitation, 25% ; recreation and sports, 5% ; agriculture and livestock, and watersheds management, 20% (Ministry of Agriculture and Rural Development).

Outcomes

- Setting up working committees.
- Establishing an internal regulation.
- Holding the workshop on participatory planning by objectives.
- Increasing and more dynamic participation among the communities. It is important to point out that this is the most important outcome. Initially participation was constrained to the Local Administrative Boards (JAL) but now has extended to all other community organization.

1.5 Synthesis of experiences

The effectiveness of the CMDR can in part be attributed to the existence of an organizational structure. Without this structure the outcomes may not have been achieved as easily. The structure is now established in the communities and can be used for the future introduction of new projects or initiatives.

The inter-institutional organizational used in the case study eliminated replication or overlapping efforts.

Exercise 1.1 Organizational processes Case studies

Objective

- ✓ To identify six or more similarities and differences in the organizational principles, by analyzing the case studies in Nicaragua, Honduras and Colombia.

Orientation for the Instructor

1. Explain to the participants what the exercise consists of.
2. Explain that four case studies will be presented. As part of a work group each participant will examine the case studies and answer a series of questions.
3. Divide the larger group into three work groups, making sure each contain a mix of representatives (communities, institutions and municipal government).
4. Distribute the case studies together with the corresponding instruction guide.
5. Provide the materials required for the task. Instruct the groups to record the group findings and responses for use during the plenary session. Ask them to consider the similarities and differences of the case under analysis.
6. Each group is to appoint a spokes person and a scribe.
7. During the plenary session the spokes person from each group will submit the group's outcomes. Duration of this activity: 30 minutes.
8. Place the flipchart in a prominent palce so that everyone can see it.

Note: The instructor may decide to substitute the case studies presented in the guide with more relevant scenarios

Resources

- Cases studies and instruction guide.
- Questions
- Flipchart
- Markers
- Rotafolios
- Masking tape
- Overhead projector
- Overlays
- Notebook

Suggested time: 60 minutes

Exercise 1.1 Organizational processes Case studies

Objective

- ✓ To identify six or more similarities and differences in the organizational principles, by analyzing the case studies in Nicaragua, Honduras and Colombia.

Instructions for the Participants

1. Appoint a spokes person to submit the outcomes during the plenary session.
2. Share with the group your individual response, analysis and reflection on the case study.
3. Participate actively in the work groups.
4. The group is to try to reach a consensus when discussing the questions. The answers are to be submitted by the spokes person during the plenary session.
5. Use the components in the left hand column of your work sheet to describe the case study you have been given.

Questions for the work group

1. What advantages and disadvantages does the group identify about formation and development of the organizational process as described in the case study?
2. What role have the local communities played in the organizational process?
3. What role have the local organizations played in the decision-making process?
4. What methodological instruments have been used by the people involved, to strengthen their organizational process?
5. How do you consider the offer of incentives on the part of the institutions supporting these local organizational processes?

Exercise 1.1. Organizational processes Case studies Feedback information Orientation for the Instructor

The comparative analysis of the case studies can significantly vary according to the cases selected. The similarities and differences appearing in the table provide an example of how the participants are expected to conduct the analysis.

Once the group work outcomes have been submitted, summarize the similarities and differences, and check if the participants have analyzed the seven key elements identified in the introduction to this section.

Similarities and differences in the case studies

	NICARAGUA	HONDURAS	COLOMBIA	COLOMBIA
Context	Calico River sub-watershed Surface 170 km ² , population 16,000 inhabitants	Tascalapa River watershed Surface 231.4 km ² , population 13,000 inhabitants	Cabuyal River sub-watershed Surface 7,000 ha, population 6,500 inhabitants	Guadalajara River watershed Surface 68,760 ha Population 12,200 inhabitants
Formation	Municipal Government, governmental entities, NGOs, international center.	Municipal Government, governmental entities, NGO, international centers.	Governmental entities, NGO, international centers, association of beneficiaries	Municipal Government, governmental entities, NGO, communities.
Coordination	Municipal Mayor's office	Local organizations supported by international centers	Inter-institutional	Inter-institutional
Objectives	Reforestation	Preservation of natural resources, health, education and infrastructure.	Management of natural resources (sustainability logic chain)	Integrated rural development (emphasis on infrastructure)
Activities	Municipal level	Watershed level	Sub-watershed level	Municipal level
Resources and duration	External 16 months	External 2 years	National and international 5 years	Municipal, national 2 years
Outcomes	Better water quality, introduction of agro-forestry systems, reduced erosion	1999-2000 action plan, meetings calendar, office appropriation by the Mayor	Convening capacity, coordinated institutional work, harmonizing actions with the communities.	Formation of work committees, internal regulation, workshop on planning by objectives, participation of the communities.

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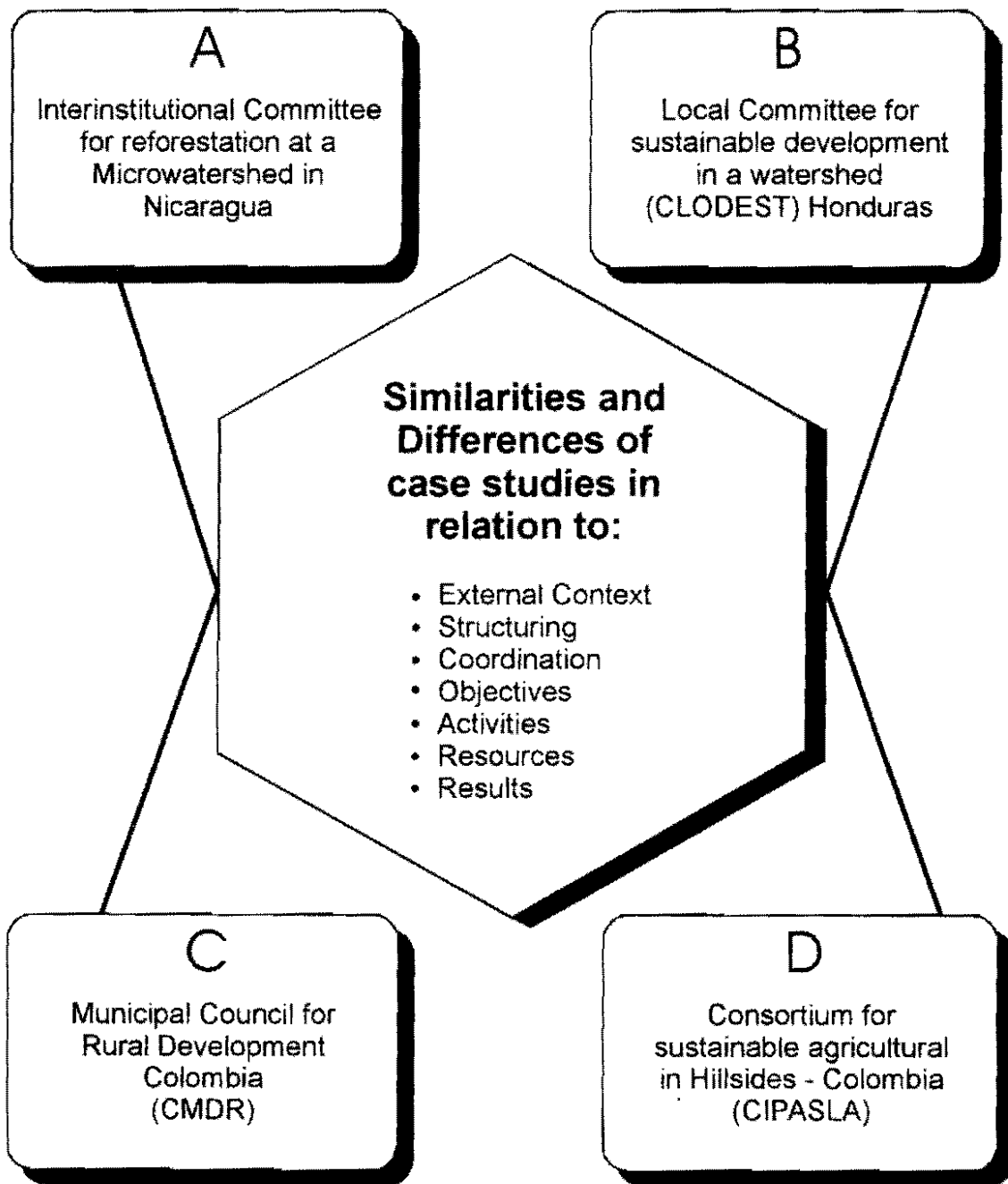
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Originals for Transparencies



SECTION OBJECTIVE

To establish the similarities and differences of the various organizational processes.

ORIENTING QUESTIONS

- How useful it is to know and share the organizational experiences of other countries?
- How can we take advantage of the various organizational experiences at local, regional or national level?
- What basic principles need to be considered in the development of an organizational process?

Feedback on the case study on initiatives taken by the committee for reforestation at sub-watershed level

- Strengths:
- Participation of institutions
- Construction of nurseries
- Frequent meetings in the committee
- The result expected for the first phase were met. Establishment of a nursery, a calendar of activities, financial reports
- The project was an initiative of the local authorities
- The project has been accepted by the farmers
- Financial resources has been obtained

WEAKNESSES:

- Few people to take care of and to maintain the nurseries
- Insufficient follow up upon activities
- Low level of participation on part of other projects and institutions
- Moderate capacity to manage financial resources
- Low level of farmer participation in decision making
- Lack of diffusion of project activities, which are unknown to the population
- Lack of training and conscience raising of the population
- Low level of integration of some of the members in the committee
- Low level of coordination and communication among members of the committee
- Some of the members do not comply with agreements and promises
- Lack of punctuality in the meetings
- Lack of transportation for distant activities

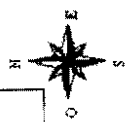
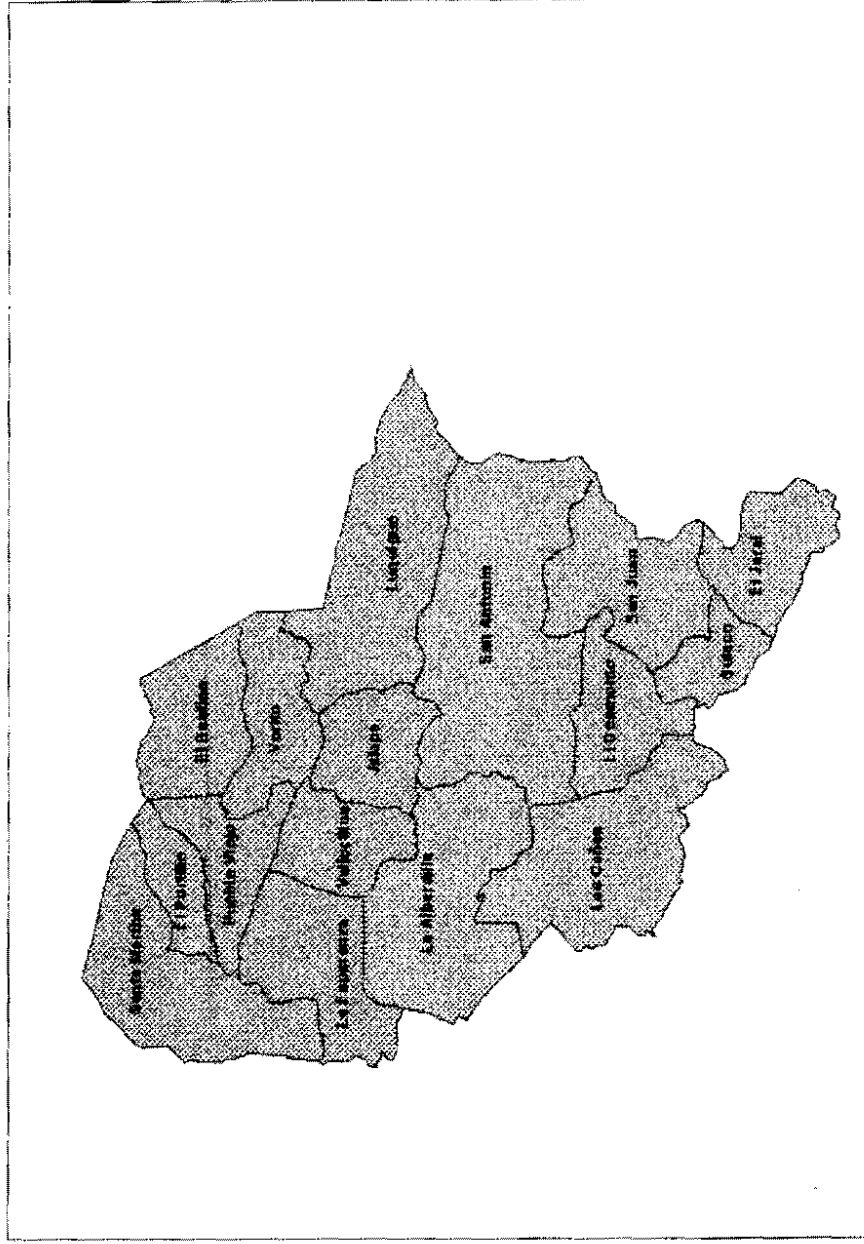
FEEDBACK ON THE CLODEST CASE STUDY:

- Achievements:
- Concerted action plan for 1996-2000
- Establishment of internal rules and procedures
- Registration of acts and agreements made in meetings
- Periodical meetings between the assembly and the support group with the board
- Allocation of an office to CLODEST by the municipality
- Training received
- Campaign against deforestation and burning of forest
- Protection of water sources and forest
- More effective institutional action

SHORT COMES:

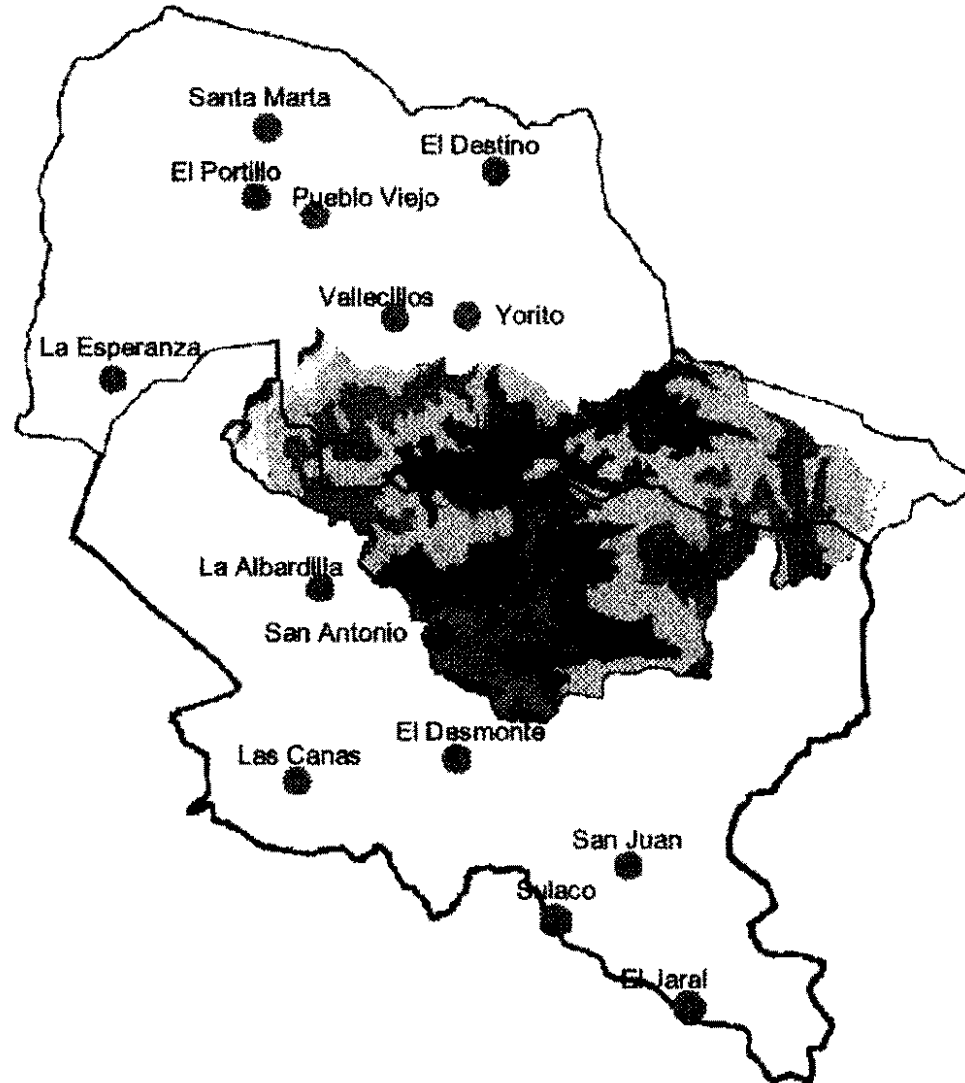
- Some institutions do still not participate in the development of shared agendas among the members of COLDEST
- Low level of participation of local organizations
- Low level of participation in the meetings on part of the municipality
- Lack of information exchange between CODEM and CLODEST
- CLODEST have no knowledge of the municipal development plan
- Lack of diffusion of CLODEST activities
- Limited capacity to manage resources
- Lack of agreement between support institutions on the economic support offered to representatives of CLODEST
- The population demands more concrete, tangible and visible actions from CLODEST as well as less meetings

VILLAGES IN YORITO AND SULACO

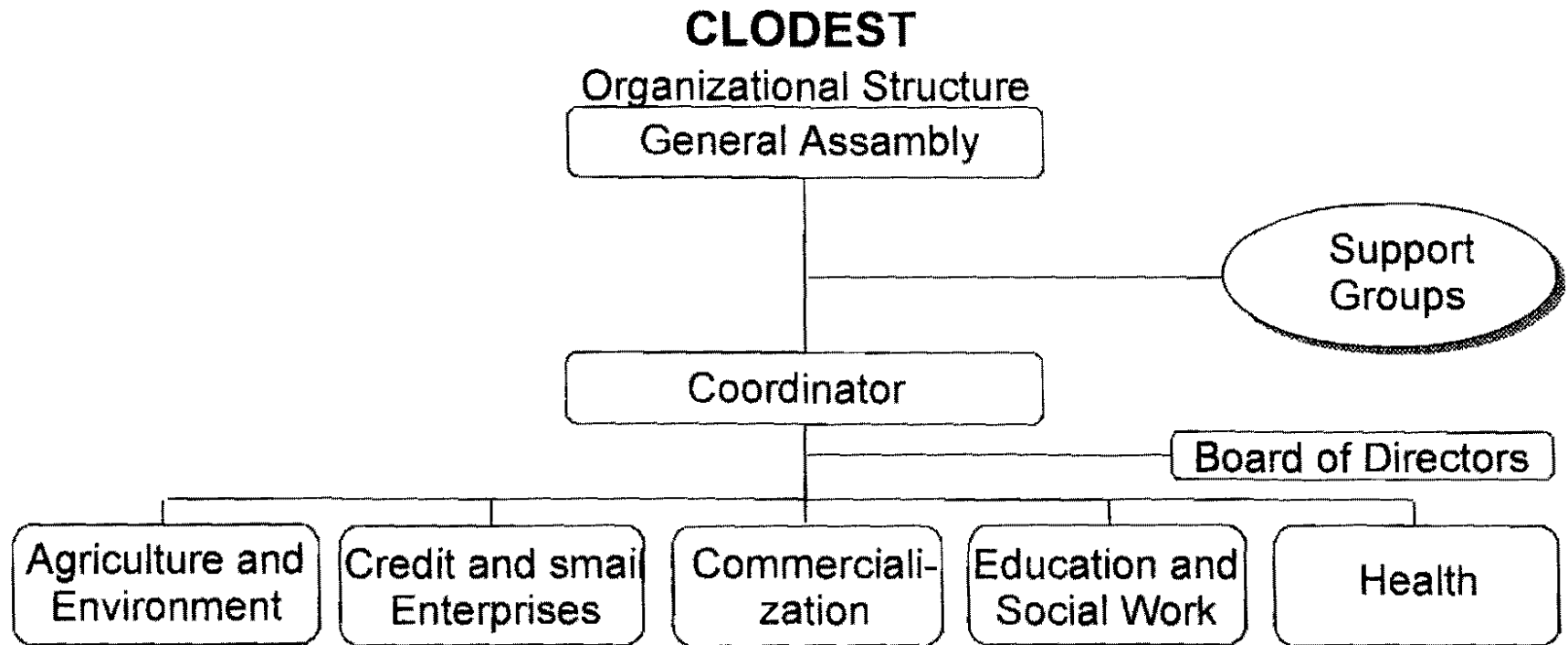


Productor: Clat-Laderas 1998

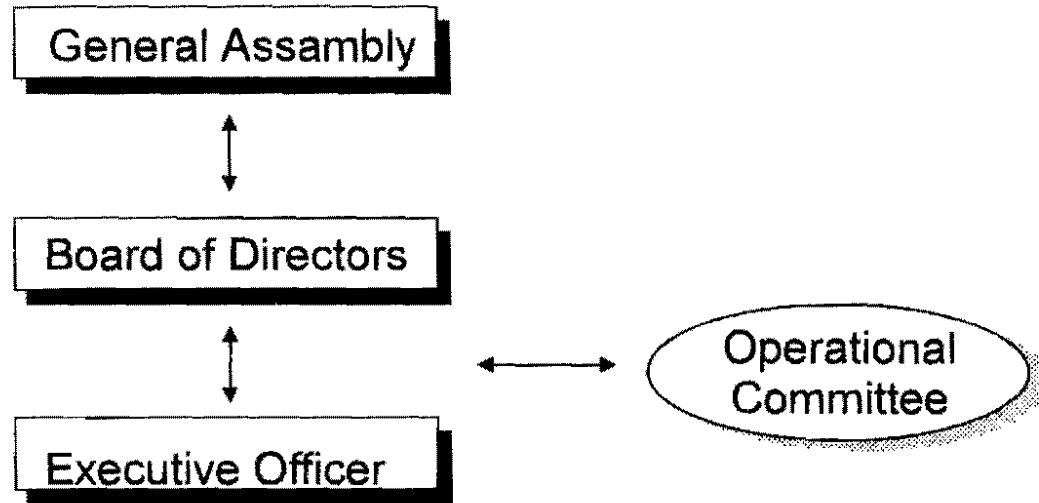
FIGURE 1.2 SUB-WATERSHED OF THE TASCALAPA RIVER, HONDURAS.



CLODEST ORGANIZATIONAL STRUCTURE



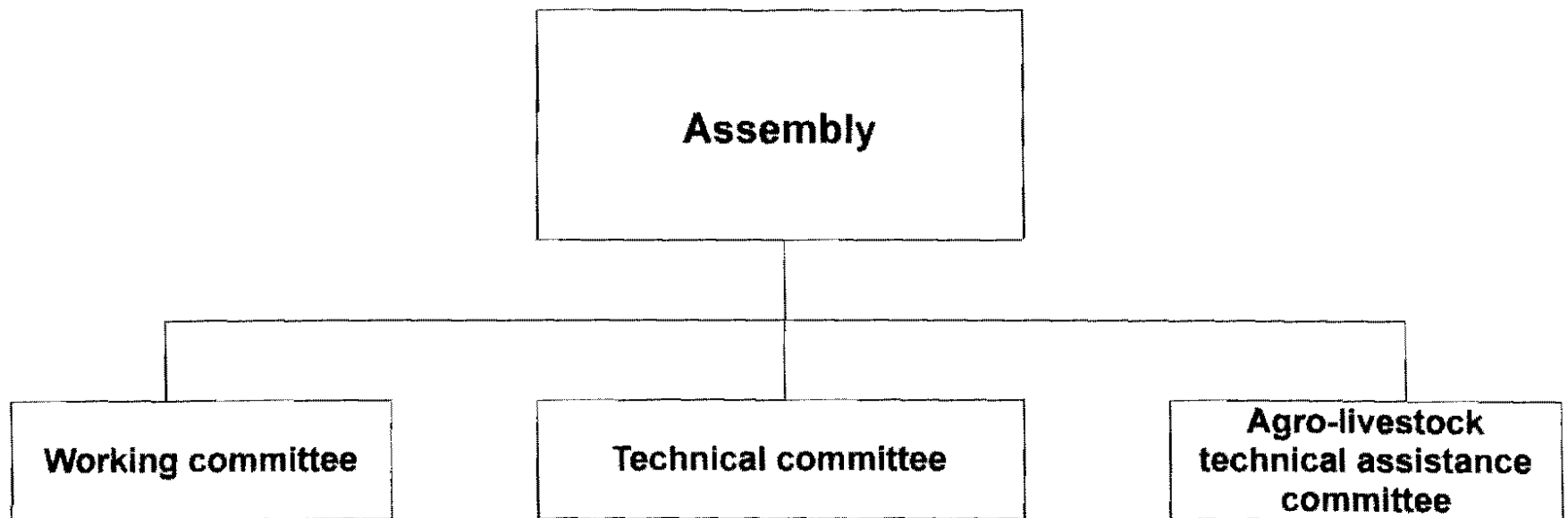
ORGANIZATIONAL STRUCTURE - CIPASLA



Assambly: Osobesurca, ONG's, Government International Centers

Board of Directors: ONG's or Government, International Centers, Asobesurca and Operational Committee

RURAL DEVELOPMENT MUNICIPAL COUNCEL (C.M.D.R.)



Assembly: NGOs, or governmental organizations, local organizations, private entities.

Technical committee: UMATA, NGO, governmental organizations, sector, ANUC, three farmers.}

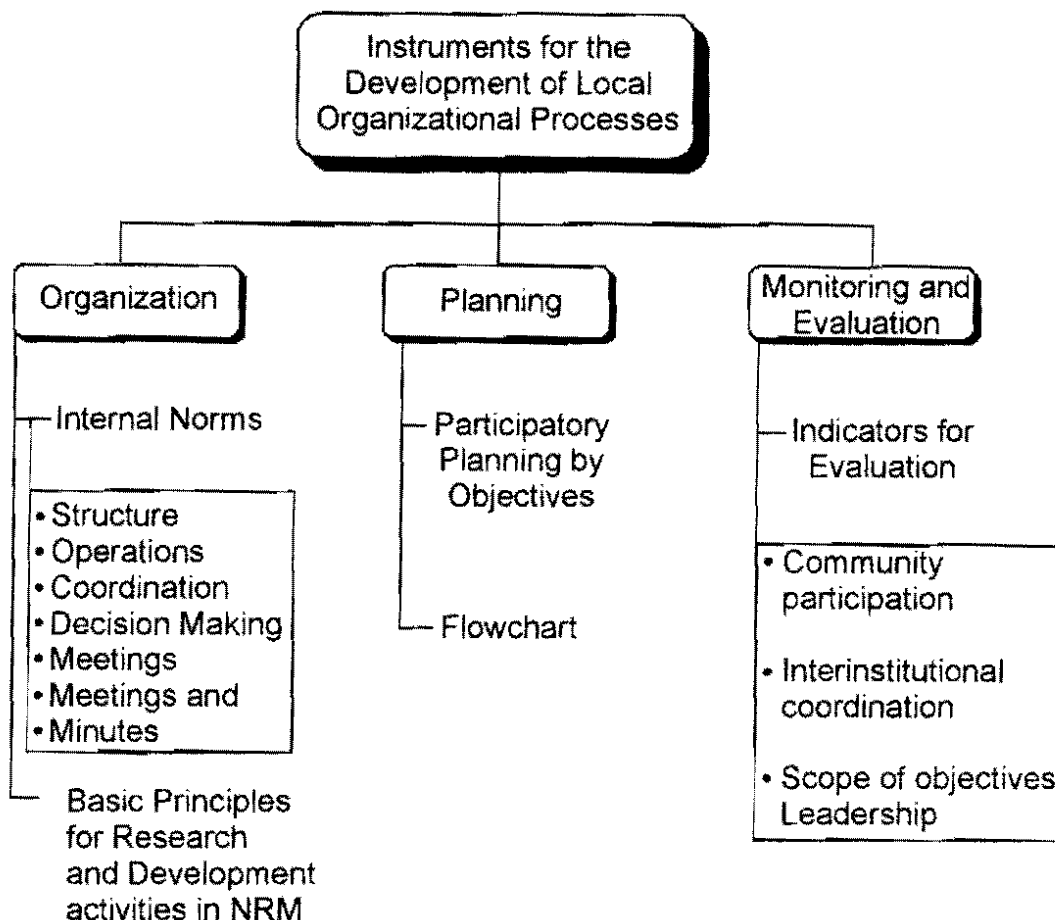
Committees: Education and development, research and projects, agro-livestock extension, natural resources en control.

Section 2

METHODOLOGICAL INSTRUMENTS FOR DEVELOPING AN ORGANIZATIONAL PROCESS AT WATERSHED LEVEL

Section structure.....	2-2
Objective.....	2-3
Orientating questions.....	2-3
Introduction.....	2-4
2.1 Internal regulations.....	2-4
2.2 Basic principles for collaboration between producers and interested parties in research activities and management of natural resources.....	2-7
2.3 Participatory Planning by Objectives (PPO).....	2-8
2.4 Flowchart technique.....	2-9
2.5 Indicators to evaluate organizational processes.....	2-10
Exercise 2.1 Organizational processes: Internal regulations The Quadrilateral.....	2-12
Exercise 2.2 Organizational processes: Collaboration principles Socio-drama.....	2-15
Exercise 2.3 Identifying indicators to evaluate organizational processes	2-21
Bibliography.....	2-23
Originals for transparencies.....	2-25

Structure for this Section



Explanation

The above figure shows the three essential components of the Methodological Instruments for Developing an Organizational Process at Watershed Level.

Organization: It is important to note the following:

1. The internal regulations determine the functions of the various stakeholders in an organizational process. These regulations require use of the following operational criteria: composition, operation, coordination, decision-making, meetings, timing, headquarters, and minute-taking
2. Collaboration between producers and other interested parties is a key component in effective research and management of natural resources activities.

Planning: The following issues need consideration:

1. Participatory Planning by Objectives (PPO) is an instrument to analyze the causes and effects of a problem. It can be used to identify alternative solutions. Group work is essential when using this instrument.
2. The flowchart technique is a useful instrument for conducting effective meetings and discussions.

Evaluation: The indicators for use in the monitoring and evaluation process can be grouped as follows:

1. Community participation
2. Inter-institutional coordination
3. Range of objectives
4. Self-management
5. Leadership.

Objective

The main objective is for the participants to identify suitable instruments, that can be adapted for use at local level, to help organize, plan and evaluate organizational processes.

Orienting Questions

1. What methodological instruments for organizing, planning, evaluating and follow-up are you familiar with or have used in your work?
2. How useful do you find the application of organizational, planning, evaluating and follow-up instruments in organizational processes?
3. What conditions are necessary for these instruments to be used in your work area?
4. What are the advantages of joint planning and programming between communities and institutions?

Introduction

Community participation cannot be achieved overnight. It requires the existence of certain conditions. Most importantly, an understanding of some of the concepts, content and instruments relating to the participatory process is required. This is particularly important for those who missed the 'decision-making processes at local level' training.

There is a fundamental need for effective training within rural communities. This training needs to cover the use of methodological instruments to develop and strengthen organizational processes. Without this training the people in the communities cannot be expected to participate actively in planning, programming, executing decision-making processes, adapting decisions to meet local needs, or monitor and evaluate the process.

The instruments covered in this section of the guide are used at internal level by the institutions, but their use in rural communities is infrequent. This manual aims to explicitly teach how to use these instruments.

The effective use of these instruments is dependent on an easily managed process. Also, it is essential to recognize the importance of adapting the instruments to meet site needs.

It is not necessary for the inhabitants of these rural communities to become experts in using these instruments. However, an understanding of the fundamental procedures of the organizational process is essential to ensure the success of the process.

2.1 Internal regulations

Laws, norms and rules are important in the daily lives of human people. They provide stability in everyday relationships in that they guide human interaction. Knowing and abiding by these rules and norms reduces uncertainty and cost, both in time and money (PRONATTA, 1997).

The internal regulations referred to in this guide, serve to support and strengthen the organizational structure. This structure can help in the development of efficient decision making processes, and ensures that the process remains clear.

Internal regulation, on the one hand, relates to issues of organizational behavior (coordination, complementary nature) and, on the other hand, relates to the communities themselves (equity, sustainability). Some of these principles are described below.

a. Principles of equity, coordination, participation, complementary nature, cooperation, collaboration, sustainability and solidarity.

- Equity allows various groups within a region, to have similar access to various resources; e.g.: information and financial resources. It also considers gender issues, thus redefining work division, distribution of benefits and power relationships.

- Coordination promotes collaboration among the various organizations in the region. This avoids repetition of efforts, and increases both the human and economic resource.
 - Community participation is a social process that is more than simple collaboration. The main objective is to involve the members of the community in the various planning phases of development, e.g.: decision-making, executing the actions, evaluating management. Communities are to be organized with minimum conditions in order to encourage maximum participation. However, one essential condition is that each community or local organization is empowered to appoint its own representative. In this way, both sector and territorial representation is assured.
 - Participation of the people is essential for the objectives to be achieved.
 - Complementary nature in the preparation and execution of plans, programs and projects, is necessary to assure their fulfilling, and each institution provides, according to its technical, budgetary and logistic capacity, the local level support to fulfill the plans proposed in its specific field.
 - Solidarity is identified, through management support, with the efforts made by the communities and the organizations, to protect, preserve and have a sustainable management of the natural resources.
 - Cooperation obliges all institutions, communities and the municipal government, to have a joint solidarity and common action to fulfill the various plans, programs and projects.
 - Prioritizing, planning, executing and evaluating all the actions, must be done in harmony with communities, institutions and the municipal government
 - Sustainability is the persistence of a long-term activity, once the external support is withdrawn. All actions are to be framed within the concepts of social, economic and environmental sustainability.
- b. An organizational structure shown in an organizational chart enables group management and leads to concrete results.

c. Operation criteria:

Composition

As many stakeholders as possible within the region are required to fully represent the organization's collective interests. The stakeholders, through a process of collaboration, can prioritize and act in a sound decision making way.

Operation

The organization operates with the support of work groups or committees, who prepare and submit specific analyses and proposals. Work committees are set up in areas for specific activities; e.g.: agrarian reform, agriculture and environment, health, education and trading.

Coordination

Inter-institutional community coordination aims at establishing some mechanisms that result in agreed-upon action, both administrative and technical, and in keeping with the objectives dictated by the organizational structure. In order to achieve reliability among all the stakeholders involved in these organizational processes, there must exist a coordinating team (representatives from all government institutions, NGOs, local organizations and producers) to ensure that the stakeholders remain faithful to the organizational process.

Decision-making mechanism

The organizational structure is broad therefore, it is preferable to favor consensus decisions or majority decisions through a voting system. Decisions made by consensus have greater legitimacy and assure wider collaboration. Decisions made by ballot require close supervision by the organization so that democracy can be observed.

Meetings, timing and headquarters

To facilitate regular meetings, it is important to gather possible agenda items from inhabitants located in hard-to-access areas and are unable to attend meetings. This keeps the meetings dynamic. The organization, according to operation regulations, will choose a suitable meeting place.

Minutes

Accurate minutes are to be taken at all meetings. They are to be written by the appointed secretary. The minutes are then to be distributed before the next meeting or to be read at the beginning of the next meeting for approval.

2.2 Basic principles for collaboration between producers and interested parties in research activities and management of natural resources

Collaboration of all stakeholders is an essential principle that underpins the management of research and development activities related to natural resources..

In the case of research projects, communication and collaboration with regard to the following areas is essential: basic or exploratory trials, regional, confirmation and validation trials, and demo plots.

The results of basic or exploratory trials are subject to uncertainty and do not reflect the farmers' needs. The following needs to be considered when planning these trials:

- Information to the farmer about trial objectives and characteristics.
- Clarity about contributions (inputs and labor).
- Selection of tours or field-days (consider usefulness and if it is practical).
- Insuring an average yield for the producer from his plots adjacent to the trial site.

Regional confirmation or validation trials, including demo plots, are risky and therefore, the following needs to be considered:

- Experimental design, discussed with farmers.
- Defining the contribution of inputs and labor.
- Making demos, tours or field-days.
- Joint evaluation and harvest with the producers.
- Dissemination of trial outcomes.

The isolation or protection zones (buffer zones) need to be considered when managing natural resource, particularly the need for reforestation or forested areas. To protect these areas the following issues need consideration:

- Agreement with the community in the areas to protect.
- Define with the community the labor and resources (wire, staples, trees, fertilizers, posting, among others) required.
- Management and conservation of isolated or protected areas.

Energetic forests are used for charcoal and/or wood. On average, a family of five consumes 80 trees each year. Consideration must be given to the following:

- Sowing rapid-growth trees.
- Establishing plots away from spring waters.
- Using forestry or boundary areas.
- Define resources needed (labor input, trees).

2.3 Participatory Planning by Objectives (PPO)

Participatory planning by objectives is a demanding process because it requires much information and dedication from all participants. Its main objective is the creation of a community-participation mechanism that:

- raises levels of management.
- improves dialogue between all stakeholders.
- improves community ability to negotiate with the State and with regional representatives.

Participatory planning is a democratic process that considers the knowledge levels, community experiences, the different cultures, and the customs and traditions of the all the stakeholders. Moreover, participatory planning recognizes the individual's right to participate in the decision making process since the decisions made may directly impact on the individual's daily life.

Participatory planning encourages the local communities to: evaluate their own resources, determine the risk involved, and decide on the best way to develop.

Below are the basic elements of Participatory Planning:

- Stimulates community organization
- Defines and reaches common objectives arrived at through consensus or ballot.
- Projects agricultural and livestock development, as a part of the general development, thus facilitating their integration within the region or nation.
- Improves programs and projects designed for the region. This promotes the active involvement and collaboration of all stakeholders.

Participatory planning by objectives allows the various stakeholders to:

- analyze cause and effect
- prepare an objectives 'tree' to solve problems.
- make alternative analyses to select viable projects.
- determine the role of the stakeholders.
- structure a framework for the selected project to help determine general objectives, expected results, activities to be executed, monitoring and evaluation indicators, and schedule and work plans (Saravia, 1998).

When preparing short, middle and long term objectives, communities may consider taking the following actions:

- contribute to State programs that interpret rural communities' basic needs.

- collaborate with all the stakeholders in the decision making process so that the decisions reflect the organization's and community's interests. To assure that the actions to be executed in the region equitably benefit the population, in order to pursue social justice.

- coordinate institutional initiatives and actions with local and non-local organizations. This allows for: an analysis of the problems of the region; solutions to be developed; activities to be planned; the development process to be evaluated.

- develop strategies for technological research, design and validation. A sustainability logical chain will be established to include: organization, training, research, management of natural resources, production, trading/marketing and infrastructure designed to improve living conditions.

2.4 The Flowchart technique

Flowcharting is a useful planning technique which promotes open dialogue among technicians and producers. This technique facilitates communication as a function of a particular objective, without imposing the rigidity of a questionnaire (Ashby, 1993).

Figure 2.1 is an example of a flowchart for a diagnosis. Three basic stages are shown in this flowchart: inception, development and closure. For each stage a series of logical steps is suggested.

When using this technique it is important to establish the following:

- a. Clear expectations.
- b. Definition of the activity objectives.
- c. Total commitment of all the participants and the facilitators.

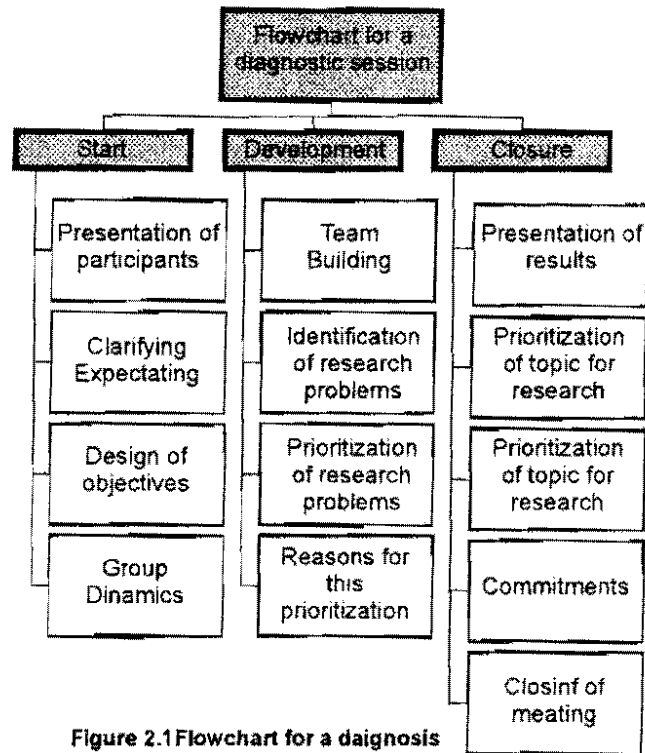


Figure 2.1 Flowchart for a diagnosis

2.5 Indicators to Evaluate Organizational Processes

They can be defined as qualitative or quantitative attributes, highly relevant and easy to measure.

Indicators are instruments that can be used for monitoring, follow-up and the evaluation of organizational processes. Through them it is possible to measure progress in each of the flowchart strands. However, it is important to remember that the reliability of any instrument depends on its use and application.

Ideally, in a legitimate participatory process the indicators come out of the community itself. How do we know that the organizational process has complied with the objectives? The indicators provide an answer to this question. We know that there are some indicators that have come out of organizational processes, and that it is possible to validate and evaluate them.

The indicators should be balanced by preparing a list of factors and criteria representing needs, perceptions and expectations of most stakeholders, in particular the main beneficiaries, the farmers.

Establishing and having available a list of indicators, generated from the very heart of the local communities, allows these communities to monitor their living conditions and available resources. As a result of their own analysis, they can also evaluate their organizational processes in an effective way. Besides, information systems help the communities to improve the decision-making process.

Table 2.1 shows some examples of indicators to evaluate organizational processes, and includes some suggestions for value ranges.

Table 2.1 Indicators to evaluate organizational processes

Themes	Indicators	Quantitative	Qualitative	Value scale
Community participation	• Territorial representation	X		1,2,3... %
	• Sector representation	X		1,2,3... %
	• Female participation	X	X	1,2,3... % E-S-D
	• Decision-making process	X	X	1,2,3... % E-S-D
	• Communication levels		X	E-S-D
	• Problems - identification and solution	X	X	1,2,3... % E-S-D
Inter-institutional Coordination	• Preparation of joint proposals	X		1,2,3... %
	• Commitments made	X	X	E-S-D
	• Information exchanges	X	X	1,2,3... % E-S-D
	• Convening capacity	X		1,2,3... %
	• Agreements reached	X		1,2,3... %
	• Cooperation, solidarity and shared-responsibility relationships		X	E-S-D
	• Norms establishment and compliance		X	E-S-D
Scope of the objectives	• Persons who know the project objectives	X		1,2,3... %
	• Dissemination	X		1,2,3... %
	• Projects accomplished	X		1,2,3... %
	• Inhabitants served	X		1,2,3... %
	• Communities served	X		1,2,3... %
Management and leadership capacity	• Preparation of community projects proposals	X		1,2,3... %
	• Resources obtained		X	1,2,3... %
	• Responsibility and commitments made	X		E-S-D
	• Education of new leaders		X	1,2,3... %
	• Appropriation of group management techniques and administrative management	X	X	E-S-D
	• Functions empowerment		X	E-S-D
	• Conflict resolution		X	E-S-D
	• Motivation	X	X	1,2,3... % E-S-D

Value scale for qualitative indicators: E = Excellent S = Satisfactory D = Deficient

Exercise 2.1 Organizational processes: Internal regulation The Quadrilateral

Objective

- ✓ To identify some basic principles aimed at strengthening an organizational structure through an internal regulation.

Instructions for the Facilitator

1. Explain the exercise to the participants. Explain that this is an open field dynamic. From the group select two helpers and four observers.
2. Make sure that you conduct the exercise in a large area.
3. The participants are to be blindfolded. Ask them to form a quadrilateral using a length of string. Each person is to keep hold of the string.
4. The helpers will help to blindfold participants and will place the two ends of the piece of string in the hands of two blindfolded participants.
5. The blindfolded group is to organize itself into completing the task. During the exercise, it is expected that leaders will emerge from the group and they will lead the others in the completion of the task.
6. The emerging leaders will make sure that everyone participates in forming the quadrilateral with each person's hand on the string.

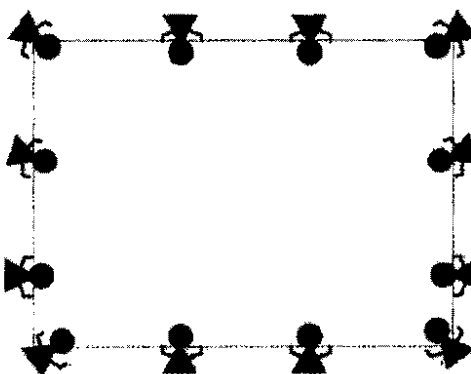


Figure 1. Illustration to show the human quadrilateral

Instructions for the observers

Observation guide

During the exercise, the observers are to use an observation guide to document their observations about the following:

1. emerging internal organization problems of the group in executing the task.
2. leadership exercise.
3. communication among the participants.
5. factors contributing to the success or failure of the job.
6. non-participatory people. Why?

Give 30 minutes to do this exercise. The observers then feedback their observations to the group. The participants are invited to comment on ways of improving the groups internal organization.

Resources necessary

- A thick rope (half inch) approximately 20 meters long.
- Scarves/ blindfold for each participant.
- Observation guide for the four observers.
- A drawing of the quadrilateral.
- Overlay with feedback information about the exercise.
- Flipchart
- Markers
- Masking tape
- Overhead projector

Suggested time: 60 minutes.

Exercise 2.1 Organizational processes: Internal regulations The Quadrilateral

Objective

- ✓ To identify some basic principles aimed at strengthening an organizational structure through an internal regulation.

Instructions for the Participant

Actively participate in this exercise

Follow the instructions

The observers are to use the observation guide to gather impressions about the following:

1. The internal organization problems emerging within the group.
2. The leadership exercise.
3. The communication among the participants.
4. The factors contributing to the success or failure of the task.
5. The people who did not participate and why they did not participate.

Exercise 2.1 Organizational processes: Internal regulations The Quadrilateral Feedback information

Instructions for the Facilitator

During the plenary session collate the responses given by the observers together with the participants' perceptions. Stress the following points:

- Problems emerged within the internal organization of the group during the exercise. It is important to mention that without role norms for each participant, agreements were not reached, making the goal difficult to achieve.
- Leadership serves to present options to the participants. An effective leader ensures full participation from the group.
- In the absence of good communication, organization becomes impossible. It is necessary to establish good communication in order to develop confidence within the group.
- Certain factors contributed to the success or failure of the task. Some people did not participate. How did this affect the general performance of the group? To ensure success the three principles mentioned above need to be observed.

Exercise 2.2 Organizational processes: Communication principles Socio-drama

Objective

- ✓ To identify criteria for reaching a consensus when developing activities related to the research and management of natural resources.

Instructions for the Facilitator

1. Explain to the participants that this exercise is a 'socio-drama' or 'role play'. The main idea is to assign contrasting agendas to each member attending a meeting in the Mayor's office. The meeting is being held to discuss better management of the natural resources in a watershed.
2. Six people are to be selected from the group. Each will play a role in the socio-drama. The rest of the group are to act as observers.
3. Each actor in the socio-drama is to have in to be given a 'hidden agenda'. Some of these agendas favor good management of the natural resources, while others favor individual interests that harm natural resources. The individual roles and agendas are to be kept secret until the meeting.
4. The group of observers form a circle around the actors seated at a table.

The Roles are as follows:

- The **Mayor**, who has good intentions, but has previous commitments with the owner of an illegal sawmill that has been operating for some years in the high part of the watershed.
- The **manufacturer**, owner of the sawmill, has invited himself to defend his interests.
- The **parish priest** is a mediator and conciliator.
- The **school principal**, is willing to organize the community in order to remove the sawmill, or to make it pay for contaminating the community's water.
- The **chairman of the association of aqueduct users**, has a positive agenda but, is very keen to be re-elected for a further term.
- An **agro-livestock technician** from the National Institute of Extension, is responsible for suggesting possible solutions.

Note: The roles are not gender specific.

5. Each actor is, where possible, to be given his/her 'hidden agenda' the day before so that he/she can prepare the role.
6. Distribute an observation guide to the observers.
7. The exercise facilitators have briefed the actors individually so that they can role-play their agendas fulfill their agendas as requested, regardless of their own ideas.
8. Begin the socio-drama using the following scene-setting:

'Here we are in a meeting room at the Mayor's office in a municipality very similar to ours. The Mayor has called together several important people from the community. The aim of this meeting is to reach an agreement about the management of the municipality's only important source of potable water. The people who have arrived to the meeting are: the Mayor, the owner of the sawmill located in the high part of the watershed, the parish priest, the school principal, the chairman of the association of aqueduct users and the technician'.
9. The 'socio-drama' may last for 30 or 40 minutes.
10. At the end of the exercise conduct a plenary session to analyze the dynamics of the exercise.
11. Use the exercise feedback overlays. Refer to the flowchart technique to work out how one might plan a successful meeting

Resources necessary

- Hidden agendas for the 6 actors in the socio-drama.
- Observation guide for the observers.
- Flipcharts
- Markers
- Rotafolios
- Masking tape
- Overhead projector
- 6-person table

Suggested time: 60 minutes.

Exercise 2.2 Methodological instrument for organizational processes: Communication principles Socio-drama

Objective

- ✓ The aim is for the participants to identify criteria and skills required to reach consensus when developing activities for the research and management of natural resources activities.

Instructions for the Observers

1. Observe very carefully the role of each actor in the socio-drama.
2. Use the observation guide to record your observations.
3. After the socio-drama present your observations by answering the following focus questions:
 - How did the meeting develop (inception, development and closure)?
 - How did each actor play his/her role?
 - What issues affected the success or the failure of the communication process?
 - What organizational principles were observed, and which were not?

Exercise 2.2 Organizational processes: Communication principles Socio-drama Work sheet

Hidden agendas for the Socio-drama actors

Chairman of the Association of Aqueduct Users:

You have been asked by the Mayor to attend a meeting to discuss ways in which the community can solve the on-going water problem. The main issues under discussion will be water shortage and contamination of the water source that serves the population. Your period as chairman of the users association expires next month, and you see this meeting as an opportunity to gain community support for you re-election.

This is your agenda: you are to support the agro-livestock technician. You will emphasize the achievements made by yourself during your administration as chairman of the association. Although you do not agree with the sawmill operating without legal permits in the high part of the hillside, you are afraid of the owner's power in the municipality.

The Mayor

As Mayor of the municipality you face a conflict. You have organized an important meeting to resolve the on-going problem of contamination of the municipality's only important water source, and the gradual reduction of its flow, due to the indiscriminate cutting down of trees.

You have a conflict of interest because the owner of the saw mill is your child's godfather. He has been operating illegally for several years in the high part of the watershed but has made several financial contributions to your election campaign as mayor.

This is your agenda: You will continue to allow your friend to run the sawmill because you are returning a political favor. Nevertheless, as the head of local government, you must appear in favor of conserving the natural resources of the area. This will give the appearance that local government, albeit weakly, is succeeding in its attempts to address the water problem.

The Agro-livestock technician from the National Institute of Extension

You have been asked to act as a counselor during the meeting, to contribute to the discussion about the water source contamination problem. Due to your relationship with other colleges, you have known that an international agency wishes to perform a water sources reforestation plan within the zone. You have also been informed that the Mayor is interested in managing the reforestation plan funds on behalf of the municipality or, to act as middleman in the management of such funds. This would involve managing funds derived from international agencies. This would mean that initiatives related to the conservation of the natural resources could be undertaken.

You have observed that the Mayor and the sawmill owner are friends. You therefore, will try to put pressure on the Mayor to offer funds for the reforestation project. You express your disagreement in the management of the funds on the part of the Mayor because you perceive the Mayor to be a poor administrator.

School principal

Initially you are willing to organize the community so that any decisions made reflect their wishes. You wish to commit yourself to any agreement or decisions that are made. You know that many settlers from the various communities are very unhappy about the management of the municipal government. The farmers are requesting immediate answers and are expressing their concern about the lack of effective administration by the municipal government with regard to the water problems.

Nevertheless, you are also willing to apply pressure in order to see the sawmill closed, or cause the proprietor to pay for the damage he has caused to the water source. You perceive the problem organizational and administrative rather than political. You will propose that the meeting focuses on improving organization.

The manufacturer

You invited yourself to the meeting in order to defend your own interests. You have brought with you a farmer who will testify that the sawmill employs many people in the zone. This is the main argument you use to justify your illegal operations and the water contamination.

You are to create false expectations by suggesting that some of the farmers who work for you will receive funds to buy their own electric saws. This is a wonderful opportunity for you enabling you to associate with neighboring communities that produce.

The Parish Priest

Your main role is as mediator and conciliator. You are to subtly support the school principal because he is very enthusiastic church-goer. You try to avoid a confrontation between the latter and the owner of the sawmill, who contributes large amounts to repairing the priest's house and the church.

Similarly, you try to reconcile the technician and the Mayor, with regard to poor fund management and the possibility of future international funding.

Exercise 2.2 Organizational processes: Communication principles Socio-drama Feedback information

Instructions for the Facilitator

- ✓ As a group review the answers to the observers' focus questions. Analyze the similarities and differences of the observations made. Stress the following points.

How did the meeting develop (inception, development and closure)?

Stress the fact that effectively organized meetings need to be divided into time blocks. Ideally, each time block has a clearly defined objective that results in an outcome (commitment, action). Also, full participation is important in reaching agreement or consensus.

How did each actor play his/her role?

Finding a common objective is important in eliminating antagonism and conflict. Often, more than one meeting is required to resolve issues and secure outcomes. It is also important to try to understand the view point and interests of others stakeholders. This helps communication.

What issues affected the success or the failure of the communication process?

Point out that it is necessary for the players in a meeting to understand and respect different view points. It is necessary to find common ground in order to define a common objective.

What organizational principles were observed, and which were not?

Reflect on the organizational processes used in the meeting. What was used? What was not used? Were the principles used successful in reaching the objectives?

Exercise 2.3 Identifying indicators to evaluate organizational processes

Objective

- ✓ To identify proper indicators to evaluate the strengths and weaknesses in an organizational process.

Instructions for the Facilitator

1. Divide the participants into groups of 4 or 5.
2. Ask each group to appoint a spokes person to submit the groups findings at a plenary session.
3. Using the case studies previously shown in Section I, the groups are to complete the task as outlined in Point 5. Give each group a different case study from Section 1 (Annex 6.1).
4. Give each group a different case study.
5. Ask each group to reach consensus during the exercise:

The task is as follows:

Identify a set of suitable indicators to evaluate the organizational process.

- Divide this set of indicators by theme, community participation, inter-institutional coordination, objectives scope, management capacity and leadership.
- Differentiate between quantitative and qualitative indicators.
Decide the scale of values to be used to describe each indicator.

6. Allow 30 minutes for this exercise.
7. Each groups' spokesperson is to submit its findings to the facilitator for use in a plenary session.

Note: The facilitator may choose to select indicators to evaluate an on-going organizational process.

Resources necessary

- Case studies
- Flipchart and markers for each group

Suggested time: 30 minutes

Exercise 2.3 Identifying indicators to evaluate organizational processes

Objective

- To identify effective indicators to evaluate the strengths and weaknesses in an organizational process.

Instructions for the Participants

1. Each participant is to join a work group.
2. A spokes person is to be appointed for each group. Appoint a narrator who will be responsible for submitting the outcomes of the exercise during a plenary session.
3. Complete the following tasks with the aid of the case studies (Annex 6.1). Try to reach a group consensus completing each task.

Jobs:

- Identify a set of suitable indicators to evaluate the organizational process.
 - Separate this set of indicators by themes: communities' participation, inter-institutional coordination, objectives scope, management capacity and leadership.
 - Differentiate between quantitative and qualitative indicators.
 - Decide what scale of values (quantitative and qualitative) is to be used to describe each indicator.
- Once the tasks are completed, the spokes person is to submit the results during the plenary session.

Exercise 2.3 Identifying indicators to evaluate organizational processes **Feedback information**

Instructions for the Facilitator

Check that each group completed all the tasks. Conduct a plenary session, analyzing the responses of each group. Were the defined indicators clear, relevant and measurable? Were the selected scale of values suitable?

Table 2.1 shows some examples of a set of indicators that may be useful.

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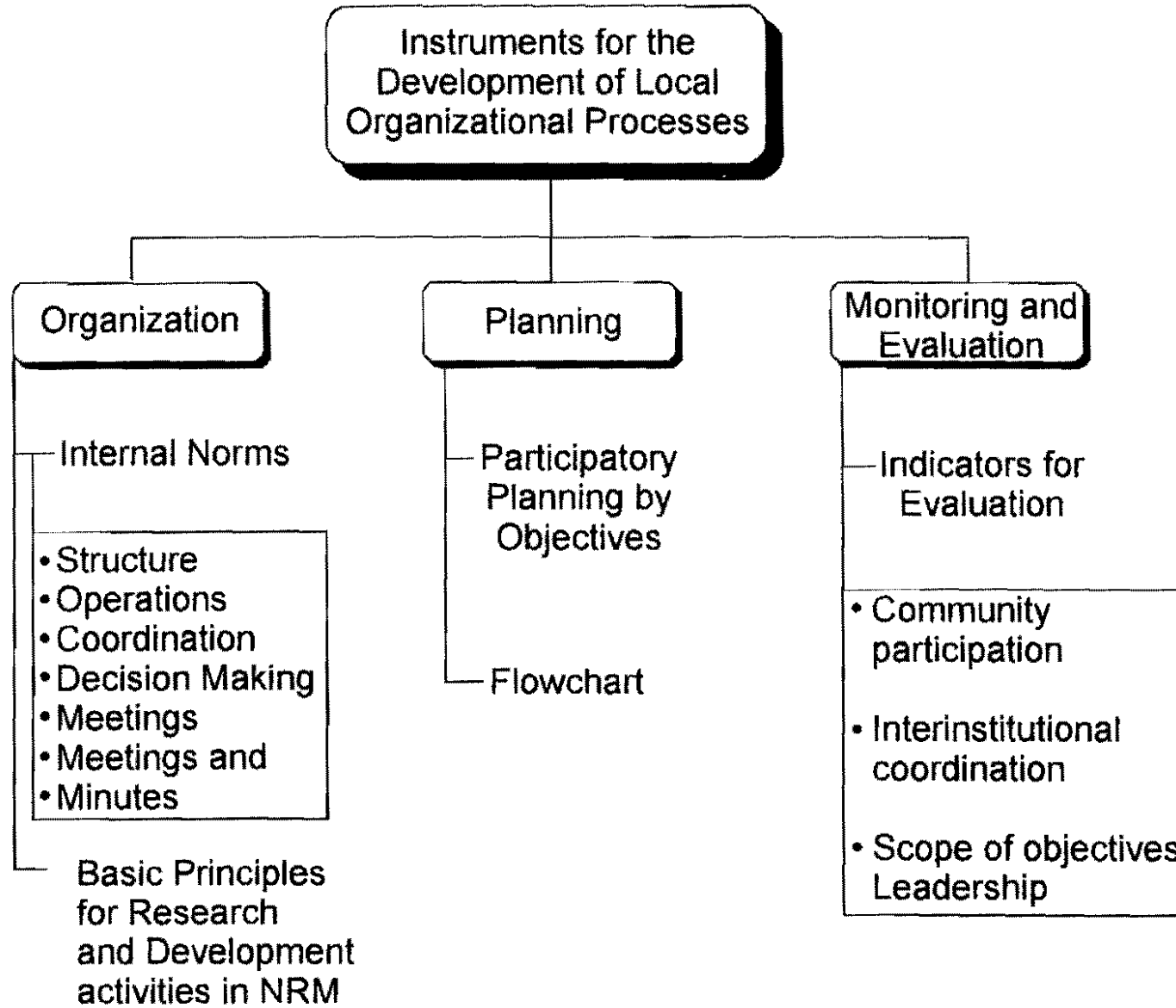
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Originals For Transparencies

STRUCTURE FOR THIS SECTION



SECTION OBJECTIVE

The main objective is for the participants to identify suitable instruments, that can be adapted for use at local level, to help organize, plan and evaluate organizational processes.

ORIENTING QUESTIONS

1. What methodological instruments for organizing, planning, evaluating and follow-up are you familiar with or have used in your work?
2. How useful do you find the application of organizational, planning, evaluating and follow-up instruments in organizational processes?
3. What conditions are necessary for these instruments to be used in your work area?
4. What are the advantages of joint planning and programming between communities and institutions?

FEEDBACK EXERCISE 2.1

- Feeling of belonging to a group or community
- Interest or motivation to participate
- Equal opportunities and rights between the sexes
- Commitment to cooperate
- Agreement among stake holders
- Effective Leadership
- Adequate communication between participants

FEEDBACK EXERCISE 2.2

QUESTION 1

- Clarifying Expectations
- Establishing Agendas
- Problem definition
- Organised discussion
- Time planning
- Participation of all stakeholders
- Identification of possible solutions
- Conclusions, commitments and future actions

FEEDBACK EXERCISE 2.2

QUESTION 2

- Establishing a common goal, helps to overcome conflicting and antagonistic positions
- Just one meeting is not enough to bring stakeholders together
- Forming a voluntary committee to generate more information

FEEDBACK EXERCISE 2.2

QUESTION 3

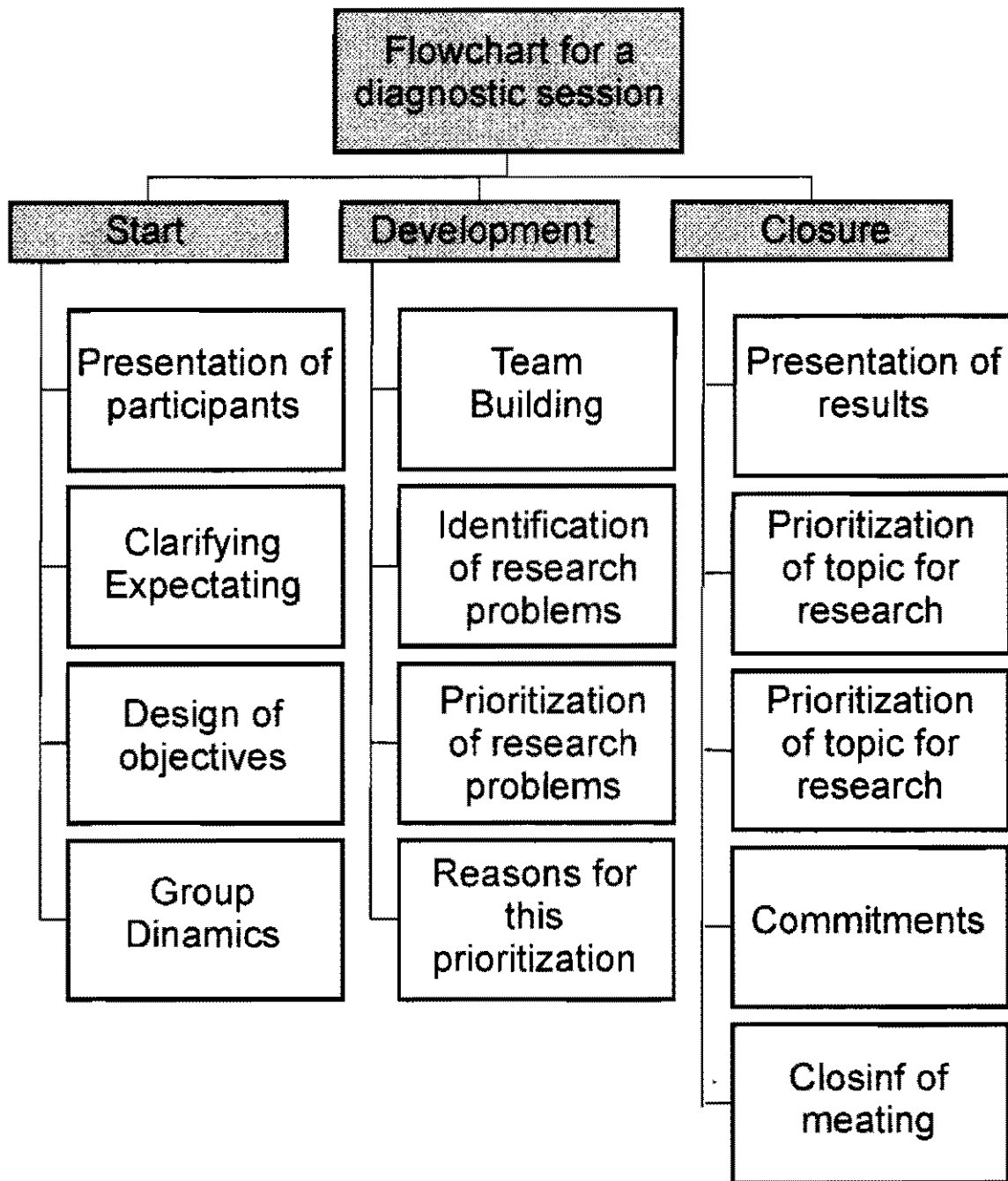
- Establishing appropriate conditions
- Open and constructive discussion
- Respect for other opinions
- Equal opportunities in decision making
- Consensus in decisions or options
- No winners or losers

FEEDBACK EXERCISE 2.2

QUESTION 4

- Clarifying expectations
- Defining Objectives
- Using organizational methods
- Time management
- Establishing communication
- Assigning responsibilities and commitments
- Monitoring and evaluation
- Action plan and future commitments

FLOWCHART FOR A DIAGNOSTIC SESSION



INDICATORS TO EVALUATE ORGANIZATIONAL PROCESSES

Themes	Indicators	Quantitative	Qualitative	Value scale
Community participation	• Territorial representation	X		1,2,3... %
	• Sector representation	X		1,2,3... %
	• Female participation	X	X	1,2,3... % E-S-D
	• Decision-making process	X	X	1,2,3... % E-S-D
	• Communication levels		X	E-S-D
	• Problems - identification and solution	X	X	1,2,3... % E-S-D
Inter-Institutional Coordination	• Preparation of joint proposals	X		1,2,3... %
	• Commitments made	X	X	E-S-D
	• Information exchanges	X	X	1,2,3... % E-S-D
	• Convening capacity	X		1,2,3... %
	• Agreements reached	X		1,2,3... %
	• Cooperation, solidarity and shared-responsibility relationships		X	E-S-D
	• Norms establishment and compliance		X	E-S-D
Scope of the objectives	• Persons who know the project objectives	X		1,2,3... %
	• Dissemination	X		1,2,3... %
	• Projects accomplished	X		1,2,3... %
	• Inhabitants served	X		1,2,3... %
	• Communities served	X		1,2,3... %
Management and leadership capacity	• Preparation of community projects proposals	X		1,2,3... %
	• Resources obtained		X	1,2,3... %
	• Responsibility and commitments made	X		E-S-D
	• Education of new leaders		X	1,2,3... %
	• Appropriation of group management techniques and administrative management	X	X	E-S-D
	• Functions empowerment		X	E-S-D
	• Conflict resolution		X	E-S-D
	• Motivation	X	X	1,2,3... % E-S-D

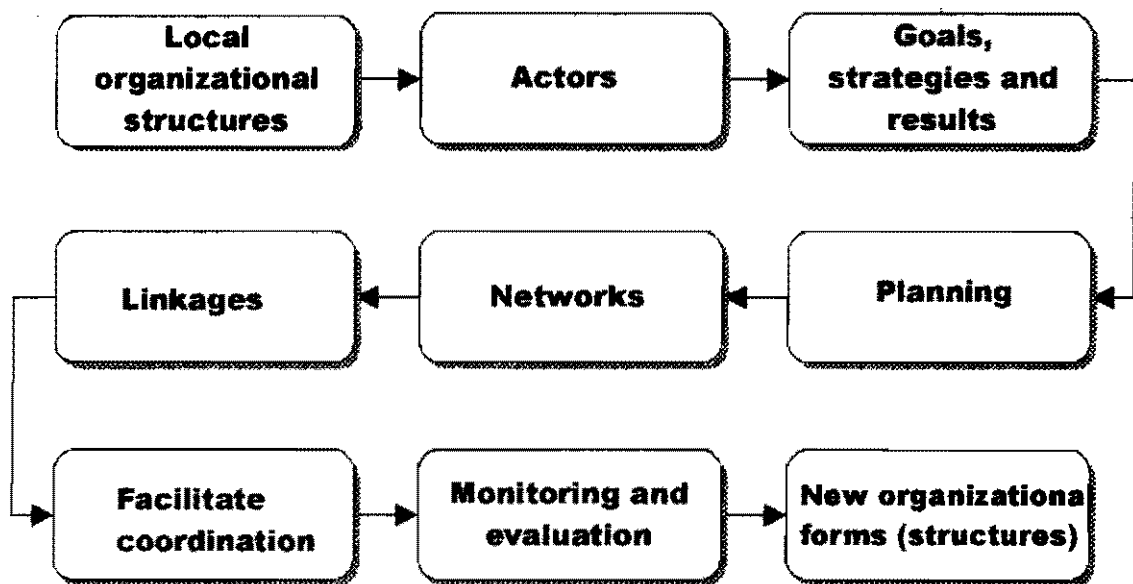
Value scale for qualitative indicators: E = Excellent S = Satisfactory D = Deficient

Section 3

Steps in the Organizational Process at Watershed level

Section 3. Steps in the Organizational Process at Watershed level

	Page
Section Structure.....	3-2
Objectives.....	3-2
Orienting questions.....	3-2
Introduction.....	3-3
3 Steps in the Organizational Process at watershed level.....	3-5
3.1 Step 1: Formulation of the purpose, strategy and expected outcomes of inter-institutional work.....	3-5
3.1.1 Strategy.....	3-5
3.1.2 Strengths.....	3-6
3.2 Step 2: Identifying social stakeholders.....	3-6
3.2.1 Methodological instruments.....	3-7
3.3 Step 3: Facilitating the development of new local organizational forms.....	3-8
3.4 Step 4: Strengthening the existing local organizational forms.....	3-9
3.5 Step 5: Promoting the formation of local networks or associations of local community groups.....	3-10
3.6 Step 6: Facilitating inter-institutional coordination.....	3-10
3.7 Step 7: Establishing links between local level and regional, national and international levels.....	3-11
3.8 Step 8: Fulfilling the participatory planning.....	3-12
3.9 Step 9: Follow-up and evaluation.....	3-12
3.9.1 Follow-up.....	3-12
3.9.2 Evaluation.....	3-13
3.10 Table on methodological instruments and experiences.....	3-14
Exercise 3.1 Key elements to form a Consortium. Video.....	3-18
Exercise 3.2 Steps in the Organizational Process at watershed level.....	3-21
Bibliography.....	3-21
Originals for transparencies.....	3-22



Explanation

The above figure represents the 9 logical steps in an organizational process. It is not a linear process since the order depends on the local situation. There is no prescription for the development of an organizational process. The figure does not represent a pre-determined order.

Objectives

- ✓ To identify the basic components of an organizational process at watershed level.
- ✓ To plan a local and inter-institutional organizational process at watershed level.

Orienting questions

1. How useful is it for communities and institutions to communicate and collaborate about joint activities?
2. What is your opinion about coercing community members into participating in collective activities?
3. What are the required strengths of an inter-institutional organizational process?

Introduction

There is no formula or recipe for ensuring the successful development of an organizational process in a given place. However, based on the organizational experiences of the CIAT hillsides group (see case studies) some lessons have been learned and some guidelines have been formulated.

Community participation is an important condition for the successful development of local projects. The results of several international and national projects indicate that programs designed without the involvement of the community (men and women, both young and old) tend to be unsuccessful in meeting their expected outcomes.

Participation is necessary in developing a process and to specific projects. Community participation is an important part of development processes. It is fundamental to the formulation and execution of a collective management plan for natural resources.

For this reason, the scope of participation is determined by a series of internal stakeholders related to the following: information management, leadership, gender roles and self-management capacity.

Information management needs the support of the decision making process. Communities need training in the use of information for the common good. Therefore, the communities have an important role to play in deciding what needs to be done, how it should be done, and how to get the necessary information. Only in this way can communities effectively participate in local level decision-making processes.

Leadership is an art, not a science. Leadership affects the decision making process. To enable a community to develop the capacity to assume responsibility the leader must accommodate this growth. This means that the leader is to decide how to facilitate the group's growth and development, a process depending on its development level and working needs (Brekelbaun, 1961).

The role of women in a community or group can often condition how they participate. It is important to reflect on the roles of women in daily life and the problems they face when considering developing an organizational process. Particularly as the gender roles are different. Men and women perform different functions, have different knowledge and assume different responsibilities. Therefore gender difference must be perceived as part of the social dimension of human beings.

According to Brekelbaun (1990), there are three fundamental capacities, on which an organization can develop its self-management potential: They are the capacity for training, the capacity for executing and the capacity for planning. The following limitations exist in the self management of local communities:

- a. Limited institutional capacity: local communities often have insufficient financial resources to hold specialized training sessions on technical, administrative and financial issues.
- b. Lack of coordination among the stakeholders: links between community organizations at various levels (local, regional, national and international) can be problematic and needs developing.
- c. Insufficient time: generally, council bodies want to see quick results from middle and long term processes. Some specialists say that a minimum period of 5 years is necessary to assure the social sustainability of these organizational processes.

Municipal governments, non-government organizations and international centers have an important role to play in providing opportunities that encouraging community participation at various levels. These created are reflected in a local administrative decentralizing process, that in turn, strengthens the cooperation and development of local communities' management capacity. When the opportunities are not taken, the exchange and development of experiences do not take place and information does not filter back into the communities.

The above suggests that organizational processes are based on pre-established conditions that must be observed and analyzed before making organizational decisions. Some examples of these conditions are as follows:

- Identifying stakeholders (For a methodology, see Guide No. 4 of this series) and gender roles.
- Education levels: Inviting people or groups to participate in discussions they have some knowledge about or are interested in.
- Identity: People are to feel that they belong to a group or community.
- Willfulness: Social participation is to respect this principle.
- Gender, sector and territorial representation.

Steps in the Organizational Process at watershed level

It is easy to develop an organizational strategy for local development based on the logical steps detailed in this section of the guide. The user can be creative with the sequence of the steps, careful to consider local conditions, experience and context. Therefore, some steps may be undertaken simultaneously. Cost generated in the process can be compared to the benefits and final results of the process: Annex 6.4.

For each step, advice is given as to the instruments that may be used, based on the case studies. The reader is to refer to the annex for supplementary information.

3.1 Step 1. Formulation of the purpose, strategy and expected outcomes of inter-institutional work

An inter-institutional consortium for hillsides sustainability agriculture represents an alliance among government, non-government organizations, international centers and local organizations.

When a consortium is formed, it is important to define its purpose. Similarly, the expectations the consortium has of the organizational process must be clarified. Defining the purpose is of paramount importance particularly when participants, people or institutions, pull out of the venture. For those who remain in the venture, clarity, purpose and projected outcomes are vital.

An example of a defined purpose might be to establish a collaborative institutional framework based on negotiating principles, within which the members agree to perform socially desirable actions to preserve the natural resources.

3.1.1 Strategy

The strategy of a consortium depends on its objective to reinforce the economic benefits derived from sustainable agricultural practices in rural communities. The consortium members can formulate a policy to create social incentives for the ecological management of the resources, and in turn curtailing any harmful practices. This policy is implemented through community organization, environmental education and education of leaders as local-level facilitators.

The implementation of suitable use and management practices of the soils can lead to increased productivity. Trading and rural agro-industry support diversification, thus generating employment and income, and establishing an economic stimulus to the producers to use conservation practices (Figure 3.1).

3.1.2 Strengths

The strengths of a consortium are:

- Assessing local agricultural practices.
- Multi-disciplinary team work.
- Using the joint knowledge and experiences of their members.
- Integrating the contributions into formal research.

The aim of an inter-institutional organizational process is to help rural communities to improve their quality of life, find new options to increase their income and improve their food safety, through joint, collaborative, and organized actions. These actions can be developed using the sustainability logical chain framework, for example, the organization components (training, research, production, conservation of natural resources, trading and transformation, and infrastructure). (Figure 3.2)

The sustainability logical chain emerged out of the systems concept, where reality is considered along with the interacting components. To achieve sustainability of the natural resources and of the managing organizations, protection and development, it is necessary to systematically link components from the various sectors so that they all fulfill the sustainability objective. When one of the chain links is broken, as shown in Figure 3.2, the process is weakened.

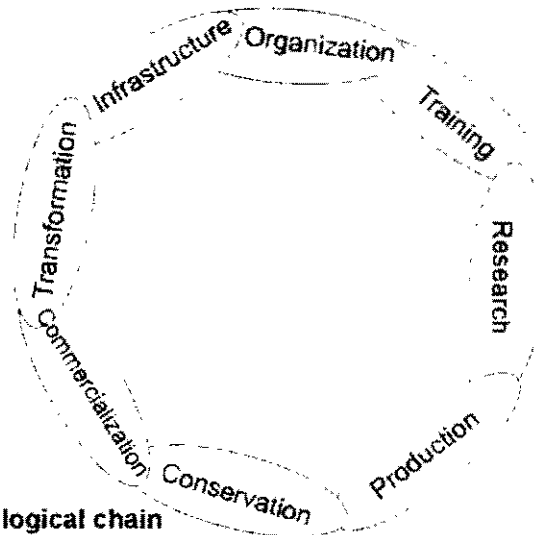


Figure 3.2 Sustainability logical chain

3.2 Step 2: Identifying social stakeholders

Diverse composition is fundamental to forming an organizational structure at sub-watershed level. For example, the highest possible number of social stakeholders in the region is to be sought; the various collective interests are to be represented, so that priority actions can be collaborated.

The participatory nature of the process is inclusive. Some times women or peasants without land are forgotten. This invitation must be extended to: the municipal government (Mayor), representatives of the municipal council, representatives of the public bodies performing rural development actions in the region, representatives of the local organizations and of the sector present in the region. It is important the invitation made by the body leading the organizational process, is extended to participants of the various sectors in the region. The representative of the State is to encourage municipal decentralization and acknowledge the local participatory planning process and any resource management decisions made.

3.2.1 Methodological instruments

Hillsides zones are noted for their diverse use of the natural resource. This implies a conflict of interest in the management of the resource. Therefore, it is necessary to use methodological instruments to identify the various stakeholders, in order to collaborate for better resource. The instruments referring stakeholder identification are presented in the following guides: Identifying Levels of Well Being to Construct Local Profiles of Rural Poverty (Guide 5) and Methodology for Analyzing Groups of Interest for Collective Management of Natural Resources in Micro-watersheds (Guide 4).

Community participation must consider gender, and sector and territorial representation. This means that the selection of community representatives is to include women, youngsters, elders, small producers and, where applicable, ethnic groups.

Rural community representatives are essential participants of the organizational structure at sub-watershed level. Community representatives are elected in assemblies, councils or other participatory mechanisms, local organizations, area, community, comarca or vereda existing in the region.

3.3 Step 3: Facilitating the development of new local organizational forms

Facilitating the development of new local or community organizational forms, is necessary to achieve local or regional development. It is a strategy aimed at establishing minimum conditions to promote community-participation development. The effective community participation needs organization. Without this, participation becomes unstable and made up of a few scattered individuals.

Before the inception of this process, it is necessary to take into account the following elements:

- Identifying stakeholders or regional representatives (see the previous section).
- Local culture: beliefs, values and traditions of the inhabitants of the community, zone, comarca, municipality, region or watershed. On the one hand, it is a matter of recovering and consolidating community spirit and traditional values. On the other hand, history and identity need to be nurtured along with a sense of belonging.
- Socio-economic context. Existing levels and/or welfare conditions: availability of resources at local level, comarca and region; demands from the various population groups.
- Communication channels for citizens: opportunities where people can dialogue, express their opinions and be heard.

The strategy for facilitating the development of new local or community organizational forms, consists of generating autonomous organizational process within the community. By making available knowledge, and by facilitating access to information, technologies and methodologies, rural communities can begin to develop autonomously (Figure 3.3).



Figure 3.3 Committee for Research on Local Agriculture: autonomous process for local organization. Campos Verdes Association, San Dionisio, Matagalpa, Nicaragua

3.4 Step 4. Strengthening the existing local organizational forms

When faced with the task of strengthening existing local organizational forms, it is necessary to make reference to some essential characteristics, e.g.:

- It is not necessary for all the stakeholders to be linked to every aspect of the development process. Some may not be involved until results are generated, while others wait until they know who is participating and who is not, and others wait until they are sure that their interests are going to be addressed within the organizational process. Participation often increases over time and as local organizations address their needs through the development process.
- Decision-making process: the need for strengthening local organizational capacity is evident, not only with regard to community decision making, but also public interest decision making. The latter requires a certain degree of decentralization and strengthening within municipal management.
- Strengthening local organization strengthens public sector management and means that the community members have a say in local, municipal and regional development.
- Vision about land use: creates the possibility to use natural resources more rationally in order to preserve the environment.
- Forms or level of Companies: avoiding paternal or assisting practices. It is important to strengthen planning, programming, executing, and follow-up of the activities at local-level. However, Companies and other bodies can offer support.

- Generation and availability of the information required: Access to information is essential. Therefore, it is necessary to improve: access for local organizations, to accurate, up-to-date information about municipal management issues. It is important for the communities to be able to new technologies, resources and methodologies.

3.5 Step 5: Promoting the formation of local networks or associations of local community groups

Local networks are valuable in strengthening links to sustain enthusiasm for activities, exchange successful experiences and avoid already-made mistakes. Networks are a result of an organizational maturation process and account for better media and inter-institutional communication strategies.

The promotion of networks or associations of community local groups, is based on a conceptual framework integrating the following premises:

- a. The network is to be regarded as a system of people joined by common interests, who are voluntarily trying to strengthen their individual or collective actions, in order to develop their community.
- b. It is necessary to define organizational strengthening for all the stakeholders. It is also necessary to offer incentives and education, such as technical assistance, training, development and leadership.
- c. Development is to be promoted beyond a territorial framework. However, it is important not to trespass at the local level.
- d. Minimum institutional support and resources are required for operating local groups yet they allow for decision making, the choosing of alternatives and provide an opportunity to practise self-management.
- E. Links between peasant organizations are to be fostered, in order to take advantage of production forms, increase rural employment sources, access to credit, transport of products and purchase of inputs.

3.6 Step 6: Facilitating inter-institutional coordination

Experiences related to organizational developmental processes with links between various institutions and bodies can be complex. To strengthen these links, it is necessary to establish regular meetings for institutions, local government, NGOs, associations and local organizations.

Experience has shown that inter-institutional coordination helps the organizational process at local, regional or watershed level. It allows for:

- a better knowledge of the objectives and activities of the participating bodies and thereby reduces misplaced effort.
- the promotion of joint work plans.
- better access to work opportunities.
- the creation of actions designed to effectively meet local needs.

3.7 Step 7: Establishing links between local level, and regional, national and international levels

Stimulating and developing links between local level, and regional, national or international levels is important in the exchange of information and experiences and the development of common interests. Links can be used for:

- subscribing agreements on municipal brotherhood.
- giving support to strengthen community associations and organizations.
- supporting communities organizations by giving support to municipal development.

The establishment of local and national links is to emphasize training and counseling, which is often unavailable locally. These links include:

- contacts for obtaining funds.
- broader links to help with overcoming hurdles and resolving conflict.
- leadership training for community organizations and associations.
- creating information channels between the various levels.

Unlike the national-level link, regional-level links look after the continuity of working plans, and strengthen community organizations. This involves:

- stimulating mutual cooperation, and agreeing to perform technical training.
- programming and performing activities, workshops and events for the benefit of the local population.
- formulating and updating a portfolio of community projects.
- Identifying and applying technical and methodological instruments, according to the local context, in order to strengthen the organizational process.

3.8 Step 8: Fulfilling participatory planning

Participatory planning is a mechanism that enables initiatives to emerge from local organizations, governmental institutions, NGOs, and other stakeholders. Negotiation between the various social stakeholders, with regard to the efficient use and equitable distribution of resources, is an integral part of this process.

This planning mechanism means that local stakeholders, as both citizens and municipal authorities, have clearer vision.

Participatory planning identifies the needs of rural communities' that provide the basis for planning and action.

Participatory planning requires effective information management and the involvement of community stakeholders in order to enhance decision -making processes. If these conditions are not met, participatory planning lacks dynamism, and can become ineffective.

Planning around a real problem or theme is useful. In the San Dionisio case study, reforestation of the fertile river low land emerged as a need. This starting point generated positive results, and developed into a much broader plan that included various aspects of local development. Participatory planning is not necessarily a process involving a set of development-related problems; and can arise out of a specific need within sub-sectors.

In this sense, participatory planning is a continuous educational, creative and reflective process that involves rural communities in their own developmental planning. (Figure 3.4).



Figure 3.4 Participatory planning workshop. Campos Verdes Association, San Dionisio, Matagalpa, Nicaragua

3.9 Step 9: Follow-up and evaluation

The follow-up and participatory evaluation within the community, is an important part of the self-management and community organization strategy framework. Follow-up and evaluation are vital tools in developing leadership, promoting shared responsibility in planning, and following through with action.

Monitoring and evaluation instruments need to be used at the early stages of the development process.

Annex 6.5 shows an evaluation of a CIPASLA's activities (1997).

3.9.1 Follow-up

Follow-up or monitoring are mechanisms that allow for: information gathering; the execution of activities; input; working schedules; and, defined objectives. Monitoring is a procedure that gives all the stakeholders an assurance that the objectives are being worked towards according to the guidelines. Monitoring checks the development process, in particular decision-making processes.

3.9.2 Evaluation

Evaluation uses experience to improve. It objectively determines the importance, efficiency, effectiveness and impact of the development as defined by the objectives. This allows for improved on-going activities, and contributes to planning, programming and decision-making.

Evaluation can be undertaken at any time during or after the development. Post evaluation is a useful instrument to measure the impact of the project or organizational process.

Organizational projects and processes can be improved and modified through the use of follow-up and evaluation practices. Nevertheless, to make modifications, it is important that all stakeholders become involved in the follow-up and evaluation process in order to ensure that the operating schedule is being followed.

All follow-up and evaluation processes need to involve:

- progress reports of project or process progress.
- an examination of the impact
- the provision of feedback information in order to define new projects.

Monitoring and evaluation improve the flow of information at different levels within an organizational structure.

3.10 Table on methodological instruments and experiences

Below is a table showing the nine organizational steps with corresponding instruments and experiences.

Steps of the organizational process	Instruments	Experiences
Forming the purpose, strategy and results	Participatory Planning by Objectives (PPO)	CLODEST, CIPASLA, CMDR
Identifying social participants	Identifying stakeholders. Diagnosis of institutions and local organizations	CIPASLA Reforestation Committee, CIPASLA, CMDR, CLODEST.
Facilitating the development of new organizational forms	Identifying stakeholders. CIAL methodology	CIPASLA CLODEST, Reforestation Committee, CIPASLA
Strengthening the existing local organizational forms	Organizational legitimization (Internal regulation)	CLODEST, Campos Verdes Association, CIPASLA, CMDR
Promoting local networks and associations	Fostering links between peasant organizations Providing information on networks (what, how and when)	CIAL, Campos Verdes Association, ASOBESURCA CIAL future action
Facilitating inter-institutional coordination	PPO Organizational legitimization	CLODEST, CIPASLA, CMDR CIPASLA, CMDR
Establishing links at local, regional, national and international levels	Agreements Information channels Portfolio of community projects	All All All
Participatory planning	Scheme of planning by objectives Problems tree, objectives tree and planning matrix	CLODEST, CIPASLA, CMDR
Follow-up and evaluation	Pre-evaluation Post-evaluation	

Exercise 3.1 Key elements to form a Consortium. Video

Objective

Through viewing a video analyze the experiences of the Inter-institutional Consortium for a Sustainable Hillside Agriculture (CIPASLA, Cauca, Colombia).

Instructions for the Facilitator

1. Explain to the participants the objective of the exercise. Tell the participants that they will be watching a video then, working in small groups they will address a set of questions analyze the process by answering a set of questions.
2. Show the video "Water murmur" (24 minutes).
3. Form three discussion work groups. With the aid of an open-questions guide, each group is to discuss and analyze the video. Instruct each group to appoint a scribe-spokesperson.
4. Provide required resources to each group (flipchart, markers).
5. Ask each group to present their analysis as a short presentation to be given at the plenary session.

Resources necessary

- TV set and VHS
- Orientating questions
- Video Water murmur
- Flipchart
- Markers
- Rotafolios
- Masking tape
- Overhead projectors
- Overlays
- Notebook

Suggested time: 1 hour 15 minutes

Exercise 3.1 Key elements to form a Consortium. Video

Objective

Through viewing a video analyze the experiences of the Inter-institutional Consortium for a Sustainable Hillside Agriculture (CIPASLA, Cauca, Colombia).

Instructions for the Participant

This exercise requires your full participation.

- Whilst watching the video consider how the organizational process is developing.
- Take notes about the process or anything that interests you.
- After viewing join one of the work groups.
- Appoint a scribe-spokesperson for your group.
- Discuss your findings and try to reach a consensus when answering the discussion questions.
- The spokesperson is to present the group's findings at a plenary session.

Exercise 3.1 Key elements to form a Consortium. Video

Work sheet

Discussion questions for the group work

What is the purpose of forming an inter-institutional consortium?

What type of conflicts or problems can be identified in an organizational process?

What type of incentives can be used to motivate effective management of natural resources?

The video mentioned some of the strengths in the management of the watershed. What were they?

What methodological instruments have supported the organizational process?

Exercise 3.1 Key elements to form a Consortium. Video Feedback information

Instructions for the Facilitator

Summarize the answers to the five questions, and analyze them with the group, Clarify different interpretations and points of view. Some of the answers given, could be:

Answers

To question 1

- Performing community-institutions collaborative actions.
- Executing integral projects.
- Having collective management of the economic resources.
- Strengthening communication links.
- Efficiency in the management of the resources.

To question 2

- Lack of motivation and involvement of some community members.
- Lack of sector and territorial representation from the local communities.
- Problems in the management of natural resources.
- Migration of the rural population.

To question 3

- Dissemination of the activities of the consortium.
- Country tours to exchange experiences.
- Training and technical assistance on the part of some institutions.
- Promoting productive projects.

To question 4

- Assessing the local population's knowledge about their own environment.
- Presence and efficiency of all stakeholders.
- The knowledge generated by the research centers contributes to a better decision-making process about the management of the natural resources.

To question 5

- Methodology of the participatory planning by objectives.
- Basic principles of collaboration between farmers and other stakeholders in research activities for the management of natural resources.
- Establishing and implementing actions within the framework of sustainability logical chain.

Exercise 3.2 Steps in the Organizational Process at watershed level

Objective

- ✓ The participants are expected to formulate a plan to create an organization at the watershed level.

Instructions for the Facilitator

- Divide the participants into groups of 5 or 6. Ask the group to appoint a scribe-spokesperson for the group. The spokesperson will present the group's outcomes during a plenary session.
- Give each group a set of illustrations showing the methodological steps. Ask the participants to order them in a logical form or sequence. They are to be prepared to justify their decisions.
- Ask the participants to paste the steps in the chosen order on a flipchart. This is to be displayed in a prominent position for general viewing.
- Allow 15 to 20 minutes for the exercise.
- Invite each narrator to show his/her flipchart, and justify the sequence of the steps.

Resources necessary

- A set of illustrations with the methodological steps(one for each group)
- Flipcharts
- Markers
- Masking tape

Suggested time: 40 minutes.

Exercise 3.2 Steps in a Process of Organization at watershed level

Objective

- ✓ The participants are expected to formulate a plan to create an organization at watershed level.

Instructions for the Participant

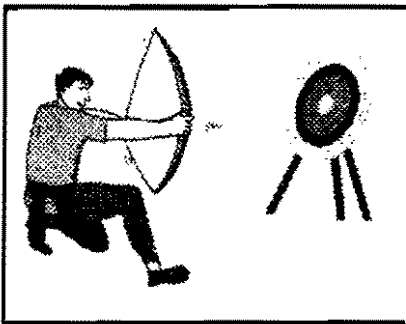
- Join a work group.
- Appoint a scribe-spokesperson who is responsible for presenting the outcomes of the exercise, and his/her observations on the dynamics of the exercise.
- Each group is to refer to the set of illustrations showing the methodological steps of organizational processes.
- Assign a logical order to the steps. Write down your justification for choosing the sequence. As a group try to reach a consensus as to the sequence.
- Paste your sequence of steps on a flipchart and display in a prominent position for discussion during the plenary session.
- The group is to justify the logical order of the presentation, in order for the group narrator to submit it, in its due time during the plenary session.

Exercise 3.2 Steps in the Organizational Process at watershed level. Feedback Information

Instructions for the Facilitator

- Once the group presentations are completed review the similarities and differences in the sequence chosen. Ask the members of each group to justify or explain their decisions.
- Emphasize the fact that there are no magic formulas for developing an organizational process.
- The logical order of steps shown in this Guide is as follows:

Formulating purposes, strategies and expected results



Identifying Stakeholders



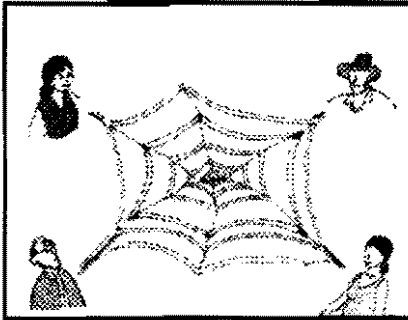
Facilitating the development of new local or community organizational forms



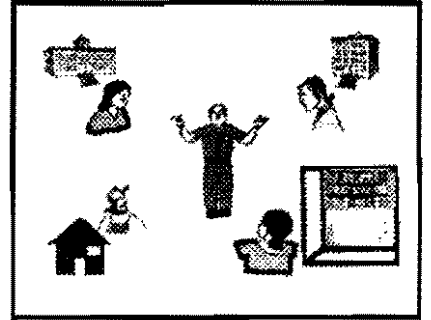
Strengthening the existing local organizational forms



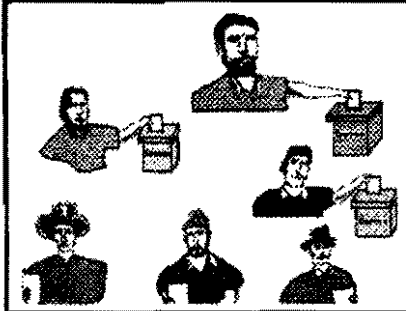
Promoting the formation of networks or associations Interinstitutional of community local groups



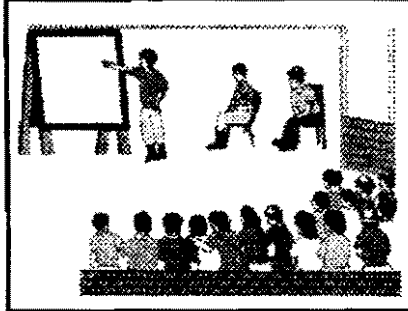
Facilitating the coordination



Establishing vertical links at local, regional, national and international levels



Participatory Planning



Monitoring and follow-up



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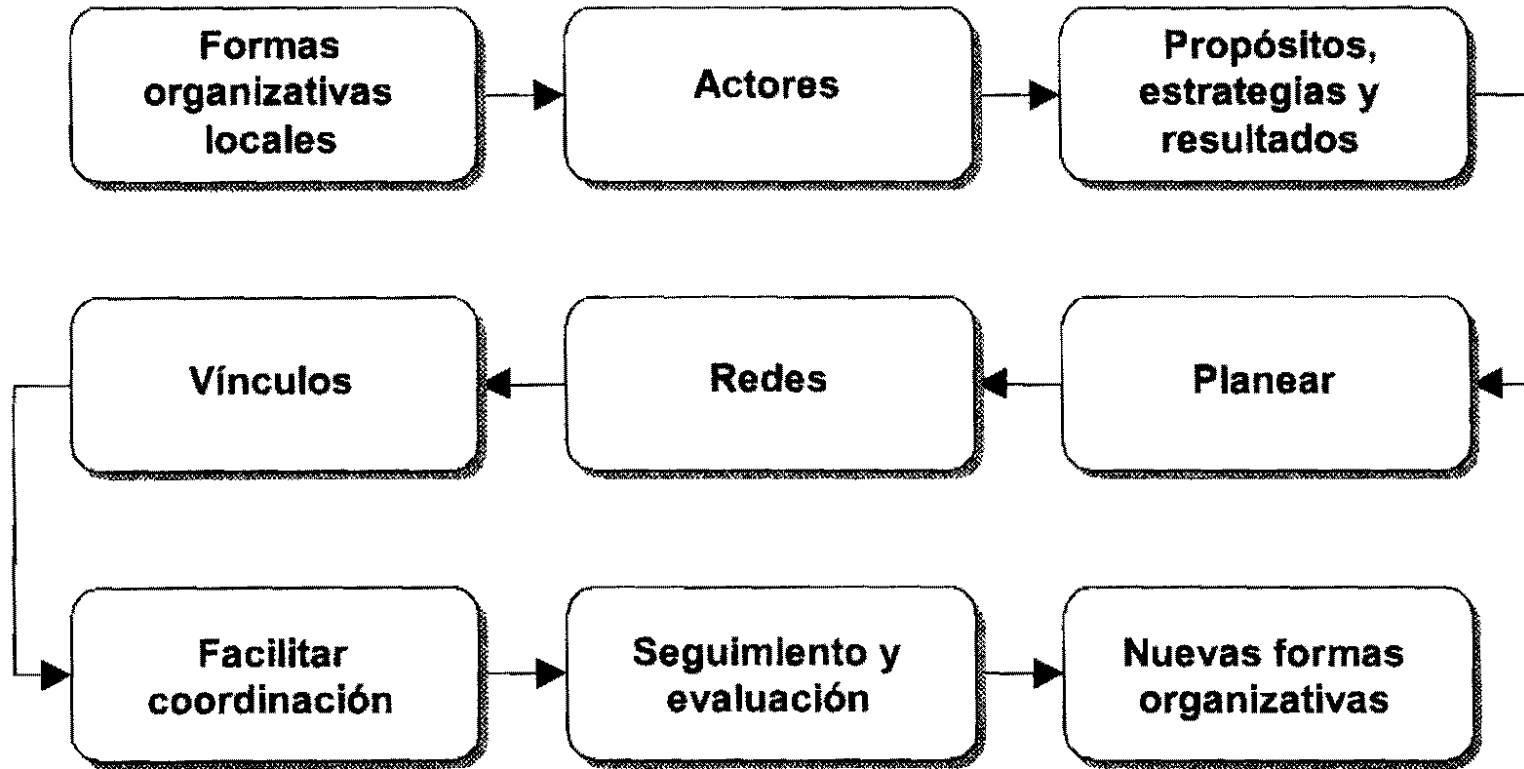
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Originals for Transparencies

SECTION STRUCTURE



SECTION OBJECTIVES

- ✓ To identify the basic components of an organizational process at watershed level.
- ✓ To plan a local and inter-institutional organizational process at watershed level.

ORIENTING QUESTIONS

1. How useful is it for communities and institutions to communicate and collaborate about joint activities?
2. What is your opinion about coercing community members into participating in collective activities?
3. What are the required strengths of an inter-institutional organizational process?

FEEDBACK

QUESTION No.1 (VIDEO)

- To carry out joint activities community and institutions
- Carry out integrated projects
- Joint search for funds
- Strengthen communication linkages
- To make an efficient use of resources

FEEDBACK

QUESTION No.2 (VIDEO)

- Lack of motivation and involvement on the part of some community members
- Lack of sectoral representativeness of local communities
- Natural resource management problems
- Rural population migration

FEEDBACK

QUESTION No.3 (VIDEO)

- Dissemination of consortium activities
- Field visits to interchange experiences
- Training technical assistance by some institutions
- Promoting business projects

FEEDBACK

QUESTION No.4 (VIDEO)

- Appreciate the knowledge local people have about their environment
- Guarantee the presence and participation of all stakeholders
- To contribute to better decision making by applying scientific knowledge to natural resource management

FEEDBACK QUESTION No.5 (VIDEO)

Goal based:

- Participatory planning methodology
- Basic principles for consensus among farmers and other actors in research and natural resource management activities
- Action implementation within a sustainability framework

FEEDBACK EXERCISE 2.2

QUESTION No.1 (ROLEPLAY)

- Clarifying expectations
- Setting up an agenda
- Defining the problem
- Orderly discussion
- Keeping time
- Participation of all actors
- Identifying solutions
- Summing up, commitments and future actions

SUSTAINABILITY LOGICAL CHAIN



