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ENVIRONMENTAL PLANNING AND MANAGEMENT PROJECT (EPM)

Final Evaluation

SUPPLEMENTAL APPENDIX VOLUME

(see Appendix 3)

Summaries of EPM Theme Area Activities

Natural Resources Management Strategies and Assessments

NATURAL RESOURCES MANAGEMENT STRATEGIES AND ASSESSMENTS

Project Summaries

- o AID's Senior Management Retreat on the Environment (FY91)
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- o Phase I - Prefeasability Study of Natural Resource Management in the Fouta Djallon Highlands of Guinea Phase II - Assessment of the Sociocultural, Economic and Natural Resources of the Kundou and Diafore Watersheds in Guinea (Phase I - June - Aug 1988 (1 month in Guinea) Phase II - Jan-Jul 1990 (6 weeks in Guinea))
- o Natural Resource Management Action Program for the Southwest of Burkina Faso (October - December 1990)
- o Preliminary Assessment of Natural Resources Conditions/Trends in Rwanda (September 1987 - July 1988)
- o NEAP Support Activities (February 1988 to present)
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- o A Survey of University Non-Profit and For Profit Organizations that Conduct Environment and Natural Resource Economic Analysis (January and February 1990)
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- o The Environmental Strategy for Latin America and the Caribbean (for AID's LAC Bureau) (Sept. 1990 to present (expected end: March 1991))

Technical Advisory Services Summaries

- o Tourism and Development in Madagascar
- o The Implementation of the Madagascar Environmental Action Plan: Possibilities and Constraints for Local Public Participation

Papers/Conferences/Workshops/Outreach

- o Land Tenure Center Review Workshop in Africa
- o Solidarity Canada Sahel and PACT Workshop in Quebec on Popular Participation in the Management of Natural Resources in the Sahel
- o NRMS PVO/NGO Buffer Zone Management Workshop in Uganda
- o Natural Resource Management Initiatives in Africa: A Presentation to the World Bank Africa Infrastructure Program
- o Public Participation in African Environmental Action Plans
- o Only One Earth Conference on Sustainable Development

- o International Conference on Environment and Development
- o Meetings of the Working Party on Development Assistance and Environment
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Case Studies

- o Responding to a Wide (and Growing) Variety of Needs of the USAID Africa Bureau
- o ENR Strategy and Management Support for AID/Chile
- o Environmental/Natural Resource Strategies for Regions/Bureaus (Natural Resource Assessments) by Dan Tunstall and L. Ann Thrupp

PROJECT SUMMARY

PROGRAM: Environmental Planning and Management -- Core
CONTACT PERSON: Thomas Fox
PROJECT TITLE: AID's Senior Management Retreat on the Environment
SOURCE: EPM/Core funds from S&T/FENR
DURATION/YEAR: FY91 only
LOCATION(S): Washington, D.C.

PURPOSE: To assist AID's Environmental Coordinator to plan and implement a one-day retreat to brief Senior Management on the relationship of environmental concerns to AID's mandate, and to encourage discussion about the priority the environment should have in AID's programming and planning.

DESCRIPTION: This one-day retreat, held at Mt. Vernon College's Post Hall, included virtually all of AID's top leadership, all of whom stayed the whole day. The agenda, keynoted by WRI's President Gus Speth, included a variety of presentations by outside experts from research institutes, NGOs, the World Bank, State, and Capitol Hill, followed by questions and answers, and discussion among AID managers.

PRODUCTS: The entire session was audio-taped, and a written report (prepared by AID) is forthcoming.

MAIN RESULTS: Heightened sensitivity to the importance of the environment to all that AID does. Agreement that the environment should not be a separate priority but one which permeates all of AID's program. The discussion among AID's top managers, in full view, was somewhat unprecedented and highly valued by all.

CURRENT STATUS: Follow-up to this retreat is ongoing, initiated by AID's Environmental Coordinator (assisted by WRI, as requested and appropriate.)

FOLLOW-UP: See above. WRI is in regular contact with AID's Environmental Coordinator.

COMMENT: This was a fine initiative whose success is obviously dependent on continuous follow-up; we will do our part.

PROJECT SUMMARY

PROGRAM: Natural Resources Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: ENR support for AID/Indonesia
SOURCE: EPM Project
DURATION/YEAR: 1985-1987
LOCATION(S): Indonesia

PURPOSE: Assist AID/Indonesia office in Indonesia with the preparation of background papers, scopes of work, and analyses for the preparation of ENR projects.

DESCRIPTION: On four separate occasions from 1985 to 1987, the EPM Project provided the mechanism through which AID/Indonesia was able to secure technical support for the development of its ENR activities. These mechanisms were:

- 1) An assessment of the Coastal Resources management and environmental assessment requirements for aquatic resources development projects;
- 2) An assessment of the organizational capabilities of SKEPHI, an NGO to become a forest resources information center.
- 3) Compilation of background information and an annotated bibliography on environment and natural resources for the development of AID/Indonesia's Country Development Strategy Statement (CDSS);
- 4) Development of the scope of work and methodologies for the undertaking the economic analysis associated with a Natural Resources Management Strategy.

PRODUCTS: Reports and technical papers

MAIN RESULTS: These activities all provided essential ingredients to the design of AID's ENR management programs in Indonesia. In the case of the economic methodologies prepared by IIED/London's Ed Barbier, these contributions included innovative approaches integrating environmental factors into economic development analysis.

CURRENT STATUS: Complete

FOLLOW-UP: No further actions have been taken in Indonesia.

COMMENT: This type of support offers another example of the activities the EPM Project can undertake to introduce environmental considerations into AID's development programming.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter W. Arensberg
PROJECT TITLE: Environmental Profile: Colombia
SOURCE: EPM Project and USAID/Colombia
DURATION/YEAR: 1987-1990
LOCATION(S): Bogota, Colombia

PURPOSE: The Colombia CEP had several objectives. The first was to define and analyze the state of the environment and natural resource base in the country; examine the economic, social and institutional forces driving ENR management; and identify future policy options. The second was to establish an institutional framework and process for preparing the CEP that would involve the variety of governmental, sectoral, and non-governmental organizations that influence the management of the country's environment. The third was to use the Colombia CEP to increase public awareness of environmental issues throughout the country.

DESCRIPTION: The Colombia CEP began in the fall of 1987. The organizational framework for the project involved a Steering Committee made up of a wide variety of public and private institutions: an Executive Committee chaired by INDERENA, the national environmental agency, the ministries of agriculture and health, the Colombian Academy of Sciences (COLCIENCIAS), Fundacion Natura, Fundacion Segunda Expedicion Botanica, USAID/Colombia, and a project team directed by Dra. Diana Pombo. USAID/Colombia provided the funding for the project which was administered by the Fundacion Segunda Expedicion Botanica. WRI's Center (then IIED/North America) helped organize and define the methodology for the study, and arranged for international technical assistance whenever needed. Funds from EPM/IIED also were used to publish the final report: Perfil Ambiental de Colombia, which was released in July 1990.

PRODUCTS: The direct result of this project was the volume Perfil Ambiental de Colombia, the first comprehensive analysis of the forces underlying patterns of environmental change and natural resource use in the country.

MAIN RESULTS: Although the Colombia CEP project produced an excellent report, its impact was relatively limited. Some 2000 copies of the report were published, but according to the director of the project, they were not widely distributed and no systematic strategy was devised to use the CEP as the basis for training or information workshops throughout the country. The director of the profile, Dra. Pombo, was asked to prepare a second regional profile for the Social and Economic Development Corporation of the North Coast of Colombia as a result of her work on the profile.

CURRENT STATUS: The Colombia CEP was published in July 1990. No additional activities are now envisioned unless the USAID/Colombia mission is prepared to fund a series of regional training workshops based on the findings of the project.

FOLLOW-UP: No follow-up is planned at this time.

COMMENT: The Colombia CEP offers two clear lessons to future profiling efforts. The first is that a lead agency that has a strong mandate within the existing government should be selected to guide the project. In the Colombian context, such an agency might have been the National Planning Department rather than INDERENA. Second, a detailed strategy for follow-up should be an integral part of the project, and funding to carry out such a strategy should also be set aside from the very beginning.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: Support for IUCN/National Conservation Strategies
SOURCE: EPM Project Funds
DURATION/YEAR: 1985-1988
LOCATION(S): Sri Lanka; Nepal; Jordan

PURPOSE: One of the primary objectives of the EPM Project was to support the development of National Conservation Strategies. The activities described here were designed to fund critical steps in the NCS process.

DESCRIPTION: On a number of occasions IIED and USAID's ANE/Bureau have provided financial and technical support to the International Union for the Conservation of Nature (IUCN) in order to facilitate the preparation of NCS. For instance, in October 1985, assistance was provided to the NCS group in Sri Lanka for the design of the NCS; and in the spring of 1986, funds were provided to conduct a workshop of the strategy. A brief assessment of the status of the NCS process was done by consultant Don Alford in 1987. Other examples include financial support for the final phase of the NCS for Nepal (1988) and support for IUCN's Vitus Fernando to assist the NCS group in Jordan (1987-88).

PRODUCTS: The direct products of these effort were the professional services rendered to the NCS groups or the activities that the funding permitted. Although NCS Reports have not yet emerged from either Sri Lanka or Jordan, the Nepal NCS was completed in 1987.

MAIN RESULTS: Judging the results of this support is not easy. The development of a NCS is a complex multi-sectoral process that is designed to integrate conservation and environmental management concerns into development planning. In fact, IUCN's ambitions for it may be far greater than results that can be reasonably expected. At a minimum, however, one could conclude that in the case of Nepal, the NCS process heightened public awareness of the issues surrounding sustainable development and may have provided new ideas to the policy makers who participated in the process. As far as Jordan and Sri Lanka are concerned, however, the process may have dragged on so long now that they have been completely overtaken by events.

CURRENT STATUS: Nepal NCS is complete. The NCSs for Sri Lanka and Jordan are in preparation.

FOLLOW-UP: The EPM Project has not followed-up on any of these efforts. Our support was a one-shot deal. Having assisted these efforts, however, the EPM Project did gain insights into the NCS process which later contributed to the comparative study of Country

Environmental Studies that the Center prepared for the OECD's Development Assistance Committee.

COMMENT: One might say that our support for NCSs, being a one-shot deal over which we had little control, and for which we have no long-term follow-up responsibility, is of little value to the project. However, such support can be of great value to the recipient. This is particularly true for NCSs which were unique when IUCN first conceived of them. In circumstances such as those, when a new project has not yet gained official governmental acceptance, a little bit of help often makes the difference between keeping the process going and having to bring it to an irrevocable halt.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: CEP Support: Peru, Bolivia, and the Eastern Caribbean
SOURCE: EPM Project
DURATION/YEAR: Peru (1988), Bolivia (1986), Eastern Caribbean (1986)
LOCATION(S): Peru, Bolivia, Eastern Caribbean countries.

PURPOSE: Provide financial and technical support for the preparation and/or publication of Country Environmental Profiles being undertaken by AID-assisted countries: Peru, Bolivia, Eastern Caribbean.

DESCRIPTION: The EPM Project offers a means by which AID-assisted countries may secure limited financial and/or technical support for projects involving Country Environmental Profiles. In the three cases involved here, IIED did not take full responsibility for the CEP efforts, but, instead, carried out discrete tasks aimed at pushing the CEP process forward.

1) In Peru, USAID had worked with the National Office for the Evaluation of Natural Resources (ONERN) to develop and publish a full CEP in 1986. With financial help from EPM, ONERN reissued the Peru CEP in August 1988.

2) In Bolivia, Dennis McCaffrey of IIED helped the Minister of Planning and Coordination with the definition of the methodology and organization for the Bolivia CEP which was completed in July of 1986 but not published until almost two years later.

3) Through the EPM Project, IIED professional staff worked with the Caribbean Conservation Association (Barbados), the Island Resources Foundation, USAID, and other NGOs and governmental authorities of the island nations of the Eastern Caribbean to define the scope, methodology, and organizational framework for the development of environmental profiles for Barbados, Dominica, Grenada, Monserrat, St. Lucia, and St. Kitts/Nevis.

PRODUCTS: Each one of these assignments had different products: a reprinted version of the Peruvian Profile for ONERN; critical methodological inputs to the Bolivian process which ultimately resulted in a CEP that is the only comprehensive review of environmental conditions and trends in the country, and; the basic scope of work that led USAID's Caribbean office to fund the profiling effort for the Eastern Caribbean countries. A CEP has been completed for St. Lucia; and the others are in the final stages of preparation.

MAIN RESULTS: In all these cases, the main results of the EPM action were to enable or facilitate desirable actions by the host country governments or USAID. ONERN was able to reissue a document which was much in demand by interested NGOs in the country and essential to future environmental planning efforts. The team putting together the Bolivian CEP was able to draw on the expertise of professionals who had experience with other profiles, and, therefore, to design the Bolivian process and product more effectively. Finally, the scoping exercise in the Eastern Caribbean enabled AID to develop a grant to the CCA for the profiling effort which is now underway.

CURRENT STATUS: The Peruvian and Bolivian CEPs are complete. CCA and the Island Resources Foundation have completed most of the CEPs for the seven countries.

FOLLOW-UP: The EPM Project and the Center have not been asked to fund or conduct any follow-up activities connected to either one of these projects. The EAP work that the Center will be supporting in Bolivia has and will benefit from the work completed on the CEP. It is expected that the CCA and the Island Resources Foundation have established a strategy for follow-up activity independent of the EPM Project.

COMMENT: These types of discrete interventions often provide the critical impetus needed to get a project off the ground. It is important that they be framed with long-term considerations in mind, however, so that the projects that they are designed to support not become merely one shot affairs with no enduring commitment to follow-up from AID.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: Paraguay CEP
SOURCE: EPM Project, USAID/Paraguay, Government of Paraguay
DURATION/YEAR: 1984-1985
LOCATION(S): Paraguay

PURPOSE: The objective of the project was to develop as comprehensive analysis of environmental conditions and trends in Paraguay, examine the institutional framework for ENR management, and present recommendations for future action.

DESCRIPTION: The Paraguay CEP was directed by the Secretaria Tecnica de Planificacion of Paraguay with the support of IIED and a multidisciplinary team of national and international experts. Throughout the year-long process of data gathering and analysis, the technical team consulted a wide variety of governmental, agencies, NGOs, and sectoral interests. IIED's Dennis McCaffrey and Diane Wood were involved steadily in helping design and guide the process; but the CEP was one of the first of the AID-sponsored profiles to be done in-country by a team composed predominantly of local experts.

PRODUCTS: Perfil Ambiental del Paraguay (June 1985)

MAIN RESULTS: Aside from the CEP report itself, the main result of this effort was to provide the government of Paraguay and the public at large with the first comprehensive view of the environmental condition of the country. As such, it gave planners and activists vital information with which to analyze the environmental issues confronting the country and helped increase public awareness. The publication of the document was treated as a major news event; and a national seminar was held to recommend priority actions for the government. A new NGO, Fundacion Physis, was created in 1986 by many of the technical people who had worked on this CEP.

CURRENT STATUS: Completed in June 1985

FOLLOW-UP: The only direct follow-up to this project that IIED has done, other than to participate in the national seminar and help distribute the CEP to interested parties in Latin America and the United States, was to provide a small grant to the Fundacion Physis through the EPM/NGO program. Dennis McCaffrey also used the Paraguay CEP as a case study which he presented at the International Conference on Sustainable Development, which IIED sponsored in London in 1987. His case was later published in IIED's book, The Greening of Aid (London, 1988).

COMMENT: The Paraguay CEP was a very successful project which could have been strengthened considerably if AID or other donor money had been set aside from the very beginning to devise a deliberate strategy for using the report after its publication.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: Support for the Central American Commission on Environment and Development (CCAD)
SOURCE: USAID/ROCAP Buy-in to EPM Project
DURATION/YEAR: 1989-Present
LOCATION(S): Central American Region

PURPOSE: The overall goal of this activity is to strengthen the new Central American Commission on Environment and Development. During the year, the Center has sought to help CCAD define a strategic action plan, identify alternative strategies for financing its operations, and implement a regional Tropical Forestry Action Plan.

DESCRIPTION: In FY90, USAID's Regional Office for Central America and Panama (ROCAP) provided funds for the Center to advise the Central American Commission on Environment and Development. A new regional body, created by the presidents of five Central American countries in late 1988, the CCAD needed to define its principal objectives and programs, as well as secure the funds to guide the development of a regional TFAP. Center staff worked with the Executive Director of the CCAD to facilitate a two-day strategic planning session with members of the Commission. The session resulted in a draft Plan of Action which was later presented to and approved by the Commission at its formal meeting in June of 1989 (?). Through the ROCAP buy-in, the Center also funded the development of a work plan and preliminary issues paper for the Central American Regional TFAP through staff member Bruce Cabarle and consultant Jorge Rodriguez. The Center has also funded the preparation by INCAE (Central American Institute for Management) of an analysis of the debt held by Central America countries and CABEI, the Central American Bank for Economic Integration. This study is designed to define a strategy for using debt to finance environmental activities through the U.S. Enterprise for the Americas Initiative. Support was also provided for the development of graphics for the CCAD promotional calendars.

PRODUCTS: The specific products of this activity include: a draft Action Plan approved by the Commission; a Preliminary TFAP Report; the Debt Strategy Report; and staff technical assistance provided to the TFAP and the development of the Action Plan.

MAIN RESULTS: Through its buy-in to the EPM Project, ROCAP was able to provide support to the CCAD at a critical period in its development. With very little money and no professional staff other than its Executive Director, the CCAD needed to demonstrate that it could move forward and play a role in the region. The development of the strategic plan helped the CCAD set its goals; and its more recent work defining a financial strategy has put it

in a pivotal position with regard to the region's approach to the Enterprise for the Americas Initiative. In addition, CCAD's sponsorship of the regional TFAP has given it a concrete role to play in negotiation in this important area of natural resource management.

CURRENT STATUS: The ROCAP buy-in to the EPM Project has been exhausted. The CCAD could use additional support from WRI's Center in two main areas: (a) strategizing for the presentation of the Debt Strategy to the U.S. government, and (b) developing a Central American position for the up-coming UNCED meeting in Brazil in 1992.

FOLLOW-UP: The Center needs to develop a new buy-in with ROCAP.

COMMENT: The Center's relationship with the CCAD has been especially fruitful in helping that new organization orient its activities. Facilitating the strategic planning process was a role that the Center could play well, and the process itself was useful to the Commission. In the future, however, a more conscious effort should be made between the Center, CCAD, and ROCAP to define a discrete series of activities that the Center and CCAD can carry out that will further strengthen the organization.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter W. Arensberg
PROJECT TITLE: Urbanization and the Environment in Developing Countries
SOURCE: EPM Project Buy-in from A/PRE
DURATION/YEAR: November 1989
LOCATION(S): Washington D.C.

PURPOSE: This project was designed to help AID's Office of Housing and Urban Programs organize and conduct a conference which examined the linkages between urbanization and environmental decay and identified more effective methods for urban environmental management.

DESCRIPTION: In September 1989, USAID's Office of Housing and Urban Programs sought the Center's help in organizing a conference on urbanization and the environment. The Center worked with the Office to secure experts to prepare two papers on critical urban environmental issues, and organize and conduct the conference. The papers were Urbanization and Environmental Quality by Blair Bower, Eric Hyman, and Rodney White; and Urban Environmental Management in Developing Countries by Royce LaNier, Stephen Reeve, and April Young. A third paper, prepared under different auspices and entitled Viewing Environmental Protection as Investment in Urban Infrastructure by David Foster also was presented at the meeting. The proceedings of the meeting and the papers were published by the Office of Housing and Urban Programs in July 1990.

PRODUCTS: 1) Conference on Urbanization and the Environment in Developing Countries; 2) the three papers cited above; 3) the final publication entitled Urbanization and the Environment in Developing Countries (July 1990).

MAIN RESULTS: Other than the concrete products cited above, this project had two main results. The first was that it enabled the Office of Housing and Urban Programs to familiarize itself with the main issues of concern to the environmental community and to link them to its own concern with managing urban development. The second was that it helped the office enter into a substantive dialogue with other AID regional bureaus and technical offices that have environmental programs and responsibilities. To some extent, environment has been the province of rural development offices in AID, and this conference helped the Agency place it on the urban agenda as well. An ancillary result that it was that the project was the first urban activity undertaken by the Center and the EPM Project.

CURRENT STATUS: Although this particular project is complete, the

Center/EPM Project has continued its relationship with the Office of Housing and Urban Programs, and is now developing a collaborative project on the definition of indicators of urban environmental quality that the Office can use to track trends in the cities in which they have programs.

FOLLOW-UP: Continuing collaboration.

COMMENT: This project is a good example of the role that the EPM Project can play as a catalyst for introducing environmental considerations into existing programs and a link between different constituencies within AID. The Center also introduced representatives of the Office of Housing to the environmental community in Washington.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: Bolivia Land Use and Environmental Studies
SOURCE: EPM Project
DURATION/YEAR: 1985-1986
LOCATION(S): Bolivia

PURPOSE: Provide technical support in the introduction of land use capability methodologies to Bolivian institutions and review proposals for new environmental legislation.

DESCRIPTION: The EPM Project facilitated a number of activities in Bolivia throughout 1985 and 1986. Aside from helping define the scope of the Bolivia EAP (which is described in a separate sheet), the project implemented three activities dealing with the application of land-use capability methodologies:

- 1) Development of a strategy and rapid assessment methodology for the treatment of fragile lands;
- 2) Preparation of a review of a land use capability strategy for the Eastern Slopes of the Bolivian Andes;
- 3) Development of options for managing the tropical forest in Bolivian colonization projects.

These three studies were prepared by Joseph Tosi of the Tropical Science Center in Costa Rica. A fourth project was to review Bolivian environmental legislation. Ivon Pires conducted this review which fed into the Bolivian government's efforts to establish a new legislative framework for national environmental policy and programs.

PRODUCTS: Brief Technical Reports were produced in all of the cases cited above.

MAIN RESULTS: Although it may be difficult to draw direct causal connections between this work and later development in Bolivia, Joseph Tosi's land capability studies influence the creation of a new NGO in Bolivia called CUMAT, which under the direction of Juan Carlos Quiroga has gone on to establish itself as a leading practitioner in the land use planning and environmental impact assessment field. Ivon Pires review contributed to a very lengthy process of policy making which has now culminated in the enactment of new environmental legislation in Bolivia and the creation of a national environmental fund and coordinating commission.

CURRENT STATUS: Completed

FOLLOW-UP: There is no follow-up required here.

COMMENT: These activities represent part of a the Center's long involvement in Bolivia, but they have been isolated events that have neither been explicitly tied to a current approach or program for the country nor contributed to an accumulation of knowledge which the Center is now applying elsewhere. The Center's impending work on the Bolivia EAP should seek to draw upon this experience more effectively.

PROJECT SUMMARY

PROGRAM: Natural Resources Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: Support for USAID/Thailand
SOURCE: EPM Project
DURATION/YEAR: 1986-1987
LOCATION(S): Thailand

PURPOSE: Assist USAID/Thailand with design and implementation of ENR management projects and transfer of ENR analysis techniques.

DESCRIPTION: Through the EPM Project, the Center assisted USAID/Thailand with a number of tasks. An editor, John Elkington was provided to help write and edit/the Environmental Profile of Thailand (1986); Dr. Gary Hartshorn reviewed the AID paper on natural resources management and the proposal submitted by Kasetsart University for a programs to protect monsoon forest; funding was provided for the participants in a training workshop on the economic valuation of environmental impacts in watershed areas; and the project facilitated Dr. Gordon Conways participation in the development of the AID mission's MANRES Project. More recently, the Center proposed a buy-in to the AID mission which is now on hold due to the political situation in Thailand.

PRODUCTS: These activities produced either funds that could be used to cover the direct costs of activities, such as travel or per diem for the participants in the training workshop or technical expertise that offered guidance and advice to AID Thailand.

MAIN RESULTS: The immediate result of these support activities was to make it possible for AID to do something quickly that needed to get done. The longer term results are those that can be attributed to the influence of the event that took place of the advice that was given. The publication of the Environmental Profile of Thailand was a great success and the report has become a source of data and policy ideas to the RTG and NGOs in the country, as well as an influential model for other profiling activities. Dr. Conway's advice on the design of the MANRES Project shaped its rural development component and helped get the entire project off the ground.

CURRENT STATUS: Complete. Buy-in on hold.

FOLLOW-UP: No follow-up.

COMMENT: Although providing this kind of support may place an administrative burden on the Center, it can have a very positive effect in the countries where the help is provided. As long as the types of assistance facilitated falls within the definition of the kinds of things the Cooperative Agreement is designed to foster, it can not only provide tangible results, but also increase the influence of the Center and AID in important environmental areas.

PROJECT SUMMARY

PROGRAM: Natural Resources Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: USAID/Chile Environmental Strategy and Program
SOURCE: USAID/Chile Buy-in to EPM Project
DURATION/YEAR: 1989-present
LOCATION: Chile

PURPOSE: The aim of the Center's work in Chile has been to define a strategy for AID's environmental program and to help the AID office implement that program. The overall goal of the strategy is to strengthen the capacity of Chilean institutions to carry out environmental and natural resources planning and management. Its three basic objectives are: (1) to improve environmental policy, legislation, planning, and coordination within the GOC, (2) foster basic research and the effective use of information for environmental management, and (3) increase environmental education and public awareness.

DESCRIPTION: Since 1989, AID/Chile and the Center have worked closely together on the design and implementation of AID's environmental program in Chile. Chile is classified as an Advanced Developing Country by AID, and, as such, its programs are designed to stimulate action on the part of the GOC, NGOs, or the Chilean private sector, rather than to fund and staff major long-term US/Chilean programs. The first task that the Center undertook on behalf of the AID office was to develop an environmental strategy for its program. The Center organized a team including AID and Chilean experts which produced a strategy paper in November of 1989. Aside from interviews with Chilean GOC and NGO representatives and the analysis of existing technical reports, the strategy was also based on the proceedings of the Third Conference on Science Technology and the Environment held in Concepcion, Chile in August of 1989, which AID helped fund through the EPM program. Following the approval of the strategy, AID and the Center identified a series of Chilean initiatives that would advance the aims of the strategy and proceeded to implement grant agreements with the organizations carrying them out. At this time, the following activities have been funded under the strategy:

- 1) Preparation of a funding proposal to the World Bank by the Environmental Committee of the newly elected democratic government. Once the new government was inaugurated, this proposal was used in the GOC's negotiation for funding from the Bank;
- 2) Publication of the Atlas of Environmental Problems of Chile, compiled by the Catholic University;
- 3) The Third Conference on Science Technology and the Environment organized by CIPMA;

4) The design of CIPMA's clearinghouse and network of environmental information;

5) The First International Conference on Environment and Development in Chile co-sponsored by CIEPLAN, a prominent economic research institute, and the University of Concepcion. The Center secured the participation of Dr. Robert Repetto of WRI, Douglas Southgate of the University of Ohio, and Jean Pierre Reveret of the University of Quebec at Montreal in the conference and also funded the preparation of papers on forest resource and fisheries management that applied the methodologies of resource economics and national income accounting for natural resources. Additional support will be provided for the publication of the proceedings of the conference.

6) Design of indicators for monitoring natural resource and environmental trends. This study is being carried out by Catholic University of Chile and is to feed into the program for a national monitoring system that will be funded through the World Bank.

7) Conference on Environment Management and Public Participation sponsored by the Special Commission on the Decontamination of Santiago.

8) Support for CONAMA's (national environmental commission) series of seven regional workshops on environmental issues and management. These workshops are based on the findings of the Atlas of Environmental Problems of Chile, and are designed to enable CONAMA to develop effective regional-level planning processes with the various government agencies that fall within its mandate for coordinating the development and implementation of environmental policy and programs.

An FY91 buy-in from AID/Chile to the EPM Project is under consideration which will capitalize on these activities. It will involve supporting CONAMA in the preparation of the first of what are expected to be regular State of the Environment Reports, helping organize regional workshops on EIA methodologies and continuing support for CIEPLAN and CIPMA. Other activities may also be included when the buy-in is made final.

PRODUCTS: Reports and workshops (see listing above)

MAIN RESULTS: One overall result of the special relationship which has been established between the AID/Chile office and the Center has been the development of a coherent environmental strategy which has effectively guided the ENR program. The specific actions taken under the strategy have built on one another in ways that increase the potential of the overall program. For instance, the funding proposal which CONAMA (then the transition team's environmental committee) prepared for the World Bank called for assistance in environmental monitoring, EIA, and ENR training. The publication

of the Atlas, the workshops on ENR management built around it, the indicator project, and the proposed work on the state of the environment report and EIA methodologies have or will lay the ground work for fruitfully deepening CONAMA's skills in these areas when the World Bank funding is approved.

A second result is that the relationship has provided and, at least partially, tested a mechanism for an AID/ABC office to implement its programs. While AID/Chile still maintains overall control over the direction and character of the program, it has secured its design and management to WRI, an independent NGO with wide experience and contacts within the environmental community that it can bring to bear on the relationship it has established in Chile. AID has been able to expand its own reach in this way and also leverage the resources of an outside NGO.

The third result is that it has provided timely support for a series of projects that have helped CONAMA maintain its voice and presence in the field; enabled CIPMA to design a computerized database and information network that will be linked to regional universities throughout Chile; and introduced the methodologies and issues of resource economics into economic policy discussion at CIEPLAN. CIEPLAN is a prestigious institute whose former leaders are now in ministerial positions within the new democratic government.

CURRENT STATUS: On-going

FOLLOW-UP: A third buy-in is contemplated by the AID/Chile office which will continue to support CONAMA's efforts to create the basis for new policy initiatives and effective inter-ministerial coordination.

COMMENT: The program in Chile is an excellent example of the very productive relationships that a Cooperative Agreement can foster. It also illustrates the benefits to be derived from fashioning a program around a strategy that is rooted in the real abilities and objectives of the institutions or groups that will later carry it out.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Walter Arensberg
PROJECT TITLE: Review of Country Environmental Studies
SOURCE: EPM Project
DURATION/YEAR: 1987-1990
LOCATION(S): Washington D.C. and Paris

PURPOSE: Prepare a comparative review of Country Environmental Studies to assess the state of the art for this type of study and determine the impact that these studies may have had on environment and natural resource management in developing countries.

DESCRIPTION: In mid-1987, the Center began a comparative assessment of Country Environmental Studies (CES). CES are national, multi-sectoral studies of environmental conditions and trends in developing countries which seek to improve ENR management at the national or regional level. CES include Environmental Profiles of the type sponsored by AID, the National Conservation Strategies (NCS) promoted by IUCN, and the National Environmental Action Plans (NEAP) sponsored by the World Bank. The study was carried out in collaboration with Dr. Francisco Szekeley of the Kennedy School at Harvard University.

The CES Review analyses six cases from different regions of the developing world: 1) Central American Regional Profile ;2) the Environmental Profile of the Dominican Republic; 3) the Ruhengeri Environmental Profile in Rwanda; 4) the NCS for Zambia; 5) for Nepal; 6) Thailand Natural Resources Profile. The review examined the objectives of the studies, the methodologies that had been applied in each case, the organization and processes used, and the effects of the studies on ENR management. Recommendations and guidelines for the future were drawn from the analysis.

PRODUCTS: 1) Country Environmental Studies- A Framework for Action (October 1990) Theme Paper presented at the Conference on Environmental Management in Developing Countries at the OECD Development Centre, Paris, Oct. 3-5, 1990.

2) Good Practices for Country Environmental Studies (Note by the World Resources Institute) Working Party on Development assistance and the environment, Development Assistance Committee of the OECD (DAC/ENV/89/3) (November, 1989)

MAIN RESULTS: The CES Study was the first comprehensive review of the state of the art of this increasingly popular instrument for improving the management of natural resources in developing countries. Despite its limitations, it offered a series of issues for discussion which AID introduced to the Working Party on Development Assistance and the Environment of the DAC and which eventually became the basis for a paper for the DAC suggesting guidelines for structuring and conducting CES in the future. This

paper may have effected the thinking of a number of the donors who are members of the DAC. The CES review and the DAC guidelines also underscored the Centers' leadership in the area of CES and contributed to the subsequent work that we have been asked to do with NEAPs in Africa and the EAP for Bolivia.

CURRENT STATUS: Complete

FOLLOW-UP: Continue to participate in discussions of the State of the Art of CES, such as the work of the World Banks so-called Dublin Group.

COMMENT: The CES review is an excellent example of how the EPM Project can influence the State of the Art of ENR management. The study itself left much to be desired, however. For lack of core funds, it did not involve field work, and it could not be extended to other types of CES. A broader study would have been much better, but even with these limitations in mind, the papers which emerged from the review served a valuable catalytic purpose which has increased our knowledge of the CES process.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Kirk Talbott
Project Title: Miscellaneous technical assistance missions for USAID Africa Bureau and Missions
Source: EPM Core and Africa Bureau buy-ins (over \$100,000)
Duration/Years: 1986 - 1988
Location: Washington, D.C and various locations in Africa

Purpose: To provide short-term, discrete technical assistance on a number of projects relating to the Natural Resource Management Support (NRMS) plan of the USAID Africa Bureau.

Description: Among the several activities being lumped together under a common technical assistance package to the Africa Bureau are the following: 1) Contributions to the ongoing Ruhengeri Prefecture Resources Assessment Management (RRAM) plan in Rwanda. This work entailed assistance in developing a prefecture-level natural resource management plan that was being carried out by the Mission in Rwanda. 2) A design plan for the development and management of the Gambia River Basin. This work was carried out in Senegal and the Gambia as part of a regional effort to improve natural resource planning. The Center contracted the services of geographer and senior consultant Peter Freeman, to carry out this activity. 3) Assistance to USAID Cameroon with the management plan for Korup National Park. In this case, the Center contracted Bill Weber, a technical expert with many years experience in Central Africa, to help the Mission develop a management plan for the Korup Park. 4) Dissemination of a report on the LANDSAT Thematic Mapper of the Ivory Coast for Forest Fire Destruction Analysis. This work carried out in the Ivory Coast was furthered by the EPM contribution allowing for much wider distribution of this report. 5) A review of rangeland and wildlife management issues of environmental concern in Botswana. This activity entailed providing NGO experts from the United States with support for reviewing rangeland and wildlife issues in Botswana.

Products: Field work, reports, dissemination, and delivered technical assistance.

Main Results: Contributions to the NRMS work of AID Missions in Africa.

Current Status: These requests remain an important component of WRI's EPM contribution to the Africa Bureau.

Comment: The EPM mechanism has been often utilized in this context as it provides a convenient and timely mechanism for providing quick-term, small-scale, technical assistance as needed in the field.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Kirk Talbott
Project Title: Global Climate Change Initiative
Source: Africa Bureau Buy-in to EPM (approx. \$50,000)
Duration/Year: April - May 1990
Location: Washington, D.C., and Zaire

Purpose: To assist USAID/Zaire in formulating their program related to AID's Global Climate Change Initiative.

Description: A four-person assessment team composed of experts from EPA, AID/FSP, AID/Africa and WRI travelled to Zaire for two weeks in May. The team was to provide 1) AID with guidance on the Global Climate Change Initiative; 2) information on other donor activities in global climate change areas; 3) information on relevant policy issues and programs underway in Zaire; and 4) recommendations for further analysis for establishing a global climate change initiative within the USAID program strategy.

Products: The team prepared a draft report, "USAID/Zaire Global Climate Change Initiative", which reviewed the global climate change issues in Zaire, described current programs and development assistance for environment, forestry and energy, outlined opportunities for short, medium and long-term responses for USAID/Zaire, analyzed the contributions of debt for nature exchanges in Zaire, and presented a set of conclusions and recommended follow-up actions.

Main Results: Zaire plays a critical role in USAID's Climate Change Initiative by virtue of the fact that it includes the largest area of forest land in Sub-Saharan Africa, and accounts for one-third of the carbon inventory of the region. Because of its size and extent, Zaire also presents significant opportunities for carbon sequestration through tree-planting activities. The team recommended putting a greater emphasis on the following activities: control of savanna burning; support of sustainable production and efficient use of woodfuels; forest conservation and management of forest lands; institutional capacity building in support of reforestation and afforestation; efficient use of renewable energy sources; and improved institutional capacity to monitor and assess natural resource conditions and trends.

Current Status: The assessment report has been delivered to USAID/Zaire and has been accepted.

Follow Up: Being explored with the Africa Bureau and AID/Zaire.

Comment: The Center's involvement in the Global Climate Change Initiative fits well into WRI's overall program activities. Unfortunately, since the WRI study was conducted, bureaucratic problems between AID/W and Zaire have caused Zaire to no longer be the focal country of this initiative, complicating follow-up.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Kirk Talbott
Project Title: Phase I - Prefeasibility Study of Natural Resource Management in the Fouta Djallon Highlands of Guinea Phase II - Assessment of the Sociocultural, Economic and Natural Resources of the Kundou and Diafore Watersheds in Guinea
Source: Phase I - Portion of EPM Africa Bureau Buy-in (approx. \$50,000); Phase II - Guinea Mission Buy-in to EPM (\$100,000)
Duration/Year: Phase I - June - Aug 1988 (1 month in Guinea)
Phase II - Jan-Jul 1990 (6 weeks in Guinea)
Location: Guinea, Washington, D.C.

Purpose: To assist the USAID Mission in Conakry, Guinea in assessing the need for and feasibility of USAID contributing to a large, multi-donor watershed management project in the Fouta Djallon region of north central Guinea. Based on the positive results of the prefeasibility study, USAID requested the WRI Center to provide technical assistance to the Mission in the design stages of a natural resource management project in the Diafore and Kundou Watersheds of the Fouta Djallon region.

Description: For the prefeasibility study, the WRI Center contracted a forester and a sociologist to spend a month in the Fouta Djallon region assessing the potential for USAID intervention in watershed management. The team reviewed available information in Washington and Guinea and met with local experts, government officials, and people, including herders and farmers, living and working in the Fouta Djallon. The team concluded that a USAID financed natural resource management project was both feasible and desirable. The WRI Center later assembled a three-person team consisting of an economist, an agroforester, and the sociologist from the previous mission to conduct a rapid appraisal of the social, ecological, and economic conditions in the Diafore and Kundodou watersheds and present possible natural resource management strategies for those watersheds.

Products: Based on their fieldwork and research, the WRI Center team completed a prefeasibility assessment report and met with the USAID Mission staff in Conakry to review their conclusions and recommendations. A brown bag was also held at WRI for 30 or 40 natural resource management practitioners in Washington, including several staff of USAID's Africa Bureau, to present the findings from the prefeasibility assessment. Each of the three members of the second assessment team produced an analysis of the conditions and trends relating to their particular fields. A synthesis document was then drafted to bring together these analyses into one technical paper to be used by the Mission in designing the project. A synthesis report was translated into French and distributed among Guinean officials and NEAP team members.

Main Results: The team found USAID participation in the proposed natural resource management project in the Fouta Djallon feasible and desirable. Well-targeted USAID interventions could increase ecologically sustainable production within a participatory framework. It would do so in line with USAID Guinea's larger economic and policy reform objectives to better manage the resource base upon which sustainable agricultural development depends. The project also meets agency objectives of promoting natural resource management and biological diversity.

Under the second stage of the project, recommendations were made concerning proposed collaborative research, participatory mechanisms for working at the village-level, training possibilities, and providing means of evaluating project impact. Particular emphasis was placed on proposed Peace Corps activities to complement the natural resource project in developing stronger approaches to building grassroots participation in watershed management.

Current Status: The WRI prefeasibility study led to the implementation of a more detailed resource assessment of the Diafore and Kundou watersheds within Guinea and has provided guidance for the Mission's future activities. AID has chosen to contribute to this multi-donor watershed management initiative throughout the Fouta Djallon region. The USAID Mission in Conakry as well as the representatives from REDSO West Africa worked with the team and have begun to design AID programming in the watersheds.

Follow Up: Follow up activities between WRI's Center and the USAID Mission in Guinea are being actively explored, especially relating to the nascent NEAP.

Comment: The work of the assessment team built nicely upon the Center's Prefeasibility Assessment conducted a year earlier. Some confusion and frustration arose when REDSO became involved and essentially took over the team. Unforeseen circumstances which limited the availability of REDSO leadership, at times led to poor management in the field, making the team less effective than it might have been. In particular, the Center team questioned how the final product reflected their analyses and recommendations.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Kirk Talbott
Project Title: Natural Resource Management Action Program for the Southwest of Burkina Faso
Source: A portion of EPM Africa Bureau Buy-in FY 90-91 - \$50,000
Duration/Year: October - December 1990
Location: Washington, DC and Burkina Faso

Purpose: The WRI Center was requested to join USAID Mission staff in Burkina as well as the larger team from EDI/DAI to review the findings of the previous NRMS assessment for Burkina and work with a team to develop a NRM action program for the Mission with a focus on Southwest Burkina Faso.

Description: WRI Center staff and consultants helped develop a NRM action program in Burkina by providing both forestry and institutional specialists. The Center's contribution included a significant amount of field work in the Southwest of Burkina and two weeks of working closely with Mission staff, government officials, NGOs, and others in Ouagadougou to provide support for a review of the linkages between the proposed NRM action program and other initiatives, particularly the EAP and TFAP exercises.

Products: The WRI Center's contributions to this long-term effort included several sectoral analyses relating to forest management, institutional development, and linkages with other related activities. These analyses have stand-alone value as documents for policy-makers and project managers interested in institutional reform and community forest management.

Main Results: The Center provided analysis of specific linkages that this action program could have with the National Desertification Control Plan, the Agrarian Reform Program, and the PNJTV village land management project, already operative in Burkina Faso. A particularly valuable outcome was the identification of strategies for improving conservation and management of Burkina's forest resources in rural and agricultural development activities.

Current Status: The team has completed its work and the documents have been drafted and disseminated.

Follow Up: This work builds on earlier work of the Center in Burkina Faso and is expected to lead to further collaboration between the Bureau, the Mission and the WRI Center in natural resources management, particularly that related to community forestry in the Sahel.

Comment: The close involvement of key experts from the Africa Bureau, who have provided technical and managerial guidance throughout this activity, has been particularly valuable.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Kirk Talbott
Project Title: Preliminary Assessment of Natural Resources Conditions/Trends in Rwanda
Source: A portion of FY 89 EPM Africa Bureau Buy-in (approx. \$50,000)
Duration/Year: September 1987 - July 1988
Location: Rwanda

Purpose: The WRI Center was requested to assist in the preparation of technical analyses to guide the development of a project paper for natural resource management activities for Rwanda.

Description: The Center led a team effort to assist USAID Rwanda with the early stages of their programming in the natural resources area. The team conducted extensive field research in Rwanda to identify the information requirements to be addressed in the Mission's preparation of a PID and PP for a proposed Mission natural resource management project. Numerous meetings were held with project staff involving various NGO and donor-initiated activities. A roundtable seminar was organized to bring together a number of experts active in the field. Finally, a debriefing was held with USAID's Director and several of the USAID Mission staff interested in preparing natural resource management activities in the future. These activities led to a series of technical annexes which were presented to the Mission in late summer of 1988.

Products: Five reports were submitted to the USAID Mission under this activity. These reports included: 1) "Report of the Preliminary Project Identification Mission," 2) "Technical Analysis for Biodiversity," 3) "Natural Resource Management in Rwanda Uplands, Guidelines for AID Intervention," 4) "Technical Annex for Wetland Management and Agriculture Development," and 5) "Institutional Analysis of the Natural Resource Sector in Rwanda."

Main Results: These analyses provided the Mission with an overview of critical issues in natural resource management planning with a emphasis on NGO and donor government capacities in the field.

Current Status: This project was completed in 1988 and follow up to these activities led to future AID programming and were built upon as the NEAP took root in Rwanda in 1989.

Follow Up: The Center has been actively engaged in a variety of activities in Rwanda, as part of the Africa Bureau and Mission's contribution to the Rwanda NEAP.

Comment: This activity has provided a good example of how EPM country activities build upon each other, strengthening the process of planning and coordinating assessments and project activities.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments

Contact Person: Kirk Talbott

Project Title: NEAP Support Activities

Source: Portions of Africa Bureau FY 89-91 Buy-in
(approx. \$100,000)

Duration/Year: February 1988 to present

Location: Rwanda, Madagascar, Guinea, Mauritius, Uganda, Ghana

Purpose: To provide the USAID Africa Bureau with the means to actively support National Environmental Action Plans in a variety of African countries.

Description: WRI's Center has worked closely with the World Bank's AFTEN Division and USAID's Africa Bureau in strengthening National Environmental Action Plan (NEAP) initiatives in seven African countries. This work has focused on technical assistance for planning and development of NEAPs and has provided NEAP planners with tools to strengthen broad public participation in the process of building viable, long-term, national action plans.

Products: The Center has provided specific technical assistance (in financial analysis, institution building, forest management, etc.) for a number of NEAPs. WRI and USAID have taken a lead among those organizations involved in supporting NEAPs in analyzing and reporting on strategies for increasing public participation in the NEAPs and making these action plans more "grassroots," - i.e. with full involvement of resource users throughout rural areas.

Main Results: A number of technical assistance missions and reports have been completed in support of the various stages of NEAP preparation. In the case of Rwanda, WRI's Center played a central role in helping design and plan out the full NEAP effort. At an international workshop in Dublin, in December 1990, the Center presented a document synthesizing the constraints and opportunities for broad public participation in five case study NEAPs. The Center has played a key liaison role between the Africa Bureau and AFTEN in coordinating their NEAP activities in Africa.

Current Status: The Center is working on an almost daily basis with the World Bank and the Africa Bureau on strengthening NEAPs. The number of countries embarking on NEAPs has increased from the original seven to more than 18. The Center continues to play a lead role in encouraging broader public participation in these action plans and in providing support for improved institution building and governmental effectiveness in promoting long-term environmental planning and management.

Follow Up: The Center would like to expand its involvement in the NEAP process, and is considering conducting policy analysis of the action plans. We are also planning continued field work to gauge

successes to date in NEAP countries. The Center will be working with local partners, particularly NGOs and university communities in selected NEAP countries to analyze lessons learned for involving resource users actively in the implementation phases in the NEAPs.

Comment: NEAPs have shown some promise in meeting their goals of becoming a participatory process for implementation of a well-planned, viable, long-term national strategy to deal with environmental problems. Yet their number has grown from 7 to more than 18 and could soon suffer from the "TFAP syndrome" - ie. too many, too fast. WRI and USAID are helping monitor NEAPs and must continue to show discretion and some skepticism about the eventual success of NEAPs in being a part of these exercises. While no panacea to the environmental crisis besetting sub-Saharan Africa, NEAPs can help steer national-level environmental planning in a positive direction.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Persons: Tom Fox/Kirk Talbott
Project Title: Reviewing National and Local Government Policies in Natural Resources Management
Source: A portion of EPM Africa Bureau buy-in (\$40,000)
Duration/Year: December 1990 through present
Location: Washington, DC

Purpose: To provide USAID with an expert group capable of advising on program development and analyzing specific initiatives aimed at improving government policies for effective natural resources management in Africa. /

Description: This activity is reviewing USAID and other donor experiences in promoting host government policy reform in the area of natural resources management. A key element of this activity will be the establishment of an expert's group to advise and inform the study. The expert's group would define future research activities that would strengthen USAID's and other's efforts to improve natural resource management in Africa. This work would relate directly to ongoing WRI policy research efforts and field-based work of the Center such as its From the Ground Up Program. The experts group will be recruited from a group of individuals with direct interest and experience in this subject. It will include people from USAID, the NGO sector, private foundations, donor institutions and Africans having direct experience in policy formulation.

Products: Once the collection of data and analysis is completed, the WRI Center will prepare a paper summarizing the coming themes and findings of the review. The paper will also include recommendations for future related AID and other donor activities.

Current Status: The project is just now in the formative planning stages. Follow up possibilities will be assessed following the completion of the report and the meetings with the experts group.

Comment: This initiative should contribute to improved understanding of policy-making. We need to be concerned about how it integrates with other similar initiatives, and how the information generated by the activity will be used.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Kirk Talbott
Project Title: Micro (Farm-Level) NRM Framework and Indicator Review for Africa Bureau
Source: A portion of EPM Africa Bureau buy-in to EPM (approx. \$50,000)
Duration/Year: December 1990 - present
Location: Washington, DC, field tests beginning in Niger

Purpose: USAID Africa Bureau has requested the WRI Center to provide an analytical view of ANR's present natural resources management (NRM) program framework as a monitoring and design tool with suggested recommendations for its use.

Description: The WRI Center has worked very closely with the staff of the USAID Africa Bureau and consultant Fred Weber in reviewing the AID NRM framework and providing a number of analyses related to its use and improvement. At present, the Center is developing a SOW for field-testing the NRM framework with the active participation of the Africa Bureau and several USAID Missions in Africa. This testing and refining of the framework is meant to lead to approval of certain changes of the NRM framework and a better monitoring evaluation system for the Africa Bureau.

Products: To date this effort has produced four deliverables: 1) NRM Framework Review, 2) a document pertaining to request for approval for organizational NRM framework, 3) a draft scope of work for framework testing and fine tuning, and 4) a "Whole Earth Indicator Catalogue" for use with the NRM framework. All of these documents are in draft form but have been positively reviewed by the Africa Bureau.

Main Results: The critical feature of the revised NRM framework is that the reactions of local farmers and herders to technological and policy related changes are considered an integral part of the process that the framework is applied to. The way that people respond or react to initiatives is made part of the cause-effect chain that connects the different levels of the NRM framework. This is a critical issue for the improved evaluation of projects in the field that is based on peoples' active involvement in implementing changes at the local level.

Current Status: Significant attention has been given by the Bureau to these analyses. The NRM Review and the indicator catalogue for field testing the framework are being actively utilized by the Bureau in its efforts to develop an approach for taking this work to the Missions and the field.

Follow Up: The WRI Center is preparing to send a small team to Niger to field test the NRM framework. Future activities related to

this NRM review work are being developed by the Bureau in close collaboration with the WRI Center.

Comment: This work is very significant and will help provide an improved evaluation and monitoring tool for AID project purposes.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Persons: Kirk Talbott, Nels Johnson
Project Title: Bangladesh: Environment and Natural Resource Assessment
Source: Dhaka Mission Buy-in to EPM (approx. \$150,000)
Duration/Year: April 1989 - October 1989
Location: Washington, D.C., Bangladesh

Purpose: To provide USAID/Dhaka with a preliminary analysis of environmental and natural resource issues in Bangladesh and their relation to the country's economic growth and development, and provide AID and other donors with conclusions and recommendations for addressing the environmental problems facing Bangladesh.

Description: A 15-person assessment team travelled to Bangladesh to conduct field work related to a number of environmental issues. The multi-disciplinary team worked closely with USAID technical experts in each of the sectors dealt with in the assessment.

Products: The WRI interdisciplinary team prepared eleven background papers which examined sectors relating to the environment - including sustainable agriculture, institutions, forest and water management, urbanization, economic issues, etc. The Center's team then wrote a synthesis document, "The Environment and Natural Resource Assessment", pulling together the analyses of trends and conclusions of each of the background papers. This document was distributed widely in Bangladesh and the U.S.

Main Results: The document recommends actions to minimize the degradation of Bangladesh's natural resources, fill in basic gaps in understanding of the issues, reassess the environmental impacts and sustainability of currently proposed development programs, and adopt appropriate policy reforms. Increased support for the sustainable livelihoods of the poor and landless, and the diversification of agriculture production strategies is essential. The assessment emphasizes the central importance of poverty alleviation, increased food production, and population stabilization in the long-term development strategy for Bangladesh.

Current Status: The assessment report and background papers have been widely disseminated and reviewed by USAID and other appropriate institutions.

Follow Up: Follow-up activities with the USAID Mission for FY 91-92 need to be decided and could include the establishment of a national environmental information center.

Comment: The effort required to assemble a 15-person team and to place them under contract in Bangladesh was enormous. Management of such a large team is normally more appropriate for an IQC firm.

The drafting of the synthesis document, although approved by all parties and favorably reviewed by many outside readers, was also an arduous task which led to some contradictions and misunderstanding between the team and USAID. The Mission itself was not always consistent in what they wanted from the assessment and WRI's staffing constraints caused some lapses in effective management of its drafting process.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments
Contact Person: Tom Fox, Kirk Talbott
Project Title: Prefeasibility Assessment for Initiating a Country Environmental Profile (CEP) for USAID Morocco
Source: EPM/Morocco Mission buy-in (approx. \$70,000)
Duration/Year: August 1989 through the present
Location: Morocco

Purpose: To provide the USAID Mission in Rabat with an assessment of opportunities and constraints for developing a country environmental profile or related activity for USAID Morocco. The Mission had been considering this activity, but wanted to have a reconnaissance team explore this possibility of linking it with other activities and complement them rather than duplicating previous efforts.

Description: The WRI Center staff teamed up with a staff member of the Office of Foreign Disaster Assistance of AID to conduct a reconnaissance mission in September 1989. The two person team liaised closely with the USAID Mission in Rabat, identified major environmental trends and critical issues through interviews with scientists, educators, and development practitioners; and began the identification process of individuals and institutions which might contribute to the CEP.

Products: A preliminary WRI report on the USAID Morocco CEP Prefeasibility Assessment.

Main Results: The Center's reconnaissance mission provided AID with a sound preliminary assessment of important natural resource issues and trends. It also provided an analysis of the institutional capabilities of various organizations, especially parastatal research institutes connected to the Ministry of Agriculture which could contribute to the CEP efforts.

Current Status: UNDP is currently in the process of preparing a State of the Environment report for Morocco. This and some recent mission changes in the priorities of the Mission has resulted in a shift in the focus of upcoming natural resource assessment activities.

Follow Up: Tom Fox, Director of the Center, has since conducted a follow-up mission to Morocco to devise an appropriate set of activities for the Mission. Fox will lead a small team in planning further assessment activities with a focus on urbanization.

Comment: The Center is well suited to provide long-term, occasional assistance in a situation such as this, where the Mission's staff and program priorities are subject to change.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments

Contact Persons: Walter Arensberg, Kirk Talbott

Project Title: Assessment of Possibilities for Profitable Environmental Protection in the South Pacific Region

Source: EPM Core

Duration/Year: September - November 1990

Location: Papua New Guinea, Solomon Islands, and Fiji

Purpose: A review and assessment of possibilities for promoting profitable environmental protection in the South Pacific region. This effort was prepared for Jim Osborn (RDO/SP) of USAID as an early part of the PID/PP process.

Description: David Richards spent several weeks in the fall of 1990 working with the regional USAID office to analyze and strengthen USAID's activities in the region promoting more profitable environmental protection activities. Richards joined Jim Osborn of AID on field trips to Papua New Guinea and the Solomon Islands where they looked carefully at a number of enterprise demands and conservation realities in the region. The main conclusions of the analysis were that Profitable Environmental Protection (PEP) design should emphasize the need to attract top-rated small business talent, without which the program's environmental objectives will not be achieved. Another important component in developing PEP is the fine tuning of local and national policy so that PEP initiatives can be nurtured. This requires the right people to link industry, environment, and banking so that they do not work at cross purposes.

Products: A paper was presented to the RDO/SP with three sections: 1) an overview of experience relevant to PEP design, 2) elements of PEP design ideas, and 3) village-based timber processing analysis of current constraints and opportunities.

Main Results: This activity concluded that providing adequate regulatory mechanisms to control enterprises from unsustainable harvesting of the natural resources base and improving the policy environment supporting conservation behavior and placing sanctions fairly on violators, is critical to successful "PEP".

Current Status: The Center's effort contributed to the PID which has been successfully reviewed by AID. Follow-up activities based on these conclusions have not yet occurred, although the Mission is interested in conducting further analysis for program development purposes.

Follow Up: Richards has been requested to return to the region to provide further guidance in follow-up activities.

Comment: Successful conservation depends on effectively meeting small enterprise demands.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments

Contact Person: Kirk Talbott

Project Title: A Survey of University Non-Profit and For Profit Organizations that Conduct Environment and Natural Resource Economic Analysis

Source: A portion of ANE General Buy-in to EPM (approx. \$10,000)

Duration/Year: January and February 1990

Location: Washington, DC

Purpose: To identify and to survey US-based university non-profit and for-profit organizations engaged in environmental economic analysis for a PP activity by the Bureau.

Description: This work was designed to provide USAID's ANE Bureau with the understanding necessary for developing a PP to identify organizations and resources available in the United States for examining the economic consequences of environmental mismanagement.

Products: A questionnaire was developed and sent to 62 organizations identified in the survey. 66 percent of those surveyed responded to the questionnaire and their responses were integrated into a matrix reviewing the key questions of the survey. A final report was drafted providing the results of the survey. This report was presented to the ANE Bureau of AID.

Main Results: The survey made clear that there is a wide range of organizations that conduct environment and natural resource economic analysis. In the final report, a variety of institutional settings capable of coordinating activities of the various institutions involved in the field were presented. A central feature of the survey was the issue of developing a consortium and the report provided a listing of some advantages and disadvantages to the consortium idea. A number of recommendations were made for follow up activities to further assess the capacities of these organizations to contribute to economic analyses in the region.

Current Status: The Bureau has not made widespread use of this information to date; although it has been used informally by a number of ANE staff in identifying and assessing organizations outside of the government that are working in the field.

Comment: It remains unclear how this activity and the information it has generated is being used by ANE beyond the PP process. Considering the fundamental changes in the ANE Bureau this last year, this is understandable. However, this issue needs to be dealt with, as both the Bureau and WRI should be careful when engaging many people and organizations in surveys and questionnaires without giving something back to them. This is an important problem in development.

PROJECT SUMMARY

Program: Natural Resource Management Strategies and Assessments

Contact Person: Kirk Talbott

Project Title: Tenurial Policies/Natural Resources Management Project

Source: Partial funding from various EPM Buy-ins and EPM core (approx. \$55,000)

Duration/Year: January 1990 to present

Location: Washington, D.C., Philippines, Thailand

Purpose: To identify, analyze, and develop legal and policy options for promoting better management of tropical forests by local natural resources users, particularly within "public" or "state" forest lands.

Description: The WRI Center has developed a methodological approach for assessing conditions and trends within national policy frameworks which might promote more equitable and sustainable forest management. This approach, which was originally developed and applied in the Philippines by a long-term consultant to WRI, was then refined, applied and tested in Thailand by a Center team with support from the ANE Bureau and close supervision from the USAID Mission in Bangkok. The tenurial policies methodology involves the identification and/or establishment of working relationships with key government offices, universities, affiliated institutions, and local NGOs for collaboration on research, field work and analysis of critical issues and trends.

Products: A methodology paper and case study of the Philippines was written, and an analytical report was drafted based on the field work in Thailand. Close working relationships have been developed with indigenous Thai institutions, particularly within the university and NGO communities, opening the door for forging new policies and programs in state forest management in this complex field.

Main Results: The methodology paper has been refined and expanded to incorporate field experiences in Asia. This work has strengthened other WRI Center activities related to forest management and land use by providing new tools for approaching the complex issues of equity, tenurial rights, particularly access and user-rights related to common property regimes, etc. The project will review issues relating to demographics of indigenous and migrant peoples living within, or dependent on, state forest lands, national laws and community practices relating to land tenure, local peoples rights to forest resources, and the institutional framework governing forest management, i.e. the relationship between relevant government ministries, parastatals, and local community groups involved in forest exploitation.

Current Status: At present the tenurial policies project is

exploring the possibility of conducting similar field work testing of the methodology in Papua New Guinea, Nepal, and the Central Africa region.

Follow Up: Scopes of work are being developed for further field work testing of the tenurial policies approach in several countries. The Center has been working with the Africa Bureau in applying this policy related work to the Africa Bureau's work in Sub-Saharan Africa.

Comment: This activity holds much promise for improving analytic tools for project planners and managers working to devise effective and equitable arrangements in forest management between local user groups and national governments. It is not an easy task - considering the subject matter - but to date the Center's team successfully tested the methodology with credible host-country partners in Thailand and is well positioned for further work and application.

PROJECT SUMMARY

PROGRAM: Natural Resource Management Strategies and Assessments
CONTACT PERSON: Lori Ann Thrupp
PROJECT: The Environmental Strategy for Latin America and the Caribbean (for AID's LAC Bureau)
SOURCE: Latin America and Caribbean Bureau and EPM
DURATION/YEAR: Sept. 1990 to present (expected end: March 1991)
LOCATION: Washington D.C. (With field trip to Jamaica)

PURPOSE: To prepare a comprehensive examination of the future of the environment and economic development of the Latin America and Caribbean (LAC) region. The goals are to analyze the main environmental problems, to clarify the link between environment and development, and to identify strategies priorities and actions for AID in the 1990s.

DESCRIPTION: The project involved the following: (a) background research and analysis of an extensive bibliography of references, reports and literature on environmental issues in Latin American and the Caribbean; (b) interviewing about 40 people in different sectors of AID to understand their views on the priority issues and strategic directions; (c) preparation of the draft "issues and options paper"; (d) participation in a successful workshop devoted to the review of the draft paper (attended by many AID staff and the Center's team), which generated useful comments and feedback; (e) field visit to Jamaica to acquire additional information on key issues; (f) preparation of the draft strategy paper, incorporating comments and ideas from reviewers and workshop; (g) review of the strategy by additional AID field/Mission staff and analysis of the feedback and comments; and (h) preparation of the final strategy.

PRODUCTS: The first product was a report entitled "Toward an Environmental Strategy for Latin America and the Caribbean: Issues and Options Paper," completed in December 1990. The Strategy workshop, held in December to review the report was another "product." The next product is the draft strategy; and the final end-product will be a report which identifies approaches and actions for solving environmental and resource problems. This includes a summary of environmental problems, causes of problems, constraints to remedial action, and strategic principles and priorities for AID.

RESULTS: The strategy will be used by the LAC Bureau and Missions as a guideline for environmental actions and planning.

CURRENT STATUS: Draft report finished in March, 1991. Final report will be completed in April. Recommendations will be applied.

COMMENT: The participatory process of formulating this strategy, through interviewing and workshops, was very constructive to address the environmental issues and to formulate the strategies.

The report is important in addressing the root causes of environmental problems and clarifying economics-ecology linkages.

Technical Advisory Services - Summaries

1. Tourism and Development in Madagascar

Using EPM Project funding, the WRI Center contracted Dr. Aidan McQuillan of Technical Support Services in Washington to conduct field work and provide the analysis for a report on tourism development and environmental conservation in Madagascar. The report, which was widely circulated in-country and in Washington, provided policy-makers and environmental planners with a financial and institutional analysis of the of constraints and opportunities for building an effective tourism component in the environmental program for Madagascar. It also developed a set of recommendations for future investment activities relating to tourism and conservation. The report has been used by a number of policy-makers in Madagascar and remains in high demand.

2. The Implementation of the Madagascar Environmental Action Plan: Possibilities and Constraints for Local Public Participation

WRI staff joined with a World Bank staff member to conduct extensive field interviews in the central plateau region of Madagascar to draw out critical issues facing environmental planners relating to environmental activities. The results of this field-work were later published as World Bank Technical Document No. 10 of the APTEN Division. USAID's financial support in the preparing of this document has been recognized by the Bank and future contributions by WRI and USAID to World Bank internal documents are visualized. The report has been translated into French and has circulated in Madagascar and the United States.

PAPERS/CONFERENCES/WORKSHOPS/OUTREACH

1. Land Tenure Center Review Workshop in Africa

A WRI staff member participated in a one-day workshop discussing work to date conducted by the Land Tenure Center of Madison, Wisconsin. The general purpose of this workshop was to bring together the organizations and individuals who have worked in this field to review and assess the Land Tenure Center's work related to land tenure issues and natural resources management. The WRI Center staff person acted as a discussant for the panel on buffer zone management and tenurial issues. The Center also provided for the participation of two senior consultants.

2. Solidarity Canada Sahel and PACT Workshop in Quebec on Popular Participation in the Management of Natural Resources in the Sahel.

The WRI Center was represented by a staff member at this three-day workshop that was jointly hosted by the US NGO consortium PACT and Solidarite Canada du Sahel, a Canadian organization of NGOs working in the Sahelian region. The objectives of this workshop were to exchange information relating to NGOs and bilateral agencies, to follow-up the regional meetings that have been held in Segou, Mali by the CILLS and Club de Sahel organizations, and to identify methods for possible future collaboration between NGOs working in the Sahel and bilateral agencies. The Center played a lead role in conducting a sectoral workshop on the issue of tenurial policies and systems and improved natural resource management in the Sahel.

3. NRMS PVO/NGO Buffer Zone Management Workshop in Uganda

A WRI Center staff member participated actively in this workshop which drew lessons learned from various countries where buffer zone management schemes are in place. This is one of many activities in which the WRI Center has worked closely with the PVO/NGO/NRMS Project, designed two years ago by WRI for the Africa Bureau.

4. Natural Resource Management Initiatives in Africa: A Presentation to the World Bank Africa Infrastructure Program

The World Bank Africa Infrastructure Program invited the WRI Center to present activities undertaken with the Africa Bureau designed to identify natural resource management conditions and trends in Africa. This is one of a series of activities in which the Center, through the support of the Africa Bureau, has contributed to World Bank internal management initiatives as part of an effort to sensitize Bank staff to the problems that exist in the field in operationalizing environmental initiatives.

5. Public Participation in African Environmental Action Plans

A WRI staff member delivered a synthesis paper on public participation in NEAPs across Africa at the Dublin NEAP Workshop Conference in December. This three-day conference/workshop included African managers of the NEAPs, a number of representatives from the World Bank, USAID and other donors, and the NGOs, IUCN and WRI. The public participation synthesis report was one of four cross cutting presentations/paper that were presented at the Dublin workshop. The other presentations were on institutional development, information management, and environmental economics in NEAPs.

6. Only One Earth Conference on Sustainable Development, organized by the International Institute for Environment and Development, London, April 28-30, 1987. The conference was based on case studies of successful, sustainable projects. W. Arensberg attended the conference as a representative of IIED/North America and acted as a rapporteur for a session on Environmental Profiles and National Conservation Strategies. The case studies presented at the conference were later published as The Greening of Aid: Sustainable Livelihoods in Practice, edited by Czech Conroy and Miles Litvinoff (London, 1988).

7. International Conference on Environment and Development, sponsored by the Secretaria Ejecutiva del Convenio Andres Bello (SECAB) Bogota, Colombia, December 8-10, 1987. SECAB is the executive secretariat of the Andres Bello Convention which is the instrument through which the Andean countries of South America cooperate on programs for cultural and scientific education and research. The conference was designed to introduce SECAB to the environmental institutions and activities of its members states and to define concrete initiatives that the Secretariat could take to mount an environmental program. W. Arensberg participated as a representative of IIED/North America and supporter of the Colombian Environmental Profile. IIED co-sponsored the project and secured the participation of Ted Smith of the AID supported consortium of foundations with programs in biological diversity. W. Arensberg chaired a plenary session of the conference and a workshop on the integration of environment and project planning and design processes.

8. Meetings of the Working Party on Development Assistance and Environment, Development Assistance Committee of the OECD, Paris, France. At the behest of AID/PPC, W. Arensberg prepared the special paper on Country Environmental Studies which was later adopted by the DAC Working Party as a note of guidance on Good Practices for Country Environmental Studies DAC/ENV/(89)3, and attended various semi-annual meetings of the Working Party as the to present and revise the document. The paper was adopted in November 1990.

9. Colloquium on International Economics and Rural Sustainability in Developing Countries, co-sponsored by the Council on Foreign Relations and WRI, January 7,8,9, 1991, New York City. Working with Roger Stone, Senior Fellow at the Council of Foreign Relations and the author of a forthcoming book on sustainable development, W. Arensberg committed EPM Project funding to the support of this colloquium and organized WRI's participation in it. The three day session drew together distinguished experts in the field of environment and development to discuss the effects that international economic policies regarding debt, investment, trade, and foreign assistance had on sound development in the Third World. Its proceedings will be published and distributed by CFR and WRI.

CASE STUDY
Natural Resource Management Strategies and Assessments
Responding to a Wide (and Growing) Variety of Needs of the USAID
Africa Bureau

I. Introduction

In the last five years, the WRI Center has developed a special relationship with the USAID Africa Bureau. The level of effort and type of work for the Bureau under the EPM arrangement has expanded and, in the process, changed significantly.

Until recently most of the Center's contribution to the Bureau was related to providing quick and relatively discrete technical assistance as requested by the Bureau and individual Missions. Increasingly over the last year and a half, however, WRI has been called upon to provide a relatively new set of services to AID Bureaus and Missions related to policy analysis and formulation. The Center has accumulated a great deal of experience in project management, technical assistance, and institution building at the international, national, and local levels. It is now positioned to be able to "step back" from its field work and review lessons learned from the field and provide a unique perspective of the critical constraints and opportunities facing all those working in development and natural resources management in Africa.

While most other contributors to the Bureau have a comparative strength in being able to offer a number of different types of consulting services related to a wide spectrum of technical issues, WRI has a global perspective and comprehensive research mandate to engage in cross-cutting, integrated, policy analysis. Under the EPM arrangement, the Center is also well-suited for helping the Bureau develop an effective set of indicators and other analytic tools for monitoring USAID efforts to fulfill its Congressional mandate for work in Africa as stated in the Development Fund for Africa (DFA). Congress, under the DFA, challenges AID to become more efficient in managing development programs and more effective in contributing to grassroots-level impacts. This and related challenges will more easily be met through future collaboration and field testing of work recently begun under EPM.

II. An Expanding Relationship - The Evolution of EPM Work with the Africa Bureau

Five years ago, when the WRI Center was still the North American Office of the International Institute for Environment and Development (IIED), most of the EPM Project activities were concentrated in the Latin America region and, to a lesser extent, in Asia. EPM efforts in Africa from 1985-1987 consisted of

relatively small initiatives such as supporting a study of ecological conditions in the Ruhengeri district in Rwanda or the contracting of an expert to provide assistance with the management plan for Korup national park in Cameroon.

After 1987 with the release of the USAID Africa Bureau's Plan for Supporting Natural Resources Management in Sub-Saharan Africa (PNRM), the Institute (now the WRI Center) responded to the PNRM by strengthening its staffing capacities and institutional capabilities to work in Africa. It aligned its activities under EPM in Africa according to the strategies outlined in the Plan and concentrated its country activities in Africa Bureau "priority" countries - particularly Rwanda, Guinea, Madagascar, and Uganda. The Center began developing in earnest a cadre of leading experts with special skills in the field of natural resource management in Sub-Saharan Africa. Recently, it has initiated meetings both with the Bureau's staff and with other organizations contributing to the PNRM (FSP, BSP, ED/I, and the PVO/NGO/NRMS) Project to develop a more active working relationship based on complementarity and not duplication of NRMS related efforts.

By the end of 1988, the Africa Bureau initiated the first of four annual "Buy-Ins" to the EPM Project in support of the PNRM. (The fourth Buy-In, FY '92, is still in the preliminary stages of being processed.) The terms of reference for EPM activity in the first two Buy-Ins consisted largely of assistance to NGO strengthening, discrete technical assistance in forestry and resource management for a couple of USAID Missions, and planning and assessment support for multi-donor National Environmental Action Plans (NEAPs) in a few priority AID countries.

By 1990, the level of effort of Center collaboration with the Africa Bureau through the Buy-In mechanism had grown from under \$200,000 a year to close to \$500,000, with FY '92's level of effort being considerably larger.

The WRI Center has joined USAID as one of several lead players in the NEAP process which has expanded quickly from the original seven countries to more than eighteen African nations in four years. It is not only active in providing technical assistance and managerial support for NEAPs in selected AID priority countries but has also taken a lead role in helping strengthen mechanisms and institutions for supporting broad public participation in the action planning process. The Center has acted as a liason between Divisions of the World Bank charged with NEAPs and the Africa Bureau while providing on-the-ground and policy analysis support to the NEAP process on behalf of the Bureau.

Other Center activities recently developed and expanded for collaboration with the Bureau include: PVO/NGO institution building, (linking its From the Ground Up program activities with the PVO/NGO NRMS Project which the Center helped design for the

Bureau in 1988); the establishment of experts groups in policy analysis and geographic information services (GIS); improving natural forest management through innovative policy and economic reforms; and helping organize workshops for identifying effective collaborative arrangements for PNRM activities with other donors, local government agencies, NGOs and community organizations.

III. Issues for the Future - Maximizing Results

Successful collaboration between the USAID Africa Bureau and the WRI Center can be colloquially characterized as "on a roll" and is growing rapidly. Success measured in terms other than the large increases in Buy-Ins to EPM include:

- o the excellent working relationship between Center staff and the Africa Bureau (AFR/TR/ANR) with virtually daily communication (in person, by phone and fax) based on an understanding of technical issues and shared project goals developed over several years of working together on scores of activities in Washington and across the African continent;
- o results in Washington and the field that are many and varied and are described in the "Project Summaries" (field reports that have been integrated into PIDs); productive collaboration with other donors; institutional strengthening among a variety of African governmental and NGO organizations; development of analytic tools such as farm-level indicators for AID's NRM Framework; improved policy analysis capabilities for examining critical conditions and trends that results from a global perspective (WRI policy research mandate) being merged with USAID's DFA objectives, etc.

These promising aspects of EPM's evolving work with the Africa Bureau present major challenges for WRI and its EPM program in its efforts to most effectively respond to the Africa Bureau. Future EPM contributions to the PNRM need to be carefully planned so that there is a coherent approach to EPM's response to the Bureau's requests for the Center's work. Staffing, use of consultants, targeting countries and project activities, formal collaboration with other U.S. organizations that work with the Bureau and with African individuals and organizations all need to be carefully explored and planned for. Most important in this context is the issue of the Center's own management structure for responding to the growing list of activities under EPM's relationship with the Africa Bureau.

Finally, no one can feel complacent or comfortable with the status of natural resources management conditions and trends extant in Africa today. The successes of EPM and other collaborative arrangements between donors and their partner organizations are

tempered by the relative paucity of measurable successes in the African host countries. The Africa Bureau, the WRI Center, and others are beginning to identify and respond to the complex set of lessons learned from the relatively few "successful" initiatives (such as the Guessele forest management project in Niger and CARE's windbreak initiative in Mali) and the many failed environmentally related projects that litter the development landscape in Africa.

If the EPM contributions to USAID are to continue to evolve and achieve success, they must go beyond assessment and analysis and apply what has already been learned, especially in field projects and policy reform initiatives that are led by Africans. Policy analyses must likewise be applied effectively within a comprehensive and nationally integrated framework for action which responds in appropriate ways to donor agendas and local-level capacities.

Now is the time for appropriate staff of the Africa Bureau and the Center to have a series of working meetings to plan out and structure a strategy for future EPM collaboration that can best meet these challenges.

CASE STUDY

ENR Strategy and Management Support for AID/Chile

I. SUMMARY

Through the EPM Project and WRI's Center for International Development and the Environment, USAID/Chile has developed a strong program on environment and natural resources (ENR) management since 1989. Based on a strategy prepared by the Center in August of that year, the AID program aims to improve Chile's capacity to manage the use of natural resources and the environment by supporting public and private efforts to strengthen ENR policy and institutions, increase basic research and analysis on environment and natural resources issues, and foster public awareness and education on these issues. In all these areas, AID/Chile has launched initiatives which are having a very positive effect on the course of ENR management in the country, and its program is now well positioned to help the new democratic government of Chile move ahead on the environmental front. This case study the work the Center has done in Chile and underlines some of the lessons learned from this special relationship with the AID office there.

II. BACKGROUND

AID/Chile launched its ENR activities in August of 1989, one year after initiating a small Advanced Developing Country (ADC) program in the country. The ENR program reflects AID's ADC policy, as well as the critical environmental and natural resource management issues facing the country.

Under the ADC program, AID/Chile acts as a catalyst, seeking to establish linkages between U.S. and Chilean organizations and leveraging funds and technical assistance from a variety of sources. The ADC approach emphasizes relationships with the private sector, including NGOs, universities, business enterprises, and existing organizations, rather than government to government projects or the creation of new institutions.

When it was established in August of 1988, two months before the plebiscite that started Chile's return to democracy, the ADC program concentrated on activities that would support the transition to democracy. With the election of a democratic government in December of 1989, the main purpose of AID's program has become to strengthen democratic institutions in Chile.

The central challenge facing Chile's new government is to maintain the dynamic economic growth generated by the free-market economic policies inherited from the government of Pinochet while addressing the serious social and environmental problems that were not dealt with by the previous regime. There are pent-up

demands for social services, housing, and education, and a growing understanding on the part of the public that the long-term sustainability of the country's remarkable economic growth may be seriously undermined by overexploitation of its natural resources and the deterioration of the quality of its environment.

While some steps were taken in the past to address particularly severe problems, such as air pollution and water and sewage treatment issues, the Pinochet government's strong policy commitment to fostering the free play of market forces meant that it generally refrained from intervening in the economy to improve environmental quality or guide the use of natural resources. Accordingly, the new government inherited a host of serious ENR problems and few operational institutions or policies to deal with them. Pervasive air pollution in Santiago and industrial pollution and inadequate water and sewage systems in urban areas in general was a pressing public issues. Serious problems also existed with desertification and water management in the northern regions, the harmful impacts of mining operations, soil erosion, and pesticide use in agriculture, deforestation and watershed degradation, the overexploitation of marine resources, and the management of national parks and protected areas. No comprehensive environmental policy existed to address these problems, environmental regulations were limited and poorly enforced, and overall, there was too weak an institutional structure and information base to make for effective ENR management.

These were the basic issues that shaped AID/Chile's ENR program when it started in 1989. The program began with the preparation of the Environment and Natural Resources Strategy for Chile and major support for a triennial conference on environment in Chile which was held in Concepcion in August. As the outcome of the forthcoming elections was uncertain at the time, AID/Chile selected an initial round of projects to implement the strategy that were to be sponsored or managed by NGOs rather than established governmental institutions. With the inauguration of a democratic government in March of 1990 and its expression of a firm commitment to address environmental issues through a new national environmental commission (CONAMA), the emphasis of the ENR program has shifted to strengthening that commission's capacity to fulfill its role as the coordinator of environmental policy and management initiatives within the Chilean government.

The ENR program has been implemented through three "buy-ins" to S&T/FENR's Environmental Planning and Management Project with the Center. The first, for \$99,865.00 in FY89 helped support the environmental conference referred to above and underwrote the preparation of the ENR Strategy. The second and third, for \$148,721.00 and \$50,000.00 respectively supported the implementation of the ENR strategy during FY90. A fourth buy-in

is being developed for FY91 to support additional activities, particularly with CONAMA, which will further the objectives of the strategy.

III. MAJOR ACCOMPLISHMENTS

The overall framework for reviewing AID/Chile's ENR program is provided by the ENR Strategy prepared in 1989. The objectives of the strategy have guided the development of the concrete projects in the program, and the way in which the strategy was prepared laid the groundwork for a especially fruitful relationships between AID, the GOC's CONAMA, and the World Resources Institute.

The preparation of the ENR Strategy should be regarded as an especially beneficial accomplishment in its own right. A full presentation of the strategy and the issues it seeks to address is contained in Environment and Natural Resources Strategy for Chile (USAID/Chile, Final Draft, November 1989). The strategy is the result of a very successful collaboration between AID/Chile, representatives of S&T/FENR, AID/Ecuador, the Regional Environmental Adviser for Latin America, the Director of WRI's EPM Program, and Rafael Asenjo, who at the time was affiliated with the Chilean Association for Environmental Law. The strategy provided AID/Chile with a coherent analysis for defining its program, it was extremely useful to the World Bank in the development of its own environmental program for Chile, according to the leaders of the project preparation mission, and working on it offered Rafael Asenjo, who is now the Executive Secretary of CONAMA, an early start on his own analysis of the principal issues confronting the country. His participation on the project has also given him and AID/Chile excellent access to each other. While the strategy should be up-dated and revised periodically, it got AID/Chile's ENR program off to an excellent start.

One final point should be made about the preparation of the strategy. It laid the foundation for AID/Chile to cooperate with the World Resources Institute through the EPM Project, and that cooperation has not only permitted AID, the GOC, and a number of Chilean NGOs to work with WRI and draw upon it expertise, but it has also leveraged additional EPM "core" funds for Chile's program and helped lay the foundations for additional donor and foundation assistance. These benefits are directly in keeping with the aims of AID's ADC policy.

The specific accomplishments of the ENR program to date are described below in the context of its three strategic objectives.

The ENR program has been designed consciously so that activities that fall under one objective often influence or are related to activities targeted at other objectives.

ENR OBJECTIVE #1 Support the development of public policy and institutional initiatives for improving environmental quality and the management of natural resources.

1. Transition Team Environmental Committee: During the period between the elections in December 1989 and its Inauguration in March 1990, the new democratic government created a number of special committees to prepare programs and funding proposals for the future government to present to the international donor community. These committees often lacked sufficient funds to do their work and the Environmental Committee, in particular, had no funding to develop its program. The emergency funding that AID provided to the committee permitted it to define its program and prepare funding proposals which it presented successfully to the World Bank and the IDB. According to CONAMA, these proposals have produced commitments from the World Bank for approximately \$20,000,000 to help CONAMA strengthen ENR policy and institutional development in the country. (FY 90-\$36,000)

2. Public Sector Workshops on the Environment: With support from AID, CONAMA is conducting a series of regional seminars on environmental issues and policy options. The purpose of these seminars is primarily to draw regional public agency officials and NGOs together to identify critical environmental problems in their respective regions and analyze alternatives for addressing those issues. CONAMA regards these seminars as a way to reach out to its regional counterparts, increase their training and awareness, build consensus about the role of CONAMA, and also lay the foundation for gathering information about regional problems. AID funded the first seminar held in Santiago from an FY90 buy-in, and will provide support to the remaining meetings from future FY91 funds. (FY90-\$25,000)

An analytical atlas of environmental issues throughout the country, entitled, Problemas Ambientales de Chile, and compiled by Chile's Catholic University with funding from AID is providing the point of departure for these seminars. Regional participants are analyzing the information contained in the atlas, correcting it and adding to it. It has provided an excellent springboard for the process, and CONAMA and the authors of the atlas see it and the regional seminar process as a whole as leading to the development of Chile's first State of the Environment Report. Additional information about the atlas appears below.

3. Seminar on Training for Environmental Quality Control: In early September 1990, the Special Commission on the Decontamination of Santiago held a very successful three day workshop for public agencies on monitoring, measuring, and controlling environmental degradation. Air pollution is one of the most critical problems in Santiago, and the new government has placed it high on its agenda. The workshop offered its participants a sound starting point for understanding past

efforts and future options. Two representative of U.S./EPA also shared the experience of the U.S. with the group, concentrating particularly on legal and community participation aspects of the regulatory process. AID supported the workshop as well as EPA's participation. AID and EPA are now exploring the means to facilitate EPA's collaboration with the GOC on environmental planning and management in the future. (FY90-\$25,000.00)

ENR OBJECTIVE #2: Foster research and analysis of environmental and natural resource management issues.

4. CIEPLAN Natural Resources Economics Research and Conference: The World Resources Institute is one of the leading centers for research on the economic dimensions of environmental degradation and the misuse of natural resources. Through the work of Senior Fellow Robert Repetto, WRI has developed new methodologies for calculating natural resource depreciation in the development of national income accounts. In order to introduce the new methodologies of environmental economics into Chilean economic research and policy analysis, WRI and AID established a relationship with CIEPLAN (Corporacion de Investigaciones Economicas para America Latina), one of the leading research groups in the country and the former professional home of several of the new government's leading ministers. During the past year, AID provided funds through WRI to CIEPLAN to complete research on the economics of the fishing sector and to conduct the First International Conference on Economics and the Environment which was held in Concepcion, Chile on November 28,29,30, 1990. Through the EPM program, WRI secured the participation of Drs. Robert Repetto, Douglas Southgate of the University of Ohio and AID/Ecuador, and Jean Pierre Reveret of the University of Quebec at Montreal. AID funds will also support the publication of the proceedings of the conference.

The conference was extremely successful on a number of counts. It brought prestigious Chilean economists together to deal with these important themes for the first time; it established a dialogue between these economists and the foreign experts who attended; it initiated a relationship between CIEPLAN and the University of Concepcion, a well-known regional university; and it laid the foundation for a longer-term relationship between WRI and CIEPLAN. A book of the proceedings will be published and distributed as part of CIEPLAN's regular series. In addition, AID/Chile's initiative helped leverage funds from the Ford Foundation and planted the seeds for WRI to secure longer-term assistance from other donors to support its relationship with CIEPLAN. (FY90-\$6500; additional funds planned for FY91)

5. Design and Application of Indicators of Environmental Quality for Chile: One of the priorities of CONAMA is to establish an effective system for monitoring and measuring environmental quality and trends in the use of natural resources. Although a

portion of the financing that the GOC will receive from the World Bank to support CONAMA will be aimed at developing such a system, AID/Chile has helped start the research that is required to design the system. With a grant to the Catholic University, AID's ENR program is supporting the work of a team devoted to the design and testing of indicators of environmental change. Although this work is not yet complete, it is being coordinated with CONAMA. The team undertaking this indicators project also coordinated the preparation of Problemas Ambientales de Chile, and much of that work has contributed to the basic store of information required for the design of indicators. The indicators work will also lay the foundation for regularly issuing reports on the state of the environment in the future. (FY90-\$40,757.00)

6. Publication of Problemas Ambientales de Chile: One of the most successful projects supported by AID during the past year was the publication of the two volume atlas entitled Problemas Ambientales de Chile. This well-designed compilation of analysis and maps, locates the major types of environmental problems occurring in the thirteen regions of the country and ranks them according to their intensity. Directed by a team of specialists from the Catholic University, the report is based on research and a cycle of seminars in each administrative region in which regional experts employed a Delphic method to analyze and develop consensus about the nature and importance of the problems identified in the atlas. Aside from its substantive content, the graphic presentation of the maps and charts within the atlas is extremely well-done, and has helped make the two volumes a much sought after, eye-catching report.

Problemas Ambientales de Chile has had a major impact in a number of ways. First of all, it has provided a readily accessible overview of environmental issues that has served to focus public attention early in the new GOC administration. The Catholic University and CONAMA launched it with much fanfare, and it has received a great deal of comment in the press, as well as in public and private circles concerned with the environment. As one private consulting engineer observed, "it is an excellent presentation; and even though it may contain some mistakes, it has set the terms for discussion and given us a real agenda to follow." Secondly, it is being used by CONAMA as the starting point for its regional environmental commissions to develop analyses and options for each of their jurisdictions. As noted above, the atlas will provide the springboard for the series of regional training seminars CONAMA began in November. Finally, it offers a basic inventory of issues that is the first step toward preparing a National State of the Environment Report. The publication of such a report will be a routine function of CONAMA, and the atlas puts the commission in a position to issue such a report in a timely way. (FY89-\$16,000)

ENR OBJECTIVE #3: Support activities in Environmental Education, training, and public awareness.

7. Support for the 3er Encuentro Sobre Ciencia, Tecnologia y Medio Ambiente: During the first year of its ENR program, one of AID's most successful initiatives was to help fund the Triennial Conference of Science, Technology, and the Environment organized by CIPMA (Center for Environmental Planning and Research). The conference which was held in Concepcion in August 1989 drew together Chilean environmentalists, scientists, representatives of the private sector, NGOs, and government officials discuss the interrelationship between environment, science, technology, and public policy. Aside from its importance as a forum for the exchange of ideas, the conference contributed to increasing public awareness of environmental issues because the two leading candidates (Patricio Aylwin and Hernan Buchi) in the elections scheduled for December of that year chose it as the place where they met face to face for the first time to make public their views on the importance of environment to the development of the country. The proceeding of the conference were distributed broadly and also provided material for CIPMA's publication "Medio Ambiente y Desarrollo." The success of the Conference also strengthened CIPMA's role as a leading environmental NGO.

AID/Chile provided direct support to CIPMA (\$40,000) for the conference as well as funds (\$4,000) to a group of participating PVOs sponsored by the Chile/Washington State Partners for the Americas program which prepared a display on pesticide management for the event. Additional funds (\$2000) helped a number of Chilean botanists attend the VI Inter-Congress of the Pacific Science Association. CIPMA also received support for the conference from a number of Chilean and multinational businesses, the Chilean National Academy of Sciences, the Interamerican Foundation, the Conservation Foundation and the UN's ECLA. (FY89-\$46,000)

7. CIPMA- Regional Environmental Information Network: In order to make environmental information available to a wide variety of groups throughout the country, CIPMA has created an environmental information clearinghouse which will be linked through a computer network to regional universities, major NGOs and government institutions. Recognizing the need for more widespread distribution of environmental information, AID has contributed to the costs of starting the network by providing funds for the first organizing meeting of interested institutions from the public and private sectors and underwriting the early staff requirements for structuring the network. A Coordination Group has now been set up and initial agreements have been reached with the National Library of Congress, and the universities of La Serena and La Frontera. Additional support will be sought from AID in FY91. (FY90-\$27,000)

IV. FUTURE DIRECTIONS

The ENR program will shift emphasis slightly in the future, focusing on the public sector and urban environmental pollution problems more than it has in the past. The change of emphasis fits easily within the framework of the existing ENR Strategy, and projects will continue to be developed with NGOs and the private sector.

During FY91, the program will place a high priority on helping strengthen CONAMA's capacity to coordinate the development of new policy and program initiatives within the government. While CONAMA will benefit from World Bank funding within a year or so, it has immediate needs to produce tangible and usable results which AID and WRI can help it fulfill. Along with continuing to support the regional environmental seminar series, the program will (1) help CONAMA develop the first National State of the Environment Report, (2) support the development of Environmental Impact Assessment Methodologies and associated regional training workshops for public officials responsible for carrying applying them, and (3) continue to assist with the design and development of the environmental monitoring system initiated with the indicators project discussed above. In addition, the program will help CONAMA develop the case for other donors and foundations to support Chile's efforts to conserve biological diversity. Future discussions with CONAMA will identify critical initiatives for FY92 and beyond.

V. COMMENT

There are a number of points that can be made about the Center's experience in Chile that are worth noting for the future. They will not be elaborated upon here, but may be expanded upon during the field visit that is proposed as part of the EPM evaluation.

The first is that the relationship between the Center and AID/Chile is unique. Basically, AID/Chile has delegated the design, development, and supervision of its environmental program to the Center, giving its staff the freedom and flexibility to conduct relationships with Chilean organizations as they see fit. One reason AID /Chile has done this is that, as an ADC country, it does not have the mandate or the staff to mount major programs of its own. With this as a given, it was inclined to find a partner to help it do the job. By working with the Center on the Strategy in the summer of 1988, the AID Director gained confidence in the Center and its staff and was willing to second the responsibility for managing the program to it. The EPM Cooperative Agreement also provided the mechanism through which this could happen within the context of the AID bureaucracy. Assuming that the relationship evolves successfully, the end result of this arrangement is that it may offer a very useful

model for AID to pursue in other countries, be they classified as ADC's or not.

A second observation that can be made about the Center's activities in Chile is that the strategy upon which they are based has provided a flexible and coherent framework for making decisions about specific projects. Within the context of the strategy, the Center and AID have been able to identify and fund projects which reinforce each other and cumulatively lead to the achievement of the basic objectives of the strategy. One explanation for this is that the strategy was developed with considerable participation from Chileans who were directly engaged in seeking realistic paths to improving the way the country dealt with environmental and natural resource issues. They not only brought their perception of critical issues to the development of the strategy but also their knowledge of what initiatives already existed that were worth supporting. While the team designing the project consciously identified projects to implement it that would be inter-related and have a cumulative effect, the fact that the Center/AID team developed and nurtured close and open ties with the Chileans who are now responsible for implementing many of these projects has also made the implementation of the strategy much more successful. The relationship that has developed between AID/Chile, the Center and the leadership at CONAMA may be so unique that the program in Chile cannot be replicated elsewhere. If careful thought were to go into the relationships upon which it must be built, however, another such program probably could be established elsewhere.

CASE STUDY

ENVIRONMENTAL/NATURAL RESOURCE STRATEGIES FOR REGIONS/BUREAUS (Natural Resource Assessments)

Dan Tunstall and L. Ann Thrupp

The Center has been challenged with the task of preparing comprehensive Environmental/Natural Resource Strategies for AID Bureaus. The strategy for Asia and the Near East (ANE) was completed during 1988-90, and the strategy for Latin America and the Caribbean (LAC) was started in late 1990 and is expected to be finished in May. Previously, the Center hosted a review workshop on "Natural Resources in Sub-Saharan Africa: Review of Problems and Management Needs", which led to the Bureau plan and strategy for natural resources management in Africa.

Similarities of Purpose:

The central objectives of the two strategy projects were similar: Both were aimed at comprehensive analyses of the natural resource and environmental issues and problems in each region, understanding the constraints to effective remedial action, and identifying strategic options and priorities for environmental management and sustainable economic development. The projects were also similar in that they were ambitious efforts, requiring a review and analysis of extensive information. They were intended to serve as guides for AID's activities in each Bureau, providing strategic options for the integration of environmental concerns into development activities. Both were aimed at a broad audience, including AID officers, government decision-makers, Congress, NGOs, and other interested individuals.

Differences in Process:

The procedures, logistics, and outcomes of the two projects were distinct in several ways:

A) The ANE strategy involved a relatively large amount of money, \$240,000, took 15 months, and involved working with many analysts, including Center experts and 17 consultants who were contracted to prepare detailed and background papers for each sector. Management of this large number of people created a substantial administrative burden.

To assist in the difficult task of synthesizing the findings from the 17 papers, WRI hosted a two-day workshop in Washington, with 60 experts from AID, WRI, consultants, and others, to identify key opportunities for addressing resource management problems in the region, and to begin to identify AID's comparative advantage.

During the summer and fall of 1989, WRI prepared two drafts of the strategy. The process of preparing and reviewing the draft reports became contentious. AID staff were divided: some wanted WRI to prepare strategic options for the Agency, others did not. After considerable discussion it was decided that they did not want a strategy with options, but only a listing of "opportunities" for action within the region. Thus, we retitled the final report, "Toward An Environmental and Natural Resources Management Strategy for ANE Countries in the 1990s".

AID had hoped to hold three regional workshops in the ANE countries to elicit mission ideas and build consensus. However, funding for these workshops was dropped and plans cancelled. The team did have an opportunity to meet with AID field personnel (primarily agricultural officers) at the biennial ADO conference, held in Rabat, Morocco, earlier in the year, but the WRI staff were not permitted to make field visits to missions, nor contact mission staff directly to get their ideas and perspectives.

Because no substantive discussions were ever held with senior AID staff on strategic options, WRI tended to lose interest in the project. A common reaction was, "Why would AID want us to go through this elaborate and thoughtful process, and then not want to know our recommendations?"

In the end, WRI turned in a comprehensive report with 20 carefully argued "opportunities" for taking action in countries of the ANE region. It was expected that AID would take our 200 page report and prepare the official 25 page strategy. A strategy and executive summary were drafted by ANE staff, but no official document was ever released to the public by the Agency. Briefings on the basic elements of the strategy were presented to Congress by the Assistant Administrator.

It should be noted, that during this period an equally extensive process was undertaken by the ANE Bureau to develop an agricultural strategy for the region. After a comparable amount of work, papers, workshops, and, in this case, consultation with AID mission staff, no final report was published.

B) In contrast, the LAC strategy involved a relatively small sum of money (\$148,000), 5-6 months, and a very small team of people, consisting of only one full time project leader, a part-time consultant, and a research assistant, with only two field visits. The management of the project therefore was administratively easy and simple, and involved full-time work of only two staff. (The team members, however, had extremely challenging and time-consuming tasks.) The analysis itself required a comprehensive compilation and review of numerous background publications as well; but AID/LAC officers gave the team clear terms of reference, had a good idea of type of product

they wanted, and did not change their minds in a major way. Therefore, attention was devoted to particular key publications and areas of priority interest to synthesize and streamline the report in the desired way. In addition, the process of preparing this strategy emphasized a **participatory approach**, because: a) the team members consulted with numerous people from inside and outside of AID, in order to obtain input on the priorities to be included; b) field missions were also visited and interviewed staff; c) fruitful workshops, involving the team members and numerous people from many sectors of AID, were held to review the draft reports; and d) AID officials gave positive feedback to the writers at every stage of preparing the document. Presumably the final strategy will be made into an official policy document by the LAC Bureau.

In sum, the ANE strategy involved significant problems and barriers (sometimes outside the Center's control), and was not followed through by AID, whereas the LAC strategy project has so far been free of those difficulties.

Some Common Procedures:

Nevertheless, both strategies did have some commonalities. For example, both included:

- a) the preparation of detailed statistical tables on natural and human resource conditions in each region, which served as "indicators" for analysis of environmental trends and attributes;
- b) analyses of how to evaluate comparative levels of degradation and "success" of environmental activities.
- c) advisory committees from WRI, who provided input on workplans and drafts of the strategy reports.
- d) workshops to discuss the papers, although the nature of workshops was somewhat different in each case.

Significant Themes and Contributions: Both strategies were unique and significant because of several features and themes. They:

- a) are comprehensive and "all-encompassing" in scope, covering a wide range of issues of environmental and natural resource degradation and sustainable development, ranging from air pollution to biodiversity and wildlands;
- b) clearly illuminate the inextricable linkages between resource management/conservation and sustainable economic development,
- c) clarify the root causes of environmental/economic deterioration, including the essential role of public policy and the importance of the market and prices in managing resources;
- d) show how environmental problems have socioeconomic impacts and impinge upon all sectors and processes of development;

- e) present clear background frameworks, which provide a context for the analysis of each problem area, and illuminate the key themes;
- f) are backed by intellectually rigorous analyses, and by comprehensive empirical data;
- g) provide innovative ideas and "cutting-edge" thinking about priorities, and the relationship between environment & development.
- h) are coherent, succinct, and well-organized, enabling a reader to grasp a tremendous amount of information in an efficient manner.

Although the ANE strategy was not formally published by AID, WRI has duplicated 300 copies and distributed these widely. Material from the ANE strategy has been used in preparing the Guidelines for National Reports to UN Conference on Environment and Development; in preparing chapters on sustainable development in the 1992 World Resources Report; and in helping the World Bank's staff plan the 1992 edition of the World Development Report. The ANE Resource Wealth Index has helped stimulate thinking on developing subsoil wealth accounts and expanding natural resource accounts. The 17 background papers have been made available to APRE missions and others on demand. And, the lessons learned in doing the ANE strategy influenced LAC staff and WRI staff involved in planning the LAC strategy effort.

Lessons: These strategy projects had several significant lessons, including the following:

- a) It was realized that AID needs to be clear about what they want from the projects, yet to be flexible enough to allow the Center to take the lead in determining the intellectual work/ideas.
- b) Good cooperation between AID and Center staff is also essential.
- c) In retrospect, the ANE project's approach of contracting lengthy sector papers was excessive, time-consuming, and at times counter-productive. It took away from the fundamental purpose of developing and reconciling options. In contrast, the LAC project approach, involving many fewer people, less time, and fewer administrative tasks, was more appropriate to facilitate the preparation of the strategies.
- d) Another important lesson is that a participatory approach to develop the strategies is important to ensure that the strategy recommendations are put into action. In other words, involving many AID officials in the process of developing ideas, through

interviews and acknowledgment of their ideas, and involving many people in the review workshops, helped to strengthen the efforts. But, the participatory approach requires sustained leadership, and that was lacking in the ANE process. The political leaders within the ANE Bureau were not brought in at the appropriate time and the turmoil in the Bureau limited the usefulness of the strategy process within AID.

e) These strategy documents can be very useful documents, for wide audiences, and can be put into practice as official guidelines, if there is sufficient political commitment and interest by AID. The Center has done a great deal to make that a possibility.

NGO Support Services

NGO SUPPORT SERVICES

Project Summaries

- o Participatory Rural Appraisal (PRA) Handbook (April 1990)
- o From the Ground Up case studies in Latin America (1991 - 1993)
- o Production of "A Directory of Selected Environmental Education Materials" and "How to Plan an Environmental Education Program?" (Directory printed in 1988, How to Plan... printed in 1987 and reprinted in 1990)
- o Institutional Strengthening Workshop for Guatemalan NGOs (February 25 - 28, 1990)
- o Business Week -- NGO grant distribution (Fall 1990)
- o Small Grants (PWF: 10/1/88-9/30/90)
- o Participatory Rural Appraisal (PRA) Workshop in Ecuador (August 20 - 27, 1990)
- o Rapid Rural Appraisal Workshop in Washington, D.C. (April 9 - 13, 1990)
- o NGO-PVO/NRMS Project (FY88 - 90)
- o Workshop on the Management of Natural Resources in Small Farms (September 7 - 12, 1990)
- o Workshop on Environmental Impact Assessment, Bolivia (September 8 - 13, 1989)
- o Update of "The Job Seekers Guide to Opportunities in Natural Resource Management for the Developing World." (December 1986)
- o REDES Organizational Development Collaboration (Began May 1987)

Technical Assistance Summary

- o Technical Consultancy to USAID (October 5 - 22, 1987)
- o Support of grassroots participation in the TFAP in Ecuador (COMUNIDEC) (1989 - 1990)
- o LIDEMA organizational development (1986 - 1990)

Outreach/Papers/Key Participation

- o **Participatory Rural Appraisal paper presented in the AID sponsored conference on Rapid Low Cost Collection Methods, July 9-11, 1990**
- o **Facilitation of Central American Commission for Environment and Development (CCAD) Strategic Planning Meeting, May 14-16, 1990**

Case Studies

- o **Organizational Development of LIDEMA in Bolivia**
- o **The Adoption and Use of Participatory Rural Appraisal Techniques**
- o **Nongovernmental Organizations - Private Voluntary Organizations/ Natural Resources Management Support (NGO-PVO/NRMS) Project**

PROJECT SUMMARY

PROGRAM: NGO Support/Policy
CONTACT PERSON: Aaron Zazueta/Peter Veit
PROJECT TITLE: Participatory Rural Appraisal (PRA) Handbook
SOURCE: Pew Charitable Trust, Public Welfare Foundation, EPM
DURATION/YEAR: April 1990
LOCATION(S): Washington, D.C.

PURPOSE: The PRA Handbook was published to help disseminate an appraisal methodology called Participatory Rural Appraisal (PRA).

DESCRIPTION: PRA assumes that popular participation is a basic ingredient in project planning; that locally maintained technologies as well as sustainable economic, political, and ecological systems of growth are fundamental to reverse developing country environmental degradation; and that truly sustainable development initiatives incorporate approaches that communities themselves can manage and control. The handbook was prepared jointly by the National Environment Secretariat of the Ministry of Environment and Natural Resources in Kenya, Egerton University in Njoro, Kenya, Clark University in Worcester, Massachusetts, and the Center for International Development and Environment of the World Resources Institute in Washington, D.C. All 4 organizations are involved in testing and training of this methodology, most of them in Africa but WRI in Latin America as well.

PRA is a "systematic yet semi-structured activity carried out in the field by a multidisciplinary team and designed to acquire quickly new information on and new hypotheses for rural development." PRA helps communities mobilize their human and natural resources to define problems, consider previous successes, rank options in priority order, and devise a systematic plan of action, if needed. The tools in PRA can also be used to help national and regional planning efforts to ensure they meet local needs.

PRODUCTS: 3,000 copies of the PRA Handbook.

MAIN RESULTS: The Handbook has been used to support several workshops in Africa, Latin America and North America, relating to PRA Training, and has been sent out to almost 2,500 different government agencies and NGOs working in community development/environment issues.

CURRENT STATUS: The demand for the Handbook has been very high; it is almost out of print and will possibly be reprinted in 1991.

FOLLOW-UP: A companion manual, providing specific guidance on conducting a PRA training workshop, will come out this year.

WRI has conducted PRA training workshops in Latin America, Africa and North America, seeking to build PRA training capabilities among NGOs and self-help groups.

COMMENT: The PRA methodology, and other forms of incorporating popular participation into environment/development planning, are an integral part of the work of the NGO Program, and the Handbook is the first in a series on methods of building NGO strengths for NRM.

PROJECT SUMMARY

PROGRAM: Policy Program
CONTACT PERSON: Aaron Zazueta, Peter Veit
PROJECT TITLE: From the Ground Up case studies in Latin America
SOURCE: Public Welfare Foundation, Pew Charitable Trust, EPM
DURATION/YEAR: 1991-1993
LOCATION(S): Mexico, Guatemala, Ecuador, Bolivia, Peru

PURPOSE: The purpose of these studies is: to better understand local natural resources management and to disseminate policy options derived from grassroots management of natural resources, for use in national, regional, and international development policy making; and to strengthen the role of indigenous and other nongovernmental groups in the management of natural resources.

DESCRIPTION: The NGO Support Program works in conjunction with other WRI programs to identify NGOs and grassroots groups that have achieved community-level success in NRM. NGO Support works with interested groups to study their NRM practices and to document the basic reasons behind their successes. WRI provides small grants and technical assistance to help local groups produce a document that describes and explains NRM practices through group discussions and internal reflection. WRI will review the drafts and assist partner NGOs in final production and dissemination.

PRODUCTS: Two sets of studies, incorporating 5 or so independent case studies each, will be produced, focusing on: policy options to strengthen the role of indigenous groups in NRM in the region; and policy options to strengthen the roles of marginalized populations in the improvement of degraded urban environments.

MAIN RESULTS: The case studies will foster group awareness among local NGOs of their abilities and importance. The policy options presented will give governments and development assistance agencies specific actions to follow.

CURRENT STATUS: We have begun 2 independent studies on the appropriate roles of indigenous communities in NRM and policy in Mexico. The first draft of one is due in September, 1991.

FOLLOW-UP: WRI will organize regional fora and workshops to discuss the findings and recommendations of the studies with other NGOs, policy makers and development assistance agency staff. WRI will seek to frame these discussions within the context of regional or national policy programs such as a TFAP, Environmental Action Plan, etc. At the end of the three-year project, we will produce and distribute two summary publications outlining the common elements among the different studies and proposing action-oriented recommendations for development assistance officials.

COMMENT: This project is a core part of the NGO Program. It incorporates the services provided by the NGO Support Services Program, the policy analysis focus of the NGO Policy Impact Program, long-range NGO relationships in the Forestry and Land Use Program, interests of WRI's Publications Department, and other aspects of WRI's work. In addition, the opportunities it provides to Latin American NGOs are unique in that they have the chance to reflect on and share their experiences and knowledge with their colleagues and government officials. 2/5/91

PROJECT SUMMARY

PROGRAM: NGO Support

CONTACT PERSON: Aaron Zazueta

PROJECT TITLE: Production of "A Directory of Selected Environmental Education Materials" and "How to Plan an Environmental Education Program?"

SOURCE: WRI

DURATION/YEAR: Directory printed in 1988, How to Plan... printed in 1987 and reprinted in 1990.

LOCATION: Washington, D.C.

PURPOSE: The purpose of these publications is to help natural resource managers and NGOs to develop education programs that address local needs and that are appropriate for specific ecological and cultural settings.

DESCRIPTION: Each year WRI and the United States Fish and Wildlife Service receive requests for assistance from organizations that may be undertaking conservation initiatives for the first time, and the only resources they have available are materials produced for countries other than their own. These publications were cooperatively prepared to respond to these requests, with funds from IIED- North America and the Office of International Affairs of the United States Fish and Wildlife Service. They were released simultaneously in English and Spanish and were sent to organizations and individuals in more than 43 countries world wide. The Directory is intended to be a companion guide to How to Plan a Conservation Education Program. While the first publication provides a framework for planning a conservation education program, the directory offers selected references for programs or materials that have already been produced. Without trying to provide a comprehensive guide to existing materials, the directory provides information of readily available materials which may be used by those planning education programs.

PRODUCTS AND MAIN RESULTS: We reprinted 4,000 copies of the English How to plan a Conservation Education Program, and 3,000 copies of the Spanish in 1990. The two publications provide our colleagues with practical tools for the development of conservation education programs.

CURRENT STATUS AND FOLLOW-UP: In response to the high demand for the manual, the first publication was reprinted in 1990. Also, in January of 1988, the Yayasan Indonesia Hijau organization wrote to IIED requesting funding to adapt and translate How to Plan a Conservation Education Program to Indonesian culture and language. YIH wants to begin translating and publishing practical guides to conservation education activities. We were able to favorably answer their request, and have offered them funds to adapt, translate and distribute the book, to hold a

small conference on environmental education, to print a small brochure of their materials, and to meet with selected businesses to discuss the possibility of additional financial support. The SVITA Foundation in Thailand also requested funds to translate this publication into Thai language. IIED was a co-sponsor of this effort as the Department of Non-Formal Education in Thailand has offered to donate paper for the publication.

PROJECT SUMMARY

PROGRAM: NGO Support
CONTACT PERSON: Aaron Zazueta
PROJECT TITLE: Institutional Strengthening Workshop for Guatemalan NGOs
SOURCE: Public Welfare Foundation, Pew Charitable Trust, EPM Buy-In.
DURATION/YEAR: February 25 - 28, 1990
LOCATION(S): Antigua, Guatemala

PURPOSE: The purpose of this workshop was to train members of Guatemala's environmental community in proposal writing and strategic planning.

DESCRIPTION: This workshop was requested by Guatemalan environment organizations via AID/Guatemala, who funded the project. Loren Finnell of the Resource Foundation, and Beth Floyd, consultant to WRI, organized and ran the workshop, which was attended by 31 representatives of 24 different Guatemalan institutions. Primary activities included a self-analysis by each participant of the status, goals, strengths and weaknesses of his/her agency. This led into their preparation of a clear statement of purpose for an institution. The participants carefully reviewed the elements of a fundraising process, and went on to prepare a sample internal workplan and fundraising proposal.

Finally, issues such as project evaluation, organizational structure, and inter-institutional coordination were covered by workshop leaders, and several participants shared their own experiences in fundraising. Overall, the workshop developed in an interactive, participatory learning process; organizational representatives discussed issues together in a "hands on" environment.

FOLLOW-UP & PRODUCTS: The follow-up of this project was carefully planned beforehand. Participants were asked to write a proposal applying lessons from the workshop. One-third of the participants submitted proposals for review by Loren Finnell; they could then submit them to a funding agency. Participants also agreed to start a newsletter to keep themselves and other Guatemalan environmentalists updated on relevant news.

MAIN RESULTS & COMMENT: The workshop contributed to the process of strengthening the Guatemalan environmental movement by building ties between and among the nongovernmental and governmental sectors. In addition, the event built on the knowledge acquired during the three days by soliciting proposals for comment after its conclusion.

CURRENT STATUS: All submitted proposals were reviewed and returned. The project has been completed. 2/27/91

PROJECT SUMMARY

PROGRAM: Center/NGO Support
CONTACT PERSON: Tom Fox, Kara Page
PROJECT TITLE: Business Week -- NGO grant distribution
SOURCE: Public Welfare Foundation, Pew Charitable Trust, EPM, McGraw-Hill
DURATION/YEAR: Fall 1990
LOCATION(S): Developing countries in Asia, Africa, Latin America and the USSR.

PURPOSE: The purpose of Business Week magazine's donation to WRI was to support the work of environment and development groups in developing countries, particularly on community agriculture, biodiversity and forestry.

DESCRIPTION: Business Week asked WRI to distribute \$125,000 in small grants to those developing country organizations doing outstanding work in environment/development issues. The NGO Support Program managed the distribution of these funds and in coordination with other WRI programs selected 20 NGOs in Latin America, Asia, the USSR, and Africa to receive funds. Examples include: the Integrated Family and Community Farming and Gardening Project in Perú, which received \$7,500 to aid dissemination of findings from its agroforestry project in abandoned pasture areas; the African Centre for Technology Studies in Kenya, which received \$7,500 to send a representative to the International NGO (Nongovernmental Organization) Forum on World Bank/IMF Lending, and to enhance ACTS' communications and publications program; and the Pesticide Action Network in Indonesia, which received \$5,500 to support its innovative program documenting community-based genetic resources conservation in the outer islands of Indonesia.

MAIN RESULTS & PRODUCTS: WRI designed 20 grants to go all over the globe. Some examples of the uses of these grants are: NEST in Nigeria will use the funds to research and document village level sustainable development; SIBAT in the Philippines will help small farmers preserve locally-known and -developed crop strains for food production; other groups will support their core program with the funds.

CURRENT STATUS: Nearly all 20 grants are completed. Several organizations are remotely located and difficult to contact, and have not confirmed their interest in the grants.

FOLLOW-UP: Some organizations selected are long-time collaborators of WRI, such as LIDEMA and ACTS. Their receipt of these grants will enhance the partnership built over time between WRI and themselves, by contributing to their institutional strength and legitimacy within their own country. Other groups

are new to WRI, but the funds provided by Business Week will allow them to commence projects, such as a case study on Indian-owned logging operations in Mexico, in cooperation with WRI's NGO Support Program. In other cases, this project was a one-time donation from Business Week magazine. No follow-up is envisioned for these groups. The organizations chosen for this project may in future receive some of WRI's publications.

COMMENT: Contributions such as this by the business community to environmental protection is a growing trend in the North, and WRI's new relationship with Business Week can help spread this trend in the South as well. This is also an example of how the Center can leverage funds from the private sector.

PROJECT SUMMARY

PROGRAM: Center for International Development and Environment/NGO Support

CONTACT PERSON: Aaron Zazueta

PROJECT TITLE: Small Grants

SOURCE: Public Welfare Foundation, Rockefeller, Morgan Guarantee, EPM, Pew, International Foundation

DURATION/YEAR: PWF: 10/1/88-9/30/90

LOCATION(S): Asia, Latin America, Africa

PURPOSE: Provide small immediate grants to developing country NGOs for specific needs.

DESCRIPTION: Small grants have been used by the NGO Support program to encourage developing country NGOs in: institutional development (via consultancies, visits to peer organizations in other countries, strategic planning sessions, and documentation of accomplishments); outreach (via case studies, videos, comic books, seminars, and workshops); networking (via the establishment of new umbrella organizations and collaborative training efforts); etc.

PRODUCTS: Sample products of this program are: a comic book explaining the forestry laws of Costa Rica; translation into Thai of "How to Plan a Conservation Education Program;" consultancies for strategic planning and fundraising assistance to Ecuador, Turkey, and Honduras; and studies of local and indigenous natural resource management practices in Thailand and Mexico.

MAIN RESULTS: Early in the program, small grants helped NGOs like LIDEMA, in Bolivia, get established and produce outputs (research, booklets, etc.) to build their reputation and program abilities. Recent developments in the program build on these relationships and strengths, and have focussed our use of small grants to building longer-term collaborative relationships between the NGO Program and all our developing-country partners. One example is a \$4,840 grant to CESE in Mexico to help ORCA, a grassroots federation of indigenous lake-dwellers trying to save the local ecosystem from destruction, to document their history and accomplishments. This grant will allow ORCA and CESE to reflect on their relationship, and to share their experiences with peer organizations in Mexico, and will also provide NGO Support Services with grassroots knowledge regarding community NRM. These lessons will be published to be shared with development practitioners interested in similar issues.

CURRENT STATUS: All PWF funds for the small grants have been designated. Proposals for future funding are being developed by program staff and by collaborating institutions.

FOLLOW-UP: Long-term relationships have been established with some recipients of small grants; these and others will continue.

COMMENT: We have found small grants to be a very effective tool in working with partner NGOs; in this process of building long-term relationships, grants do not themselves form the basis of the relationship, they enhance our collaborative efforts by

helping our partner groups meet some costs of the projects we undertake together. Another \$125,000 in funds from Business Week magazine were processed in Fall 1990. Details on these small pass-through grants are found in the final status report to Business Week, dated 2/8/91.

PROJECT SUMMARY

PROGRAM: NGO Support in collaboration with Forestry and Land Use.

CONTACT PERSON: Aaron Zazueta and Bruce Cabarle

PROJECT TITLE: Participatory Rural Appraisal (PRA) Workshop in Ecuador

SOURCE: Pew Charitable Trust, EPM, Public Welfare Foundation

DURATION/YEAR: August 20-27, 1990

LOCATION(S): Esmeraldas province, Ecuador

PURPOSE: This workshop had two complementary purposes. One was to train COMUNIDEC STAFF in PRA, a participatory method of diagnosis and planning of development activities, and the second purpose was to conduct a PRA that would identify key activity areas to include in a project proposal to be submitted to founders within the context of the PAFE and to strengthen COMUNIDEC'S ability to contribute to the formulation of projects that advance the work that has been accomplished with the PAFE profiles.

DESCRIPTION: This workshop lasted for seven days and took place in the Comuna Rio Cayapas in Santiago, which was formed by descendants of runaway slaves. Five local leaders, five representatives of local NGOs of which three were from COMUNIDEC, and two WRI facilitators participated in this workshop. It was partly financed by a small grant from the NGO Support Services. It focused on the identification of sustainable economic activities that would protect the forest from excessive logging and the spread of cattle raising. During this workshop, COMUNIDEC staff evaluated and modified PRA to apply it to other zones in Ecuador. The technique of PRA is done because it is an efficient, low cost, method that integrates local peoples views and knowledge in the search for solutions to local development problems. It is also an educative process that utilizes and unifies different levels of knowledge.

MAIN RESULTS AND PRODUCTS: All persons that participated, developed a command of all PRA tools and diagrams used. The PRA team identified a set of problems, resources and lines of activities to improve agroforestry activities. These activities have been integrated into the projects that have been submitted to the PAFE.

FOLLOW-UP: As follow up to this workshop, COMUNIDEC has requested assistance to conduct a second PRA in the Amazon's Basin to further define forest resource management activities for the project submitted for these areas. In this follow up, PRA provided partial funding to COMUNIDEC plus assistance in the running of the PRA exercise. This second workshop was facilitated by COMUNIDEC.

COMMENT: This particular workshop was unique in so far as it integrated local people into the PRA team. This permitted an in depth dialogue between outsiders and locals during analysis, problem definition and identification of solutions to local problems. 2/14/91

PROJECT SUMMARY

PROGRAM: NGO Support

CONTACT PERSON: Aaron Zazueta and Peter Veit

PROJECT TITLE: Rapid Rural Appraisal Workshop in Washington, D.C.

SOURCE: EPM

DURATION/YEAR: Apr. 9-13, 1990

LOCATION(S): Washington, D.C.

PURPOSE: The purpose of the workshop was to introduce staff of the Biodiversity Consortium (WRI, World Wildlife Fund, and the Nature Conservancy), and other interested agencies, to the concepts and methods of assessing communities' needs and knowledge using Rapid Rural Appraisal (RRA).

DESCRIPTION: The workshop was co-led by Jules Pretty and Jennifer McCracken, of the International Institute for Environment and Development in London, and Aaron Zazueta and Peter Veit of the World Resources Institute. The first day was devoted to introducing the methodology and discussing what tools it included. Two techniques, preference ranking and interviewing, were tested with the participation of the group. The second day, the participants did a PRA simulation, using information from texts, video and slides of a similar appraisal done by the Aga Khan Foundation in a village in Pakistan. On the third day, again in two groups, the participants developed lists of options available to each community, and assessed the positive and negative aspects of each option. From these discussions the two groups developed outlines of a village resource management plan. On the fourth day, FGU Manager Peter Veit gave a presentation on Participatory Rural Appraisal and how it is connected with WRI's work on From the Ground Up (FGU). The last day covered related topics, comparing "good" and "bad" practices, a few other applications of RRA, logistics, and an evaluation of the workshop.

MAIN RESULTS: Participants expressed a sense of satisfaction with what they took from the workshop; although some present had used similar techniques before, few had structured their methods into a system such as RRA or PRA. Thus, they gained not only from the new techniques and ideas, but also by the interchange with other participants, the variety of experience present, and the simulation of a rapid rural appraisal.

CURRENT STATUS AND FOLLOW UP: This workshop led to a collaboration within the context of the biodiversity consortium between the Center and the World Wildlife Fund in PRA training in Mexico.

COMMENT: Participants suggested that the workshop be carried out in a field context, such as a farming community, in which RRA/PRA tools could actually be applied. We have integrated this suggestion in our PRA activities.

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Kirk Talbott, Peter Veit, Aaron Zazueta
PROJECT TITLE: NGO-PVO/NRMS Project
SOURCE: EPM
DURATION/YEAR: FY 88-90
LOCATION(S): Target countries: Mali, Cameroon, Uganda, Madagascar

PURPOSE: The objective of the PVO/NGO component of the NRMS Project is to provide a range of technical and training services to U.S. and indigenous groups engaged in natural resource management in sub-Saharan Africa.

DESCRIPTION: Phase A identified U.S. PVOs involved in NRM activities in the Plan priority countries. It drew upon the information gathered during the NRMS Project design stage. Phase B gathered detailed information about activities, institutional and technical abilities and needs of U.S. and African environmental NGOs in sub-Saharan Africa. Phase B led into the development of a mechanism for disbursing project funds to those groups for institutional strengthening and technical assistance. This phase included extensive field visits to East and West Africa by IIED and AID staff. A recent example of WRI's involvement includes the organization of a PRA training workshop at Egerton University in Kenya, contributions to a regional workshop on buffer zone management in Uganda, and a coming presentation on buffer zones for a collaboration with the Land Tenure Center at the University of Wisconsin.

PRODUCTS & MAIN RESULTS: Country coordinators were hired and a consortium of NGOs established to maintain the project; these included: the Experiment in International Living, CARE, and the World Wildlife Fund. It ensured that ongoing support would be provided to NGOs requiring information and technical assistance in NRM in sub-Saharan Africa via AID's Africa Bureau.

CURRENT STATUS: Target country programs are evolving according to the priorities, set in-country by environmental NGOs, for training, technical assistance and information support activities. Grants for regional project activities recently implemented include: a NRM training course (KENGO), work on tri-national reserve assessment in CAR/Congo/Cameroon (WWF/WCI/EIL, women in NRM workshops (FSP and consultants), etc.

FOLLOW-UP: Activities planned through September 1991 include: pastoral sector assessment in East and West Africa (IIED), a workshop on farmer/research center collaborative efforts in NRM (Winrock et al.), and case studies of the evolution of PVO-NGO/NRMS in the target countries (WWF and consultants).

COMMENT: WRI's Center helped in the design and participatory nature of this project, and has maintained an active involvement since its initial contribution was completed. For example, its organization of the PRA workshop at Egerton University was supported by and has spurred PVO-NGO/NRMS project activities in PRA in other countries. This collaboration is representative of

the strengths WRI brings to the incorporation of nongovernmental sector views into NRM.

PROJECT SUMMARY

PROGRAM: NGO Support in collaboration with Forestry and Land Use
CONTACT PERSON: Aaron Zazueta and Bruce Cabarle
PROJECT TITLE: Workshop on the Management of Natural Resources in Small Farms
SOURCE: Pew Charitable Trust, Public Welfare Foundation, EPM, ASINDES
DURATION/YEAR: September 7-12, 1990
LOCATION(S): Mixco, Antigua, Guatemala

PURPOSE: There were two purposes to the workshop: to introduce participating NGOs to principles and techniques of Participatory Rural Appraisal (PRA), as applied to the diagnosis of water, soil and pest management problems; and to test a simple method for adapting PRA tools and principles to specific topics in which workshop participants have little technical knowledge.

DESCRIPTION: The workshop was sponsored by WRI and ASINDES with the collaboration of CATIE and World Neighbors. It was held at the Hotel San Rafael Las Ortencias, the experimental farm and workshop facilities of the Institute for the Social and Economic Development of Central America (IDESAC). There were 20 participants in the workshop, most of them field extensionists in ASINDES' member groups. The workshop was organized to engage participants through an active learning process. It included conferences, group discussions, small group discussions, analysis of teaching cases, field exercises and brainstorming. For example, the second section of the workshop took the technical agroecological information from the first two days, taught participants key PRA principles, and had them apply three PRA tools (transect, farm sketch and institutional diagram) to the diagnosis of local management of water, soil and pests.

PRODUCTS & MAIN RESULTS: Twenty NGO representatives were introduced to key concepts and tools for environmental assessment of water, soil and pest management practices and were introduced to PRA's methodological principles and three of its data gathering and analysis tools (transect, farm sketch and institutional diagram). ASINDES developed a precise sense of its potential in natural resource management (NRM).

CURRENT STATUS & FOLLOW-UP: NGOs that participated in the workshop have formed a committee to coordinate work and exchange experiences. One of the issues NGOs are particularly interested in, on which they have asked WRI for further support, is on formulation of guidelines to assess environmental impacts of agricultural projects. ASINDES has requested WRI's assistance on the development of its training and technical backstopping capacities in PRA and other NRM issues. We have agreed to provide support to a follow up PRA that will integrate a wider range of tools. This exercise has been planned for May 1992.

COMMENT: Prior to the workshop ASINDES had expressed interested in NRM, but its staff did not have a clear idea of what NRM was, or how to do it. During the workshop ASINDES' staff began to realize how they could catalyze their member groups to use PRA

and ecological technical training in their development work in Guatemala. The NGO Support Program will continue its collaboration with ASINDES in this vein.

2/27/91

PROJECT SUMMARY

PROGRAM: NGO Program in collaboration with Forestry and Land use.
CONTACT PERSON: Aaron Zazueta, Bruce Cabarle
PROJECT TITLE: Workshop on Environmental Impact Assessment, Bolivia
SOURCE: Pew Charitable Trust, EPM
DURATION/YEAR: September 8-13, 1989
LOCATION: Buena Vista, Santa Cruz, Bolivia

PURPOSE: This workshop responded to the requests for training of Regional Development Corporations in Bolivia to assess the environmental impact of their activities.

DESCRIPTION: The principal objective was to introduce technical evaluators and development project supervisors to the consideration of environmental variables in the analysis of development projects. The workshop lasted five days and the following topics were covered: Introduction to ecology, Introduction to the environmental problem, The connection between development and environment, Economy of renewable natural resources, and Practices that were developed in work groups, conferences, and field trips. There were 27 participants in the workshop who were executives and technicians with academic training in economy/finance. Most participants were in decision making positions in the execution and financing of development projects.

MAIN RESULTS AND PRODUCTS: The workshop introduced 27 development practitioners to concepts and methods for the assessment of the environmental impact of projects. For example, the environmental impact of the construction of roads and bridges, and the cost/benefit relationship of projects in environmental terms. It generated discussions about ecological problems at a regional level, and prompted a positive change in attitude about the topic and a desire to incorporate environmental impact into the evaluation of development projects.

CURRENT STATUS AND FOLLOW UP: This initial workshop generated such demand among Bolivian NGOs and government agencies, that in less than a twelve month period LIDEMA led two additional workshops. During 1991, we will work with LIDEMA in the elaboration, and publication of a "Trainer's Manual for an Environmental Assessment Workshop" and in collaboration with LIDEMA we will run workshops and provide technical and financial support to collaborating NGOs in other countries interested in developing capacities to train NGOs in Environmental Impact Assessments.

PROJECT SUMMARY

PROGRAM: NGO Support

CONTACT PERSON: Aaron Zazueta

PROJECT TITLE: Update of "The Job Seekers Guide to Opportunities in Natural Resource Management for the Developing World."

SOURCE: Public Welfare Foundation, EPM

DURATION/YEAR: December, 1986

LOCATION(S): Washington, D.C.

PURPOSE: To create a resource for the increasing numbers of graduate students and experienced professionals who come to IIED looking for job opportunities and guidance, to identify organizations offering opportunities to work internationally in areas of natural resource and environmental management.

DESCRIPTION: This document was prepared by Gordon Foer, a graduate student at Tufts University who worked as an intern at the International Institute for Environment and Development during the summer of 1986. It is an updated and expanded version of a similar guide compiled in 1983 by Jennifer Sherwin through a cooperative effort between IIED and the Forestry Support Program, a joint U.S. Agency for International Development and U.S. Department of Agriculture program. Mr. Foer contacted approximately 175 organization, firms and government agencies. Each was sent a copy of a questionnaire and was asked to be as specific as possible in its response, particularly regarding their primary geographical and "technical" areas of employment and their minimum qualifications.

MAIN RESULTS: Many favorable comments were received from both employers and job seekers regarding the first edition of the Guide, evidencing a real need for such a resource.

CURRENT STATUS AND FOLLOW UP: The second edition was completed. Given the large number of directories of NGOs in developing countries which have appeared in recent years, we no longer feel it is necessary to publish this document.

PROJECT SUMMARY

PROGRAM: NGO Support
CONTACT PERSON: Aaron Zazueta
PROJECT TITLE: REDES Organizational Development Collaboration
SOURCE: Public Welfare Foundation, EPM, Pew Charitable Trust
DURATION/YEAR: Began May 1987
LOCATION: Central America

PURPOSE: The purpose of this collaboration is to form and strengthen a regional network of NGOs, to improve the administrative and financial management of NGOs, to facilitate the exchange of information among NGOs and to develop channels to make the regions NGOs more effective in the environmental policy dialogue.

DESCRIPTION: The project began in support of the initiatives of several NGOs in Central America. It involved a series of activities, including an assessments to identify the specific needs of the NGOs at the national level. Based on this, a series of national workshops were planned and implemented for basic skills training and exchange of experiences necessary for implementing the changes needed for institutional strengthening. The Central American countries, because of their geographic proximity and their common roots, share similar environmental/economic problems, making it advisable and necessary to strive for integrated, region-wide solutions. By joining a network such as REDES-C.A., the NGOs of the area can promote a useful exchange of experiences, so as to make it possible for them to work together nationally, regionally, and internationally. The Board of Directors has seven members, each of whom represents one NGO from one of the seven member countries, which are, Belize, Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica, and Panama.

MAIN RESULTS AND PRODUCTS: In less than a year, REDES-C.A. had succeeded in consolidating a basic structure that enables it to carry out more participatory projects that involve the NGOs of the area. It has promoted non-governmental meetings to seek to combine local efforts, so as to set forth strategies to confront the main environmental problems of each nation. Effective channels of communication have been set up among the NGOs of the area for the implementation of joint programs, and three newsletters have been published, with valuable news and information on environmental organizations and initiatives in the member countries. In 1990, REDES was accepted as a permanent observer in the Central American Commission for Environment and Development (CCAD), thus establishing a mechanism for policy dialogue between the independent and public sector in Central America.

CURRENT STATUS: REDES-C.A. reached the third stage in its progress toward becoming an effective NGO network. The first was the formation of the network, the second was institutionalizing itself with regulations and defined goals, and the third was providing services to its members. The fourth stage, is the renovation of the leadership.

FOLLOW-UP: We will continue to advise REDES on its plans of action and to facilitate their participation in regional environmental planning through the CCAD.

TECHNICAL ASSISTANCE SUMMARY

PROGRAM: NGO Support
CONTACT PERSON: David Richards, Aaron Zazueta
PROJECT TITLE: Technical Consultancy to USAID
SOURCE: WRI
DURATION/YEAR: October 5-22, 1987
LOCATION(S): Bangkok, Thailand

PURPOSE: The purpose of this project was to provide technical support for the design of the institutional strengthening component of the proposed ManRes Project.

DESCRIPTION: The study focused on the potential role of environment and development NGOs in the ManRes Project. David Richards met with about 60 representatives of domestic and international NGOs. He learned that the community of these NGOs is small and fragile (about 150 development and 9 environment groups), but that there would be specific opportunities for AID to work with them through the ManRes Project. The study aimed at: determining the level of competence of Thai NGOs in NRM; identifying constraints to their participation in the ManRes Project; identifying program themes they could focus on in the project; suggesting how AID could provide project resources to Thai NGOs; and identifying key people to participate in the project's planning. The study also critiqued CIDA's work with Thai NGOs and notes that AID should learn from CIDA's experience.

PRODUCTS & MAIN RESULTS: The study documents the development of the two NGO types, their relationships with other relevant sectors of society, and the possible roles they could handle in the project. Development groups can help connect the issues of NRM and employment or livelihood at the community level; they emphasize community organizing skills in finding solutions to technical problems, such as small scale sustainable agriculture.

Environment groups can contribute through environmental education, issues campaigns, and finding new methods to practice sustainable development. The study mentions more specific themes Thai NGOs might take in the ManRes project, such as: television campaign spots, sustainable agriculture research, environmental health publications, fellows programs to encourage university staff to work with NGOs, small grants program.

TECHNICAL ASSISTANCE SUMMARY

PROGRAM: NGO Support in collaboration with Forestry and Land use
CONTACT PERSON: Bruce Cabarle, Aaron Zazueta
PROJECT TITLE: Support of grassroots participation in the TFAP in Ecuador (COMUNIDEC).
SOURCE: Pew Charitable Fund, Public Welfare Foundation, EPM
DURATION/YEAR: 1989-1990
LOCATION: Ecuador

PURPOSE: To support the participation of 80 grassroots groups in the Ecuadorian Tropical Forest Action Plan (PAFE).

DESCRIPTION: This project began in 1989. The NGO Support Project in close coordination with the Center's Forestry and Land use Program, has provided COMUNIDEC with technical advice on strategic planning and management, grantsmanship and training in Participatory Rural Appraisal. The objective is to strengthen COMUNIDEC'S capacities to assist local fishermen cooperatives, agricultural cooperatives, and indigenous federations in the elaboration of four proposals for sustainable forest management. These proposals have been endorsed by the government and incorporated into the National Forestry Action Plan.

PRODUCTS: The proposals will yield significant financial resources amounting to \$2 million to expand and develop new sustainable activities to meet the needs of forest dependent peoples in Ecuador. The proposals have been accepted for funding by the Netherlands, GTZ and IDB.

MAIN RESULTS: This project has demonstrated that forest dependent peoples can provide constructive alternatives to national problems, and become part of global environmental initiatives, when provided with the opportunity, appropriate technical support and international assistance. Furthermore, representatives of local groups have developed project negotiation skills. Also, the project has built COMUNIDEC'S capacity to train other groups in Participatory Rural Appraisal as a means to insure adequate local participation in project design and implementation, and COMUNIDEC has developed a program to support local groups in formulating and carrying out environmentally sound development projects.

CURRENT STATUS AND FOLLOW UP: The FAO sponsored "Participatory Forestry Development in the Andes" has committed funding for one of the projects, and requested COMUNIDEC'S continued role in this process. Over the next year we will continue providing technical backstopping to COMUNIDEC on participatory planning methods, and helping them to strengthen their administrative and planning capacity. Additionally, we will carefully document this exceptional collaboration between local groups, NGOs, the government and international donors for wide dissemination.

COMMENT: It is through long term relationships such as this one, the joint production of quality outputs and an ongoing participation in policy fora that we can help our partners build their skills to present information and build consensus among stateholders, thus becoming effective contributors to the

environmental policy dialogue and practical solutions to the environmental challenge.

TECHNICAL ASSISTANCE SUMMARY

PROGRAM: NGO Support in collaboration with Forestry and Land Use
CONTACT PERSON: Aaron Zazueta
PROJECT TITLE: LIDEMA organizational development
SOURCE: Public Welfare Foundation, Pew Charitable Trust, EPM
DURATION/YEAR: 1986-1990
LOCATION: Bolivia

PURPOSE: To assist Bolivian NGOs in the formation and development of an umbrella NGO which will strengthen Bolivian NGOs capacities to address environment and development issues.

DESCRIPTION: From 1985 to 1987, the NGO Support Services program provided a series of consultancies and grants to help a group of Bolivian NGOs form the Bolivian League of Environmental Organizations. Subsequently, from 1986 to 1989, we worked with LIDEMA helping to strengthen its organizational structure, strategic planning and fundraising capacities. In 1987, IIED and LIDEMA co-sponsored, in La Paz, a four day workshop on fundraising and other income generation activities for NGOs. During 1987 and 1988 IIED continued to assist LIDEMA by providing them with a \$20,000 grant to strengthen its long term planning and organizational structure during this time. LIDEMA participated in planning activities with national level governments and NGOs and an assessment and ranking of Bolivia's environmental problems and the NGO communities ability to assess these problems. During 1989, the Center collaborated with LIDEMA in the elaboration of an Environmental Impact Assessment Workshop for the PL 480 program and Bolivian officials. This workshop trained 27 project managers and administrators in simple techniques for assessing the environmental impact of projects. Since then, LIDEMA has been contracted to lead two additional workshops in this area.

PRODUCTS AND MAIN RESULTS: Our assistance to LIDEMA resulted in its transformation from an organization whose focus was largely on the dispensing of PL 480 funds, to an organization that is well known for its knowledge and contributions to natural resources management in Bolivia. LIDEMA has been contracted to provide training services and consultancies in natural resource management by a variety of organizations including: the Bolivian Government, NGOs in Bolivia, as well as international assistance organizations such as the World Wildlife Fund, Conservation International, National Geographic, and the World Bank. In general, this collaboration is serving to increase capabilities among the member organizations, as well as within LIDEMA secretariat in fundraising, training and NRM, and to enable LIDEMA to effectively contribute to the environmental policy dialogue in Bolivia.

CURRENT STATUS: Recently, the Ministry of Agriculture has requested LIDEMA's assistance in the integration of independent sector organizations in the development of Bolivia's Environmental Action Plan. Thus, we will continue to work closely with LIDEMA through the EPM Program, over the next two years. Also, the NGO Support Program has begun a long term collaboration to further strengthen the Bolivian independent sector's ability

to promote better NRM and to effectively engage in the EAP. We will also request LIDEMA's assistance in our activities in other Latin American countries by helping us to train NGOs in the methods they have developed.2/14/91



OUTREACH/PAPERS/KEY PARTICIPATION

Participatory Rural Appraisal paper presented in the AID sponsored conference on Rapid Low Cost Collection Methods, July 9-11, 1990

The objective of this conference, held in Washington, D.C., was to examine and review in depth, a set of rapid, low cost methodological approaches to data collection and analysis for project and program design, implementation, monitoring and evaluation; to provide training to a core group of professionals from AID, PVOs, contracting firms and host governments in the use of these methods; and to generate training materials that can be used by interested AID missions and PVOs for training their staff in conducting studies based on rapid, low cost data collection methods. The participants included AID managers, staff of PVOs, contractors, host country officials, experts, and representatives of International Donor Agencies.

Aaron Zazueta gave a paper and lead a discussion in this conference on Participatory Rural Appraisal. The topics covered included: site selection; composition of the PRA team; preliminary visits to the site; community review; planning meetings; gathering secondary data about the site; and field data which includes sketch maps, transects, and farm sketches; time-related data; social data such as farm household interviews and institutions; and technical data. He also covered the organization of problems and opportunities, the creating of village Resource Management Plans, and follow-up.

OUTREACH/PAPERS/KEY PARTICIPATION

Facilitation of Central American Commission for Environment and Development (CCAD) Strategic Planning Meeting, May 14-16, 1990

The purpose of this meeting was to develop a structure for the secretariat of the CCAD; to outline theme areas of priority for the CCAD's involvement; and to develop a first-year action plan for CCAD. CCAD delegates from four Central American countries attended the meeting, which was funded by AID as part of a buy-in from ROCAP. In three days of intense work CCAD delegates defined a structure for CCAD's secretariat, identified its priority areas for action and developed an activity plan for the following year. One of the commitments made by the secretariat was to include the participation of nongovernmental sector in their planning processes. In fact at the meeting of the CCAD in El Salvador later that year, REDES was invited to become a permanent observer at CCAD meetings. The follow-up will be to develop a CCAD brochure.

CASE STUDY:

Organizational Development of LIDEMA in Bolivia

Our main goal in our work with LIDEMA has been to establish an NGO that provides independent research and services that make important contributions to the environmental policy dialogue in Bolivia, and that promotes the protection and improvement of Bolivia's natural and environmental resources. In the six years we have been working with Bolivian NGOs to attain this goal we have provided a variety of consultancies and grants to strengthen LIDEMA's administrative, planning and income generation capacities. In addition, we have worked jointly with LIDEMA on specific projects such as the elaboration and implementation of workshops for its member organizations and other organizations in Bolivia. This joint implementation of projects has been important because while on one hand we helped build LIDEMA's technical capacity, on the other hand we helped build LIDEMA's credibility in the eyes of the Bolivian Government, local NGOs and the international development assistance community.

Background Information:

The Center's work with Bolivian NGOs dates back to two consultancies from the EPM program in 1984 and 1985, to assist AID/Bolivia in assessing the potential of Bolivian environmental NGOs in addressing some of the challenges identified in this country's environmental profile. This assessment concluded that Bolivian NGO's were diverse in their program orientations and institutional capabilities, and that with the proper support, NGOs could provide important contributions towards the solution of Bolivia's environmental problems. The study identified as the major limiting factor a severe shortage of funds and recommended that AID/Bolivia support NGOs by providing funds for both institution strengthening and program operations.

Following up on IIEDs recommendation, LIDEMA was created in 1985 by seven Bolivian NGOs. During its first years of operation, LIDEMA functioned primarily as a mechanism through which to channel PL 480 grants to meet the financial and institutional development needs of LIDEMA's member organizations. By late 1986, LIDEMA had expanded its membership to eleven organizations and functioned to coordinate activities between the member NGOs.

In spite of these significant accomplishments, an independent evaluation, contracted by AID in early 1987, identified three sets of issues that, if not addressed, threatened to endanger LIDEMA'S long term existence and goals. These issues were: (1) leadership and organizational problems including a lack of precise institutional objectives, excessive centralization of decision making in the board of directors and unclear administrative procedures; (2) the excessive reliance on PL 480 for funds; and (3) conflict between LIDEMA's role as a service provider to its member organizations and its long term goal to become a national leader in environmental issues.

Leadership and organizational issues:

At this critical time in the relations between LIDEMA and AID/Bolivia, IIED once again stepped in and assisted LIDEMA in organizing proposals submitted to PL 480 in the context of a long range institutional strategy. This consultancy helped bridge a difficult period in the relations between AID/Bolivia and LIDEMA, but most importantly it was followed by a long term collaboration, financed from IIED's private funds, to directly address the concerns that had emerged from the AID/Bolivia sponsored evaluation.

In September of 1987, LIDEMA and IIED cosponsored a grantsmanship workshop in La Paz for LIDEMA and its member organizations. The workshop, carried out by Latin American consultants, provided participants with an introduction to fund raising and income generation activities for NGOs. Participants began to explore in-country income generating activities for their organizations and most importantly, LIDEMA members defined the internal institutional issues to be addressed prior to approaching donors.

During the remainder of 1987 and 1988, IIED continued to assist LIDEMA by providing a US \$20,000 grant, and a series of consultancies, to develop and carry out a program to strengthen LIDEMA's long term planning and organizational structure. As part of this process LIDEMA participated in planning activities with governments and NGOs at the national level, and went through a set of internal long range planning exercises, which included an assessment and ranking of the nation's environmental problems and assessment of the capabilities of the NGO community to assess these problems.

LIDEMA's most significant step towards its transformation was the decision of the board of directors to delegate all operational matters to a new Executive Director with strong leadership skills that could draw on the strengths of member organizations. Under its new director LIDEMA reviewed its goals and objectives and defined three major operational areas: 1) Training and technical assistance, which included short courses, seminars and consultancies on natural resource management. 2) Projects, which included operational and applied research on natural resource management including issues such as regional resource planning and environmental impact assessment, and 3) The elaboration of guidelines and manuals.

Additionally, clear administrative guidelines were developed that directly addressed some of the concerns of member organizations. Particular care was placed at clarifying the grant making process of PL 480 funds. This had been a source of friction within the member organizations. The issue was cleared by developing, in consultation with AID and LIDEMA member organizations, the criteria for the submission, and review and reporting requirements for PL 480 grants.

LIDEMA's dependence on PL 480 funds:

Since it was formed LIDEMA has depended heavily on PL 480 funds to finance its operations. This was seen as a weakness by AID/Bolivia and IIED because, unless LIDEMA diversified its income sources, LIDEMA would only continue operating as long as PL 480

funds were available. The workshop held in September 1987, helped develop an innovative approach service for a fee income generation approach. One example of these innovative activities is the Environmental Impact Assessment Workshop for PL 480 officials in Bolivia. This workshop, held in September 1989 and cosponsored by LIDEMA, PNUD, PL-480 and WRI, trained 27 project managers and administrators from Regional Development Corporations, PL 480, NGOs, and staff from the Ministry of Agriculture on simple techniques for assessing the environmental impacts of projects. This workshop, which was jointly planned and conducted by LIDEMA and WRI staff, established LIDEMA as an NGO competent in environmental matters in Bolivia. Since September 1989, LIDEMA has been contracted to carry on two additional workshops on this same topic, in response to requests from NGOs and Government organizations.

LIDEMA is increasingly using PL 480 funds to provide training and conduct applied research to be useful for other organizations. In this way, LIDEMA, by drawing on the expertise of its member organizations, is quickly becoming an important resource to assist AID/Bolivia, Bolivia's PL 480 program, the Bolivian Government and other groups interested in improving planning for natural resource management. In addition to the training and services for local organizations, LIDEMA has performed services for a fee for a variety of organizations including: The National Geographic Society, Conservation International, PL 480, Catholic Social Relief and others. Other sources of income include grants from WRI and World Wildlife Fund.

Even though important steps have been taken to reduce the dependence on funding from PL 480 funds, most of LIDEMA's income continues to come from this one source. LIDEMA is well aware that diversification of funding sources is key for its survival and it is continuing to market its services while cultivating relations with potential international donors.

Conflicts between LIDEMA's orientation to provide services to member organizations and the organization's goal to be a key organization in environmental issues in Bolivia:

LIDEMA's initial dominant role as a mechanism to channel PL 480 funds to member organizations provided powerful incentives for NGOs to join LIDEMA, but in the long run this dominant role limited LIDEMA's ability to become a national leader in environmental issues. For three years the number of member organizations remained fairly small (eleven). Moreover, these organizations were all based in La Paz, did not have sufficient expertise on, nor did they represent different regions in Bolivia. Furthermore, LIDEMA and its member organizations had little interactions with other NGOs and NGO networks in Bolivia.

This isolationist attitude backfired in 1988, when assisting Conservation International in a debt for nature swap, journalists and other opponents to the swap publicly attacked LIDEMA. Having placed little emphasis on outreach activities, LIDEMA was little known to the public, other NGOs or policy makers. LIDEMA did respond with a public education campaign that dissipated opposition and restored its public image. Nonetheless, LIDEMA and IIED

realized just how isolated LIDEMA was from other organizations and how limited its ability was to address major environmental policy issues.

To correct this situation, LIDEMA invited groups in various parts of Bolivia to join the organization and, in collaboration with television stations in Bolivia, produced and aired a series of programs on the environment and development. LIDEMA's efforts have paid off. Now it is well known by the government, the media and NGOs, and respected for its contributions and knowledge of environmental issues in Bolivia.

Conclusion: This process resulted in the gradual transformation of LIDEMA from an organization that functioned largely as a dispenser for PL 480 funds in 1986, to the most important independent sector environmental interlocutor in Bolivia by 1990. The Bolivian Government, AID/Bolivia and other national and international organizations now see LIDEMA as an important resource to help them address training needs, and resolve problems related to the management of natural resources.

As LIDEMA has evolved as an organization, so has the relationship between The Center and LIDEMA. We see LIDEMA as a colleague organization with a keen understanding of Bolivia's environmental and development problems, which we can count on to help us carry out our work. Most recently the Ministry of Agriculture, in consultation with the EPM Program, has requested LIDEMA's assistance in the integration of independent sector organizations in the development of Bolivia's Environmental Action Plan. Thus we anticipate to continue to work closely with LIDEMA through the EPM program, over the next two years.

NGO Support program has begun a long term collaboration to further strengthen the Bolivian independent sector's capacity to promote a better management of natural resources and to effectively engage NGOs and Grassroots groups in the elaboration of the EAP. LIDEMA will be our main collaborator in this project. The project will include the development of From the Ground Up case studies of successful grassroots initiatives in natural resource management, the development of handbooks and workshop guidelines for better environmental management, and the organization of fora and workshops to facilitate the environmental policy dialogue in Bolivia. Additionally, during the coming year, we will draw on LIDEMA's expertise to assist in our activities in other Latin American countries by helping us train collaborating NGOs in the workshops and methods LIDEMA has developed.

Three key lessons we have learned from our work with LIDEMA, which we are applying in similar collaborations in Guatemala, Ecuador and Mexico, are: 1) To select partners with strong leadership skills or seek to develop those skills early on in the collaborations 2) To listen carefully to the needs of partner NGOs but be assertive on the approaching problems as opportunities to move the organization ahead 3) If partner organizations are committed to becoming important figures in their countries environmental policy dialogue, considerable efforts and resources should be dedicated to developing the public standing and credibility of these organizations.

CASE STUDY:**THE ADOPTION AND USE OF PARTICIPATORY RURAL APPRAISAL TECHNIQUES**

The Nongovernmental Organizations' Support Services Program at the Center includes in its goals the development and dissemination of participatory methods and tools for improved natural resource management. The program identifies successful grassroots groups and NGOs in developing countries and establishes long-term partnerships to document and disseminate their methods in the form of manuals for the use of other organizations and individuals. In addition, the program helps build the capacity in-country to spread those methods in other developing countries. Participatory rural appraisal (PRA) is one of these methods.

PRA methodology:

PRA is a set of flexible information-gathering techniques used at the community level to articulate problems and opportunities for local natural resource management. The method uses many participatory techniques for analysis, including: diagrams and drawings (transects, farm sketches, and venn diagrams) to assess ecosystems, land use patterns, and local organizations; line and bar graphs to document trends and cycles; and brief analytical tables to assess and rank problems and opportunities.

Through the PRA process, community members themselves gather information and evaluate problems, opportunities and solutions inherent in their resource management strategies, usually developing site-specific action plans.

Development of PRA Tools:

The Center's NGO Policy Program adapted the PRA methodology to facilitate its efforts in horizontal dissemination of FROM THE GROUND UP (FGU) experiences in Africa. Working in cooperation with staff from Clark University in Massachusetts, and Kenya's National Environment Secretariat, FGU staff took tools from rapid rural appraisal (RRA), and emphasized the most participatory aspects to ensure that the final results were in line with villagers' needs and abilities.

PRA exercises have now been conducted in numerous communities in Africa, largely by individuals and institutions that learned the methodology through FGU and went on to adapt it to their own needs. For instance, in the three communities of Njoguini, Kabati and Gitero, in Kenya's Naro Moru location, researchers from Clark University and the National Environment Secretariat used PRA methods to help the communities define where to go next with their irrigation system.

In the spring of 1990, WRI's Center published and distributed 3,000 copies of its PRA Handbook to developing-country NGOs and governments, and development assistance organizations. The manual has been so popular that only nine months after its issue, it is out of print. Together with a group of Mexican NGOs, the Center is translating and adapting this manual for wider dissemination in Latin America.

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Building In-country Capacity:

A key element of our strategy to disseminate tools and methods developed by the program and its partners has been to build training and technical assistance capacity in developing countries. In Africa, Center staff have been working closely with Kenya's Egerton University to build that institution's ability to conduct training sessions for nongovernmental and private voluntary development workers in PRA. This method of training trainers will increase the efficiency with which PRA methods are used and disseminated.

In Latin America, the Center carried out PRA training exercises in Ecuador and Guatemala, and is beginning a PRA training program for Mexican NGOs in collaboration with the World Wildlife Fund. In this region our work focusses on training umbrella organizations with the capacity and interest in teaching their member groups how to adapt participatory methodologies to their own needs. For example, COMUNIDEC in Ecuador is a development organization that provides its constituency of 60 grassroots groups and NGOs with training in financial management and planning. In addition, COMUNIDEC is collaborating with the Center to train 80 indigenous groups in several natural resource management issues and to assist them in integrating their needs into national policy making processes, such as the Tropical Forestry Action Plan for Ecuador (PAFE). As part of this collaboration we have introduced COMUNIDEC and local grassroots groups to PRA as a tool by which local communities can articulate their needs to policy makers in a convincing way, using facts and consensus, and avoiding politically charged rhetoric. The Ecuadorian Ministry of Agriculture has found general proposals from several communities in which PRAs were done so impressive and useful that staff have incorporated them into the PAFE. And the underminister of Forestry has requested PRA training for ministry staff.

The Center is also working to build training capacity with ASINDES, Guatemala's largest NGO consortium. The Center held an introductory workshop in September 1990 to train ASINDES and its members on incorporating environmental principles into small-scale farming. ASINDES is committed to training its member groups in the use of PRA for two reasons: to bring the rural people into the process of sustainable development, and to engender plans by which these same people can eventually contribute to Guatemala's national TFAP process.

By the end of this calendar year, ASINDES and COMUNIDEC will likely be running their own PRA workshops. Member NGOs of both groups appreciate the value of PRA because they work cooperatively with local communities on development. These NGOs have requested further services and support from ASINDES and COMUNIDEC. The Center is assisting them in these efforts.

In addition to our work with developing country groups, the program has introduced PRA to development assistance organizations in the United States through workshops, conferences and special presentations on PRA held in Washington, D.C. Some of the participating institutions include USAID, Peace Corps, the Inter-

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American Development Bank, the Nature Conservancy, and the World Wildlife Fund.

Continuing use of participatory methodologies:

The Center's work in promoting PRA and in recognizing other such potentially powerful methods is a strong and continuing core of our work with NGOs. Future plans include building on ASINDES' and COMUNIDEC's in-country capacity for PRA training, spreading the methodology via other collaborating NGOs in Mexico and Bolivia, and working with international development/funding agencies to build the technical and training capacities of regional umbrella and other NGOs. We have, for example, been approached by the UN Food and Agriculture Organization in Ecuador to help incorporate PRA training into FAO's Andean Community Forestry Program. Such an undertaking would build NGO capacities across the Andes to help local people articulate their needs to improve the management of their forests.

The NGO Support Program will continue to work jointly with developing country NGOs in the elaboration, testing, and dissemination of tools and techniques for participatory natural resource management, such as PRA. We plan to publish and distribute manuals laying out these techniques, and to work closely with developing country NGOs to build in-country training and technical backstopping abilities in Latin America, Asia, and Africa.

CASE STUDY:**NONGOVERNMENTAL ORGANIZATIONS - PRIVATE VOLUNTARY ORGANIZATIONS/
NATURAL RESOURCES MANAGEMENT SUPPORT (NGO-PVO/NRMS) PROJECT**

African nongovernmental environmental organizations, both U.S. and indigenous groups, have strengths and weaknesses that can assist and be assisted by the development aid community. They often need technical assistance and training in issues surrounding natural resource management and community participation, but they also provide a critical role in community organization, grassroots networking, and independent development and environment activity. The Center's work with the NGO-PVO/NRMS Project has reinforced its commitment to the NGO sector in Africa and to helping the U.S. Agency for International Development become more effective in promoting environmentally sustainable development in Africa.

Background information:

In February 1987, the USAID Bureau for Africa published its sectoral strategy for natural resources management. This plan outlined the major environmental problems facing sub-Saharan Africa and the Bureau's response in promoting NRM to foster sustainable agricultural productivity in the region. The plan firmly states that the Bureau's efforts to improve NRM should address the fundamental causes of environmental degradation in Africa as well, namely population growth, economic stagnation and poverty, and declining per capita agricultural productivity.

As one means of implementing the plan, the Africa Bureau authorized the Natural Resources Management Support (NRMS) Project in August 1987. This project provides support services to enhance the capability of AID missions and PVOs/NGOs in designing and implementing natural resource programs. Such support services include:

- o technical assistance to missions to design and implement NRM programs, including country assessments and the role therein of PVOs/NGOs.
- o technical assistance to PVOs/NGOs, both U.S. and indigenous, in the design and implementation of NRM programs.
- o provision of NRM information to missions and PVOs/NGOs.
- o special studies and analyses of NR issues in sub-Saharan Africa.

In 1988, the Center's Kirk Talbott, along with two other team members experienced in NGO and African development issues, conducted a survey in selected African countries to gather information about activities, institutional expertise and needs, and the technical assistance priorities of the indigenous environmental African NGO community. The two general areas of inquiry were: organizational development needs relative to the planning, organizing, staffing, implementing, managing, and evaluation of NRMS projects; and technical skill development needs related to reversing or arresting soil erosion and soil fertility

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decline, vegetation loss or degradation, and declines in biological diversity. Another goal of the survey was to assess the NRM capabilities and experience of Africa office staff of US PVOs. Out of these survey results were developed the administrative and program mechanisms for the NRMS Project to provide technical and training services to the NGO/PVO sector.

The design suggested by Center staff addressed the need for the NRMS project to deliver assistance to Africa's environmental NGO community in a brief amount of time and with limited resources. Center staff outlined in their report project criteria such as: taking maximum advantage of existing institutions' capacities, of Africa resident technical personnel, and of existing NGO networks; and the report's authors noted that AID's role should include avoiding restrictive mission micro-management of in-country NRMS Project activities, and encouraging the missions' investment in PVO/NGO NRM planning. The expertise in NGO issues and development brought to this project design by the Center ensured that African and Africa-based U.S. environmental groups had significant opportunities to input to the design of this process.

Today the PVO-NGO/NRMS Project, its U.S. office housed at the World Wildlife Fund in Washington, DC, is managed by a consortium including WWF, the Experiment in International Living, and CARE. Country coordinators were hired to staff in-country offices in the four focus countries of Mali, Cameroon, Madagascar and Uganda. Target country programs are evolving according to the priorities, set in-country by environmental NGOs, for training, technical assistance and information support activities. Grants for regional project activities recently implemented include: a NRM training course (KENGO), work on tri-national reserve assessment in CAR/Congo/Cameroon (WWF/WCI/EIL, women in NRM workshops (FSP and consultants), etc. Activities planned through September 1991 include: pastoral sector assessment in East and West Africa (IIED), a workshop on farmer/research center collaborative efforts in NRM (Winrock et al.), and case studies of the evolution of PVO-NGO/NRMS in the target countries (WWF and consultants).

Conclusion:

WRI's Center played a key role in designing this project and structuring its participatory nature, and has maintained an active involvement since its initial contribution was completed. For example, the Center's NGO Policy Impact Program responded to the project's regional programming opportunity by proposing and implementing the Participatory Rural Appraisal workshop held in conjunction with: (and at) Egerton University, Clark University, and Manor House in Kenya. This workshop has served as a springboard for follow-up PVO-NGO/NRMS project activities in PRA in Cameroon and Uganda. The Center's work and experience with the PRA methodology and other participatory techniques is strengthening NRMS project services to its members through the incorporation of nongovernmental sector views into NRM.

And Center staff working through the EPM agreement in Africa are collaborating with NGO/PVO-NRMS Project staff on specific activities and to build on their respective advantages in working with USAID in Africa.

NGO Policy Impact Program

NGO POLICY IMPACT PROGRAM

Project Summaries

- o From the Ground Up/Policy Studies (Oct. 1990 - Sept. 1993)
- o From the Ground Up/Outreach (1989 -1993)
- o From the Ground Up/Burkina Faso (1989 - 1992)
- o From the Ground Up/Kenya (1987 - 1982)
- o From the Ground Up/Tanzania (1990 - 1992)
- o From the Ground Up/Ghana (1988 - 1992)
- o From the Ground Up/Uganda (1989 - 1991)
- o The Role of NGOs in Policy (1991 - 1993)
- o Preparation of NGO Policy Impact Proposal

Papers/Outreach/Key Participation

- o Forestry Policy Symposium/Ghana
- o InterAction/FAVDO Africa Partnership Project
- o DAC Primary Environmental Care Workshop/Italy

Technical Assistance Summaries

- o Environmental Action Plan/Ghana
- o Conference: Soil and Water Management for Sustainable Smallholder Development
- o International Development Conference, 1989

Case Studies

- o From the Ground Up Program (Africa and LAC)
- o FGU Phase II/Policies for Popular Participation

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Policy Studies
SOURCE: World Bank, USAID, Pew Charitable Trusts
DURATION/YEAR: October 1990 - September 1993
LOCATION(S): Uganda, Kenya, Tanzania, Ghana, and two other African nations to be determined

PURPOSE: To conduct policy studies to better understand the effects and effectiveness of national and subnational policy and legislation on sound natural resource management at the local-level. To share the research results, policy implications, and programming needs which emerge from the From the Ground Up policy studies with the increasingly receptive governments and the development assistance community, and increase their capacity to strengthen local management of natural resources in Africa.

DESCRIPTION: The policy studies will examine the goals and actual effects of national/subnational policy and legislation as implemented at the local level. The data collection will involve interviews, literature reviews, and fieldwork. The studies will evaluate the causes of the success or failure of public policy and legislation and propose ways in which national governments can strengthen the effective implementation of their programs, examine institutional capabilities for formulating and enforcing policy and legislation, and make recommendations which will enable governments, NGOs, and international organizations to be more effective in this area.

The policy studies will compliment the case study exercises already underway in six nations in sub-Saharan Africa. The focal countries will be selected based on their receptivity to natural resource and environment policy dialogue and formulation. Kenya, Uganda, Tanzania, and Ghana have already been selected, two additional countries will be determined. Each of the focal country programs will involve a set of workshops, including several sub-national workshops and one national conference to present and discuss the research results and recommendations.

PRODUCTS: At least three reports will emerge from the policy studies: a review and evaluation of the existing environmental policy/legislation at the national and subnational level (focus on 2-3 districts -- lowest level of political authority); an examination of the actual effects and effectiveness of public policy at the local-level; and a Policy Recommendations Paper will summarize the primary implications and recommendations that emerge from the policy studies (and the FGU case studies) regarding improved local-level natural resource management. In addition a series of in-country workshops will take place in the

six focal countries to review the results of these studies.

MAIN RESULTS: Greater recognition and better understanding by governments and the development assistance community of the primary effects and effectiveness of public policy on community-level natural resource management. Specific policy exercises by the governments that lead to improved natural resource management through greater involvement and participation of resource users.

CURRENT STATUS: The policy studies have been launched by the Institute of Environment and Natural Resources, Makerere University, in Uganda. A survey of the national environmental policy and legislation has been completed and a questionnaire has been administered in nine parishes throughout the country. The district-level surveys will be launched in February/March 1991. Discussions have been held in Kenya and Tanzania regarding the preparation of similar studies.

FOLLOW-UP: To continue working with governments, donors, and NGO/PVOs in the focal countries to promote policy reforms that will stimulate the replication of local success stories and to assist them to formulate policies that lead to local participation and sound natural resource management. To disseminate the research approach and results to other nations in sub-Saharan Africa.

COMMENT: The policy studies will compliment and strengthen the case studies that are being prepared in the FGU program and provide information necessary to making policy/programming recommendations that will improve natural resource management through greater involvement of the resource users. The Uganda effort is a pilot study, if effective it will be duplicated in other nations.

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Outreach
SOURCE: EPM, Pew Charitable Trusts, World Bank, PACT, Kundstadter Foundation, NORAD, Ford Foundation
DURATION/YEAR: 1989-93
LOCATION(S): Global

PURPOSE: To share the research results, policy implications, and programming needs which emerge from the From the Ground Up case study exercises with public policy makers and/the development assistance community, and increase the capacity of local, national, and international development assistance institutions to strengthen community management of natural resources in sub-Saharan Africa.

DESCRIPTION: Eighteen From the Ground Up case study exercises are underway in ten nations in sub-Saharan Africa and another seven studies will be launched in the next 12 months (including in one additional country). The outreach effort of the FGU Program is designed to share the research results and implications horizontal - across to other communities - and vertical - up to the policy makers and development assistance community. Various techniques have been employed to disseminate the case study results, implications, and recommendations.

Horizontal Outreach - Village-village exchange efforts and community-based training in the case study "exemplar" communities to introduce the successful management schemes to other villagers and to local leaders and other authorities. Participatory Rural Appraisals to work with a community or village cluster to help them prepare a site-specific action plan for improved local natural resource management; training in the PRA techniques.

Vertical Outreach - Various efforts in the participating African nations and elsewhere to reach government policymakers, the non-governmental/private volunteer community, bi-/multi-lateral donors, university institutes, etc. with specific policy options and programming needs to facilitate increased local involvement in natural resource management. Specific dissemination techniques include local/international newspapers/journals, radio (VOA, Panos Institute) and television (BBC, WorldNet) broadcasts; WRI publication series/book and videos on case studies; regional, national, and international workshops and conferences.

PRODUCTS: Village-village exchanges, community-based training, PRA exercises/training courses, written publications, radio/television broadcasts, and workshops/conferences. Wide donor support of the FGU Program and activities.

MAIN RESULTS: Greater recognition and better understanding of the root causes of village initiatives in effective natural resource management. Specific policy options and programming needs for the government and development assistance community to act on to improve natural resource management through greater involvement and participation of local resource users.

CURRENT STATUS: On-going effort with recent emphasis on the From the Ground Programs in Kenya, Tanzania, Uganda, and Ghana where FGU Phase II policy studies will be/are being undertaken. In each of these four countries, many of the outreach techniques have been utilized to begin sharing some of the preliminary results and implications of the completed case study exercises.

FOLLOW-UP: At the community level, continue working with villages in facilitating PRA field exercises to prepare and implement village resource management plans; PRA training to government extension officers, NGO field practitioners, and indigenous training centers. At the national/international level, continue providing assistance to governments and the development assistance community to ensure the FGU policy and programming recommendations are acted on and implemented.

COMMENT: The FGU case studies and policy studies are often prepared and disseminated in the context on a major national or international efforts such as the Environmental Action Plan or the Tropical Forestry Action Plan. They have been effective in ensuring that local institutions and rural needs/priorities are recognized and incorporated into national planning exercises.

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Phase II
SOURCE: World Bank, USAID, Pew Charitable Trusts
DURATION/YEAR: October 1990 - September 1993
LOCATION(S): Africa

PURPOSE: To disseminate information about what works in terms of local resource management -- and why it works -- to both a receptive community of organizations and individuals outside of government and, most specifically, to the increasingly receptive governments of selected African nations. To continue to formulate and promote policy reforms that will stimulate the replication of local success stories.

DESCRIPTION: The activities involved in FGU/Phase II include, the careful selection of focal countries, the selection of the most appropriate African partner organizations, the design of policy studies which will compliment the case studies and which will speak to real world issues and concerns, the alignment of FGU activities with on-going activities of major organizations and, the selection of the most effective tools and techniques for dissemination of information and recommendations. The policy studies will examine the goals and actual effects of national policy and legislation as implemented at the local level. They will also evaluate the causes of the success or failure of national policy and legislation and propose ways in which national governments can strengthen the effective implementation of their programs, examine institutional capabilities for formulating and enforcing policy and legislation, and make recommendations which will enable governments, NGOs, and international organizations to be more effective in this area. Also, each of the FGU programs will involve a set of workshops, including several sub-national workshops to present and discuss the research results and recommendations.

PRODUCTS: An additional 18 case studies are expected to be completed and three policy studies are anticipated for each of the six focal countries. The exact process for developing these policy studies will be determined, in large part, through the advice and participation of the advisory council. The first study may involve a review of the existing environmental and natural resource policy and legislation, and the second study may include fieldwork to collect data on the actual effects of this policy on family farmers in the rural regions of the country. These two, 30-40 page reports, may be prepared as separate documents or become part of a third study, a policy recommendations paper, summarizing the findings of the case studies and the preceding policy studies, as well as presenting

the most important policy implications and recommendations. In addition, the local popular media will aid in constituency-building, and 5-8 minute video presentations representing five of the case study communities will be prepared.

MAIN RESULTS: With the From the Ground Up program, the Center has been able to establish firm relationships with effective community-level organizations which are at this time successfully managing their natural resource base. We have made real progress in disseminating information about successful management practices "horizontally", and have learned a great deal about how to most effectively approach African governments to affect national policy decisions.

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Burkina Faso
SOURCE: EPM, USA for Africa
DURATION/YEAR: 1989-1992
LOCATION(S): Burkina Faso

PURPOSE: To share the research result, policy implications, and programming needs which emerge from the From the Ground Up case study exercises with public policy makers and the development assistance community, and increase the capacity of local, national, and international development assistance institutions to strengthen community management of natural resources in sub-Saharan Africa.

DESCRIPTION: Several case studies of successful community-level projects in natural resource management have been completed in the Sahel by various national and international organizations. Rather than add to these studies, the FGU program in Burkina Faso is assisting local organizations to disseminate the research results and lessons learned to non-governmental and private volunteer organizations and government institutions.

Specifically, the Center is working with the Secretariat Permanent des Organisations Non Gouvernementales (SPONG), a volunteer NGO umbrella organization, and the Comite Inter-Etats de Lutte Contre la Secheresse au Sahel (CILSS), a nine country, pan-Sahelian institution focusing on desertification issues, to organize two NGO roundtable discussions to present and discuss the research findings and implications for national policy and future project design. In addition, ten small grants will be awarded to NGO/PVOs to facilitate institutional exchanges and project site visits.

PRODUCTS: Two workshops and short reports on the activities resulting from the ten small grants.

MAIN RESULTS: Greater recognition and better understanding of the root causes of village initiatives in effective natural resource management. Specific policy options and programming needs for the government and development assistance community to act on to improve natural resource management through greater involvement and participation of local resource users.

CURRENT STATUS: Several meetings have been held with SPONG, CILSS, and the NGO/PVO community regarding the workshop and small grants. SPONG and CILSS are currently organizing the first workshop and developing an agenda to be held in Ouagadougou in 1991. The second workshop will be held outside the capital,

within 12 months of the first meeting. Proposals will be solicited and the small grants will be distributed following the second workshop.

FOLLOW-UP: WRI will continue to work with SPONG, CILSS, and the NGO/PVO community to help facilitate the exchange of techniques and technologies between NGOs that lead to sound resource management and sustainable development.

COMMENT: In 1990, a CILSS/Club du Sahel conference was in Segou, Mali, on local-level natural resource management which involved bi-/multi-lateral donors and resources users. One recommendation which emerged from this conference was the important role of the NGO/PVO community in local-level development and resource management. The proposed workshops and small grants address this issue in Burkina Faso.

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Kenya
SOURCE: EPM, Pew Charitable Trusts, USAID/Kenya, Ford Foundation
DURATION/YEAR: 1987-1992
LOCATION(S): Kenya

PURPOSE: To gain insights into effective local-level natural resource management by analyzing community self-development that successfully protects or manages the local resource base, and increase the capacity of local, national, and international development assistance institutions to strengthen community management of natural resources in sub-Saharan Africa.

DESCRIPTION: The National Environment Secretariat (Ministry of Environment and Natural Resources) in collaboration with Clark University (USA) has conducted three case study exercises on soil conservation in Katheka Sublocation, Machakos District; small-scale irrigation in Njukini, Taita-Taveta District; and another small-scale irrigation system linking the communities of Njoguini, Gitero and Kabati (NGK), Nyeri District.

Two additional case study exercises will be conducted in Kenya. Possible participating institutions and case study issues include, an analysis of traditional hunting and gathering practices by a group of marginalized forest dwellers in northwest Kenya, the use of indigenous food plants by the Kenyan Energy and Environment Organizations (KENGO), and rangeland management for livestock production by the African Centre for Technology Studies (ACTS).

PRODUCTS: Reports of the five case study exercises; two or three studies to be published in WRI's FGU Publication Series.

MAIN RESULTS: Greater recognition of and insight into the root causes of village initiatives in effective natural resource management. Specific policy options and programming needs for the government and development assistance community to facilitate increased local involvement in natural resource management.

CURRENT STATUS: The reports for the Katheka and NGK studies have been finalized and the manuscripts have been sent to ACTS for printing. The two published reports will be available and distributed in late February 1991. In Katheka, fifteen traditional volunteer *mwethya* groups have been revitalized and have constructed over 20 kilometers of bench terraces and almost 100 check dams to control soil erosion and stabilize agricultural productivity. In NGK, the farmers have constructed a small-scale, gravity-fed, farmer-managed irrigation system that links

the three communities and enhances their food production.

The two remaining case study exercises will be finalized and the research will be launched in February/March 1991; draft reports of these studies will be completed in late 1991 to early 1992.

FOLLOW-UP: The participating institutions will follow-up with village-village exchange efforts and community-based training programs in the case study "exemplar" communities to introduce the successful management schemes to other villagers and to local authorities. They will also organize regional/national workshops to present and discuss the research results and implications to interested government offices, NGOs, university institutes, and international development assistance agencies.

COMMENT: The case studies form the basis for several policy studies to be conducting in Kenya which will examine the impact and effects of national/subnational policy on rural communities and individual farmers (see FGU Phase II Project Summary).

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Tanzania
SOURCE: EPM, Pew Charitable Trusts, NORAD
DURATION/YEAR: 1990-92
LOCATION(S): Tanzania

PURPOSE: To gain insights into effective local-level natural resource management by analyzing community self-development that successfully protects or manages the local resource base, and increase the capacity of local, national, and international development assistance institutions to strengthen community management of natural resources in sub-Saharan Africa.

DESCRIPTION: The University Library of the University of Dar es Salaam has completed the fieldwork on two case studies in Ulingi and Wipanga in the Rukwa Region, western Tanzania. Rukwa Region is nationally recognized for its consistently higher-than-average agricultural yields. The farmers of the two communities differ in the overall farming strategies, but all successfully blend some traditional farming techniques with selected aspects of modern agricultural packages.

The Geography Department of the University of Dar es Salaam will prepare one case study of the indigenous furrow irrigation system on the slopes of Mt. Kilimanjaro. One or two additional case studies will be prepared. Possible participating institutions and case study issues include, an analysis of traditional rangeland management for cattle production by Sokoine University of Agriculture, and community management of wildlife for sustainable hunting practices by Mweka College of African Wildlife Management.

PRODUCTS: Reports of the five case study exercises; two or three studies to be published in WRI's FGU Publication Series.

MAIN RESULTS: Greater recognition of and insight into the root causes of village initiatives in effective natural resource management. Specific policy options and programming needs for the government and development assistance community to facilitate increased local involvement in natural resource management.

CURRENT STATUS: Draft reports for the Ulingi and Wipanga case study exercises will be completed in February. The Mt. Kilimanjaro study and a fourth study will be launched in February/March 1991. The final case study exercise in Tanzania will be identified and launched in mid/late 1991. Two or three of the five studies from Tanzania will be published as part of the WRI FGU Publication Series in late 1991 to mid 1992.

FOLLOW-UP: The participating institutions will follow-up with village-village exchange efforts and community-based training programs in the case study "exemplar" communities to introduce the successful management schemes to other villagers and to local authorities. They will also organize regional/national workshops to present and discuss the research results and implications to interested government offices, NGOs, university institutes, and international development assistance agencies.

COMMENT: The case studies form the basis for several policy studies to be conducting in Tanzania which will examine the impact and effects of national/subnational policy on rural communities and individual farmers (see FGU Phase II Project Summary).

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Ghana
SOURCE: EPM, Pew Charitable Trusts, African Development Foundation
DURATION/YEAR: 1988-1992
LOCATION(S): Ghana

PURPOSE: To gain insights into effective local-level natural resource management by analyzing community self-development that successful protects or manages the local resource base, and increase the capacity of local, national, and international development assistance institutions to strengthen community management of natural resources in sub-Saharan Africa.

DESCRIPTION: The Environmental Protection Council (Ministry of Local Government) has conducted three case study exercises on agroforestry practices in Goviefe-Agodome, Volta Region; soil conservation in Adeiso community; and the protection of a sacred grove in Malshegu, Northern Region. The fourth case study has been identified - stone-lined terrace farming and land reclamation in Mangodi, Upper East Region and will be launched in March 1991. A fifth case study may be conducted, possibly examining an aspect of natural forest management in southwest Ghana.

PRODUCTS: Reports of the five case study exercises; two or three studies to be published in WRI's FGU Publication Series.

MAIN RESULTS: Greater recognition of and insight into the root causes of village initiatives in effective natural resource management. Specific policy options and programming needs for the government and development assistance community to facilitate increased local involvement in natural resource management.

CURRENT STATUS: The reports for the Goviefe-Agodome and Malshegu studies are being finalized and the manuscripts will be sent to the African Centre for Technology Studies (ACTS), a local NGO, for printing. The two published reports will be available and distributed in April or May 1991. In Goviefe-Agodome, a government sponsored, village-level self-development cooperative has turned inherently infertile land into productive farmland through various agroforestry practices. In Malshegu, several sets of rules, regulations, and practices founded on traditional religious beliefs have been enforced for nearly three centuries to preserve a three hectare "sacred forest grove" as the sanctity of the village god.

The Mangodi study will be launched in March 1991 and the draft report will be completed in late 1991. A fifth study may be

developed and initiated in late 1991.

FOLLOW-UP: The Environmental Protection Council will follow-up with village-village exchange efforts and community-based training programs in the case study "exemplar" communities to introduce the successful management schemes to other villagers and to local authorities. The Council will also organize regional/national workshops to present and discuss the research results and implications to interested government offices, NGOs, university institutes, and international development assistance agencies.

COMMENT: The case studies form the basis for several policy studies to be conducting in Ghana which will examine the impact and effects of national/subnational policy on rural communities and individual farmers (see FGU Phase II Project Summary).

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: From the Ground Up/Uganda
SOURCE: EPM, World Bank, Pew Charitable Trusts
DURATION/YEAR: 1989-91
LOCATION(S): Uganda

PURPOSE: To gain insights into effective local-level natural resource management by analyzing community self-development that successfully protects or manages the local resource base, and increase the capacity of local, national, and international development assistance institutions to strengthen community management of natural resources in sub-Saharan Africa.

DESCRIPTION: The Institute of Environment and Natural Resources of Makerere University in collaboration with the Joint Energy and Environment Program, a local NGO, has completed fieldwork for three case studies on soil conservation in Kisoro, Kabale District; water management in Nyabushozi, Mbarara District; and sound land-use in Kashaka, Mbarara District. A fourth case study site has been selected and a fifth location is being sought.

PRODUCTS: Reports of the five case study exercises; two or three studies to be published in WRI's FGU Publication Series.

MAIN RESULTS: Greater recognition of and insight into the root causes of village initiatives in effective natural resource management. Specific policy options and programming needs for the government and development assistance community to facilitate increased local involvement in natural resource management.

CURRENT STATUS: Draft reports for the Kisoro and Nyabushozi case study exercises have been prepared; a first draft of the Kashaka study will be completed shortly. The fourth and fifth case studies will be launched in February to April 1991. Two or three of the five studies from Uganda will be published as part of the WRI FGU Publication Series in 1991 to early 1992.

The Kisoro report is currently being edited/rewritten for publication. The farmers of Kisoro are involved in various activities to reduce soil erosion on their farmlands, including bench and "strip" terracing. Strip terracing involves the use of regular contoured strips of natural vegetation to capture soil from wind and water run-off. Some strips are left fallow for only six months, others are allowed to remain for five to eight years during which time terraces gradually build-up on the strips.

FOLLOW-UP: The participating institutions will follow-up with village-village exchange efforts and community-based training

programs in the case study "exemplar" communities to introduce the successful management schemes to other villagers and to local authorities. They will also organize regional/national workshops to present and discuss the research results and implications to interested government offices, NGOs, university institutes, and international development assistance agencies.

COMMENT: The case studies form the basis for several policy studies to be conducting in Uganda which will examine the impact and effects of national/subnational policy on rural communities and individual farmers (see FGU Phase II Project Summary).

PROJECT SUMMARY

PROGRAM: NGO Policy Impact Program
CONTACT PERSON: Peter Veit
PROJECT TITLE: The Role of NGOs in Policy
SOURCE: EPM, CIDA, MacArthur Foundation
DURATION/YEAR: 1991-93
LOCATION(S): Asia, Africa, Latin America

PURPOSE: To explore ways and means by which citizens' organizations in Southern countries have sought to influence national/subnational policy decisions. The program, a collaborative effort between the Institute of Development Research and the World Resources Institute, will document how they have become involved in policymaking and examine how this experience can enable more NGOs to increase their influence on the making of natural resources management policy.

DESCRIPTION: The problems of sustainable development are often multi-regional in their impacts, and require international coalitions to influence appropriate policies. This program will seek to develop the kind of multinational cooperation in learning that is often required for effective policy influence.

Specifically, the program will address the following problems: The number of NGOs working on policy in the South is very small and most remain unaware of their potential roles in policy making; governments and donors are not aware of the constructive contributions NGOs can make to sustainable development policies; NGO successes in influencing policy are not widely shared, so other NGOs do not learn from their experience; and strategies and techniques for effective policy influence are not understood well enough for easy transfer across cultural, political and economic contexts. These problems will be addressed through research, publication, alliance building, technical support, and capacity building programs carried out by teams from Southern and Northern organizations with linkages to the NGO sectors in Asia, Africa, Latin America, and North America.

PRODUCTS: The development of three types of case studies in each region: approximately 100 short descriptions of a wide range of NGO efforts to influence policy, 45-50 article-length descriptions of important examples, and about 15 detailed analyses of cases that provide critical insights into the policy influence process. These materials will be used as the bases for publications, training programs and materials, and national/international conferences.

MAIN RESULTS: Improved clarity and consensus on policy options that provide sustainable benefits to the poor, more understanding and support for NGO policy initiatives by national governments and international development agencies, more capacity for policy

influence among NGOs in Southern and Northern contexts, more NGO networks and coalitions involved in influencing national and international development strategies, and more collaboration between NGOs, government organizations, and international development agencies to support and implement policies consistent with sustainable development.

CURRENT STATUS: A concept paper was been prepared and distributed for comments and a proposal, based on this concept paper has been submitted to several bi-/multi-lateral donors and private foundations for consideration. Potential lead organizations have been contacted in each region/subregion and many have agreed to participate in this program. A list of candidate case studies is being prepared.

FOLLOW-UP: The case study results will be widely distributed to developing country NGOs and training programs will be designed on some of the most effective techniques used by NGOs to influence policy decisions. Small grants and training workshops will be organized to institutionalize the training of the techniques within local organizations.

COMMENT: A small grant from CIDA helped support the preparation of the proposal. The MacArthur Foundation has indicated that it will support some aspects of this project; we await word on other outstanding proposals and additional donors are being contacted with regard to this effort.

PROJECT DESCRIPTION

PROGRAM: NGO Policy Impact
CONTACT PERSON: David Richards
PROJECT TITLE: NGO Policy Impact Proposal
SOURCE: EPM
DURATION/YEAR: 1990
LOCATION: US

PURPOSE: To prepare a proposal designed to assist NGOs to develop the whole range of skills needed to improve their ability to influence NRM planning and policy formulation.

DESCRIPTION: Richards worked with the Institute for Development Research in Boston, Mass to develop the proposal and supporting documentation. Southern NGOs were contacted for information, advice, and case study candidates. Preliminary agreements for working arrangements in the field were completed. The proposal called for joint northern / southern NGO research on the ways and means by which NGOs in both regions influence NRM policy formulation, for the preparation of training oriented case studies, and for the development of a training package.

PRODUCTS: The proposal and related documents.

MAIN RESULTS: The research brought policy advocacy issues into sharp focus for the Center. The question is, how can we best help NGO "make their case" better when trying to contribute to NRM policy planning and formulation.

CURRENT STATUS: The proposal was awarded \$100,000 from CIDA, was turned down by the MacArthur Foundation, and AID is interested in funding case develop in several countries. The design has been scaled down.

FOLLOW UP: When travelling, several Center staff take time to follow up with local groups interested in working on this idea.

COMMENT: This is an example of the Center taking the lead to develop an idea identified in the course of EPM implementation in the field.

PAPERS/OUTREACH/KEY PARTICIPATION

Forestry Policy Symposium/Ghana.

In March 1988, the government of Ghana directed the Environmental Protection Council (EPC), Ministry of Local Government, to prepare a National Environmental Action Plan (NEAP). The EPC has worked to ensure local participation in the preparation, review, and implementation of the NEAP. As part of the NEAP, the Forestry Commission prepared a new National Forestry Policy. From 2-8 April 1989 a Forestry Policy Symposium was organized to provide the background for a draft of the new policy (not revised since 1948).

The Center has been working in Ghana with the EPC since October 1988 to prepare FROM THE GROUND UP case studies on successful community self-development. It was asked by the EPC and the Forestry Commission to contribute to the preparation of the new National Forestry Policy in three ways:

- Assist in the organization of the Symposium, in particular, in identifying and inviting key local and international NGOs;
- Prepare and present a paper on the early experiences of the Tropical Forestry Action Plan/Forestry Sector Review;
- Review and comment on the draft National Forestry Policy.

As a result of the Center's involvement, more than ten local NGOs attended the Symposium, some actively participating in the discussions that followed the presentations. The Symposium provided an excellent opportunity for the NGO representatives to learn about the current forestry circumstances in Ghana. The paper presented by the Center was well received and will be included in the published proceedings of the conference. Six Center staff familiar with forestry, forestry policy, and African issues reviewed the draft policy and collectively the comments were sent to the Forestry Commission.

PAPERS/OUTREACH/KEY PARTICIPATION

InterAction/FAVDO Africa Partnership Project.

The Africa Partnership Project, co-chaired by InterAction and FAVDO, brought together US PVOs and African NGOs to open a dialogue on partnership. Three separate strands were organized: a Leadership Working Group, Program WG, and Development Education WG. Each group included 7-15 US PVO representatives and an equal number of African NGO personnel. The 3 groups met 2 times, once in the US at the InterAction Forum and a second time in Dakar, Senegal. In addition several of the strands organized independent meetings in the US and Africa. The Center participated in the Program Working Group. It was the only participating NGO or PVO with significant experience in environmental/natural resource management issues and in policy dialogue and formulation and as a result provided an important perspective and set of issues.

The project was successful in articulating some of the key issues in partnership and has been a catalyst in developing several new partnership arrangements. It attained specific results in each of the 3 working groups which have been recently published - Toward Partnership in Africa. The Program Working Group which the Center participated in developed a statement on the appropriate philosophy and approach toward development, and towards partnerships between Northern and African NGOs. It discussed in-depth partnership in Africa, making recommendations in three crucial areas: a definition of partnership; institutional development; and financial resources. The Center was introduced and established contacts with numerous African NGOs which may develop into true partnerships in the future.

PAPERS/OUTREACH/KEY PARTICIPATION

DAC Primary Environmental Care Workshop/Italy.

In the first meeting of the DAC Working Party on Development Assistance and the Environment (Paris, 15-16 November 1989), the Italian delegation presented a preliminary outline of a strategic approach named Primary Environmental Care. The PEC approach -- focusing on community-based environmental management coupled with the satisfaction of needs -- was to be further elaborated with the contribution of interested DAC members. From 19 January to 2 February 1990, a meeting was organized for DAC Working Party members in Siena, Italy, to discuss the PEC approach and develop policy recommendations by which development assistance could support it in practice. The Center was one of the few non-DAC members and non-donors that were invited to attend and present a paper.

The Center presented a paper summarizing the preliminary findings of the FROM THE GROUND UP case study exercises, focusing on the common core elements and key relationships of successful village initiatives in natural resource management. The presentations included a more detailed description of our Kenyan experiences and included a short video on the bench terracing activities of the *mwethya* self-groups in Katheka Sublocation. The Center also contributed to the general discussion of primary environmental care -- the conditions fostering success, the constraints/benefits, and the recommendations for DAC members. Two publications emerged from this conference: "Supporting Primary Environmental Care: Report of the PEC Workshop" and "Lessons Learned in Community-based Environmental Management." The second booklet is based on the written and oral material presented and discussed at the workshop.

TECHNICAL ASSISTANCE SUMMARIES

Environmental Action Plan/Ghana.

In March 1988, the government of Ghana directed the Environmental Protection Council (EPC), Ministry of Local Government, to prepare a National Environmental Action Plan (NEAP). The EPC has worked to ensure local participation in the preparation, review, and implementation of the NEAP. In addition, a process has been identified through which broad national policies and programs on the environment can be translated into action at the district and local levels. Specifically, each of the newly created 110 Districts Assemblies is to establish a District Environmental Management Committee and each village is to establish a Community Environmental Committee to coordinate environment matters.

WRI has been working with the EPC since October 1988 to prepare FROM THE GROUND UP case studies on successful community self-development. The completed case study exercises reveal the importance of committed local leadership and viable village-based institutions in the design, implementation, and management of local self-development that is environmentally sound. WRI worked with the EPC in Ghana to conduct a national survey to gain a better understanding of the viability of existing village-based institutions, their involvement in community development activities, and their potential for increased responsibilities in local natural resources management. The results of the survey indicated a large number of community-level organizations active in self-development. The survey report recommended that the NEAP in Ghana consider working with/through existing viable institutions rather than establish new community groups. This report was presented at a recent conference in Dublin reviewing the effectiveness of NEAPs in Africa and is now being reviewed by the NEAP in Ghana.

TECHNICAL ASSISTANCE SUMMARY

Conference: Soil and Water Management for Sustainable Smallholder Development.

In November 1989, participants at the International Soil Conservation Organization conference on Soil Conservation for Survival endorsed the need for a regional conference on soil and water management for smallholder development. This conference -- scheduled for 2-11 June 1991 in Kenya and Tanzania -- is being organized by the World Association of Soil and Water Conservation, SIDA, IIED, USAID, and WRI's Center with assistance from Winrock, Clark University, Ford Foundation, and several international and local organizations (African Centre for Technology Studies).

The Center will co-sponsor the conference with funds from the USAID Africa Bureau Buy-In; the EPM program will support staff time and other resources to help organize the conference. In February/March 1991, Center staff will travel to Nairobi to meet with the principle organizing institutions to develop an agenda for the conference and to inviting participants and begin commissioning papers and presentations. The Center will take the lead in organizing 2-3 conference sessions, including one on "Core Elements for Sustainable Smallholder Development" and "Policy Implications and Programming Recommendations of Successful Community Self-Development." Several FROM THE GROUND UP case studies will be presented by the participating researchers and the Center will commission several papers summarizing some of the early findings, including perhaps "Common Core Elements of Successful Village Initiatives in Natural Resource Management," "General Policy Recommendations from Village Self-Development," and "The Effects of Public Policy on Smallholders." The Center funds will also be used to cover travel expenses of 4-5 FGU partners and 1-2 Center staff.

TECHNICAL ASSISTANCE SUMMARY

International Development Conference, 1989.

David Richards, then director of the NGO Program, served as the Program Chair for the International Development Conference held in March, 1989. 1700 development professionals attended the 3 day session. The theme was innovative approaches to bi-lateral and multi-lateral support for environmental conservation and sustainable economic development.

Speakers included Jessica Mathews, the UN Secretary General, the Director General of UNESCO, the presidents of IFAD and the OECD Development Centre, and the administrator of the US Agency For International Development. Jessica Mathews gave a superb plenary speech on the looming environmental crisis which received a standing ovation.

In all, over three hundred panelists presided over 100 sessions. The purpose of Richards' participation was to help the IDC increase the environmental and natural resources management components of the conference, and to introduce in a powerful way the environment / development "dilemma".

The conference was very successful according to attender surveys and coverage by C-SPAN and the Washington Post.

CASE STUDY

From the Ground Up Program (Africa and LAC)

FROM THE GROUND UP is founded on the premise that important insights can be gained from analyzing specific examples of successful grassroots resource management-- that the core social, cultural and economic elements and key relationships that frame effective, local-level practices can be identified, documented, adapted, and disseminated from one African context to another. The program is working, through selected lead organizations, with the diverse and capable African institutions and individuals who have found successful means for achieving their resource management goals at the community, or village level.

The first three years of the From the Ground Up program have been devoted to identifying and developing partnerships with local organizations interested in, and capable of, making positive contributions to local sustainable development activities; conducting case study exercises of effective community-level activities in resource management; and, beginning the dissemination of our research results to other communities, the government policymakers and the international development assistance community.

In three years, the program has been discussed and considered in 18 nations in sub-Saharan Africa, developed partnerships with local organizations in 13 countries, launched 16 detailed case study exercises (13 have been completed to date) in 9 nations, and initiated feasibility studies in additional nations. In the case studies, we have looked at resource management experiences from multiple perspectives. For example, we have examined a single resource (e.g. soils), focusing on how and why differing techniques to prevent erosion (e.g. agroforestry and bench terracing) provide solutions in different communities; we have studied the functioning of different technical variations of a single resource management method (e.g. bench, step, strip, and stone-line terracing to control erosion); and, we have examined how and why different social organization affects the successful implementation of a single management technique (e.g. bench terracing to control erosion executed by individual and by communal efforts). While most of the case studies to date focus on various agricultural practices, we have also built a broad base by studying natural forest management, wildlife management, and rangeland management.

The aim of our dissemination strategy in the first three years has been horizontal; to other communities where similarities of context provide an immediate opportunity to multiply successful experiences. To facilitate these efforts, WRI has redefined the Participatory Rural Appraisal (PRA) methodology. Through the PRA process, community members themselves gather information and

evaluate problems, opportunities and solutions inherent in their resource management strategies, ultimately developing site-specific action plans. By developing this methodology and providing training, we have helped turn the interest generated during village-to-village exchanges into real progress on the ground. PRA exercises have been conducted in numerous communities in Africa, some under the FGU umbrella, but most by individuals and institutions which have learned the methodology through FGU and have gone on to organize themselves independently. In East Africa, we have been working closely with Egerton University to institutionalize the training of the PRA methodology and have worked with them to conduct two training sessions for non-governmental and private voluntary development workers. WRI has also developed a good set of training materials. A PRA Handbook has been published and is being distributed free to appropriate African, and other developing country, institutions. A manual for PRA Trainers will soon be completed and similarly distributed.

The From the Ground Up Program has also begun in five countries in Latin America; we expect to concentrate our activities in Mexico, Guatemala, Ecuador, Bolivia and Peru. WRI provides small grants and technical assistance to help local groups produce a document that describes and explains natural resource management practices through group discussions and internal reflection. WRI will review the drafts and assist partner NGOs in final production and dissemination. In addition, two sets of studies, incorporating five or so case studies each, will be produced. They will focus on policy options to strengthen the role of indigenous groups in NRM in the region, and to strengthen the roles of marginalized populations in the improvement of degraded urban environments.

Two independent studies on the appropriate roles of indigenous communities in natural resource management and policy have already begun in Mexico. The first draft of one is due in September 1991. This study will document the experience and accomplishments of La Organización Contra la Contaminación del Lago de Patzcuaro, a local grassroots institution. It will examine the range of activities in which the organization and the member communities have been involved in protecting the water, soil, and forest resources. The second study will document the activities of La Unión de Comunidades y Ejidos Forestales de Oaxaca, a union of lumbering Indian Communities in Oaxaca.

As a follow-up, WRI will organize regional fora and workshops to discuss the results and recommendations of the studies with other NGOs, policymakers and the development assistance agency staff. These discussions will be framed within the context of regional or national policy programs such as a TFAP, or Environmental Action Plan. Two summary publications outlining the common elements among the different studies will be produced at the end

of the three-year project. These publications will also propose action-oriented recommendations for development assistance officials.

Phase II of the From the Ground Up Program will integrate lessons learned in Phase I, continuing and expanding some activities and initiating new ones. This phase of the FGU outreach effort shares the research results and policy/program implications "vertically" to African local and national governmental policymakers and the international development assistance community. The goal is to ensure that our recommendations are translated into appropriate policy and legislative changes and programming priorities. A variety of dissemination techniques, including various publications, conferences, workshops, and seminars; community exchanges and village-based training programs; and radio and video programs, are utilized to reach these target audiences. In order to influence policy, advisory councils will be established in each of the focal countries to oversee and guide the FGU program, 18 additional case studies will be completed, complemented by a set of policy studies. These findings and publications may, over the long term, promote decentralized, small scale natural resource management policies and foster a growth of self-reliance in the communities themselves.

CASE STUDY

FGU Phase II/Policies for Popular Participation

A major goal of FROM THE GROUND UP/Phase II is the upward dissemination of results about what works in terms of local resource management and why it works, to African local and national governmental policymakers. In addition, the program aims to ensure that our recommendations are translated into appropriate policy and legislative changes, and programming priorities.

Several steps will be taken to help ensure that the programs recommendations will be favorably received by the policy community. The first step is the careful selection of six focal countries; three in East Africa and three in West Africa. Preliminary evaluations suggest that the current governments in Uganda, Kenya, Tanzania, and Rwanda in East Africa, and Nigeria, Togo, Ghana, and the Gambia in West Africa may be receptive to environmental policy dialogue and legislative change. There are several conditions that can be identified in African nations which show a readiness to address policy change. One indicator of this readiness is political decentralization, which is a clear recognition on the part of the government of the importance of popular participation. Another indicator is a healthy economy. It is the countries with a growing economy which show more concern for natural resource management because they are not facing day to day survival battles. A third indicator is whether or not a government is involved in developing a national "environmental action plan", which is prepared by local experts with technical assistance from a major organization.

The manner in which we have selected our partner organizations and individuals is also important. These are the experts on their local areas, their resources, their needs and their priorities. Our FGU activities will continue to be led by local institutions that have good contacts in the government and respect from the public and private environmental and policy communities, for example, the Institute of Environment and Natural Resources in Uganda, and the Nigerian Environment Study/Action Team (NEST). An advisory council will also be established in each of the six focal countries to oversee and guide that country's FGU program. The members will include individuals and representatives of institutions that are key to changing government policy and to translating this policy into action on the ground.

Traditionally, WRI's most effective tool for influencing policy has been its policy publications. Eighteen case studies are projected to be completed in the three year phase II period. To ensure sufficient breadth to our research, approximately four case studies (Phase I and Phase II) will be conducted in each

focal country. These studies will be structured around several central concepts and will be conducted by local individuals or institutions, emphasize current issues of concern to the policy community, examine successful cases of resource management, emphasize community or village-cluster self-help efforts involving the sustainable utilization of natural resources, focus on the social, cultural, and institutional issues crucial to the success of resource management projects at the grassroots level in Africa, and include specific recommendations outlining actions favoring sustainable development at the local level.

In each of the six focal countries, the case studies will be complemented by policy studies, which examine the goals and the actual effects of national policy and legislation as implemented at the local level; and workshops, of sub-national, national, and high (high-level decision makers) level. Preparations for the workshops will include production of a series of discussion papers by WRI and the FGU partner organizations. These papers will be drafted once the case and policy studies are complete, and will deal with grassroots practice, existing and alternative policy at the local and national levels, and current experience in national policy planning and natural resource management.

Already, a comprehensive set of FGU Phase II-type activities have been launched in Uganda in collaboration with the Institute of Environment and Natural Resources, Makerere University (MU), and with the support of the World Bank. Eldad Tukahirwa, Director of the Institute is the project manager of the African Natural Resources Management Project (ANRM), and Expedite Ddungu from the Department of Sociology, MU, and Mbonye Arson, of the Joint Energy & Environment Project are also on the team. Several feasibility studies were completed in late 1989 to begin identifying appropriate case study communities and resource management initiatives. Fieldwork for the first case study in Kisoro on soil conservation was conducted in May 1990 with assistance from Peter Veit of the Center for International Development and Environment. The first draft report was completed in September. The fieldwork for the second case study on water management in Nyabushozi was completed in July, and fieldwork for the third on exemplary land use in Kashaka was finished in August. In addition, the candidate community for the fourth study has been identified.

The Policy Studies group includes Derek Pomeroy, Deputy Director, IENR, MU; Florence Butegwa, Faculty of Law, MU; Edward N.B. Nsubuga, Department of Agricultural Economics, MU; Mateete A. Bekunda, Department of Soil Science, MU; and Frank Turyatunga, Senior Environmental Officer, Department of Environmental Protection, Min. of Environmental Protection. Recognizing that virtually every piece of legislation can have some effects on the environment, the group is concentrating the investigation on policies/laws that are designed to or otherwise have direct

influences on the management of renewable resources in rural areas, including wetlands, soils, water, fisheries, forest and wildlife. Rangeland and the atmosphere will also be considered.

Key personnel in relevant line ministries and departments have been interviewed by the group regarding official policies and collecting details of legislation, including copies of acts, regulations, etc. They are also preparing a draft report which will present a concise account of present/proposed government policy and legislation. The report will conclude with a series of recommendations for policy, legislation, and other measures to facilitate improved local resource management.

In addition, the group prepared a questionnaire to determine the extent to which these policies and laws are known, understood, practiced, and upheld by the rural people, extension officers, and other administrators. It was administered in July and August in six parishes: three in southwestern Uganda, one in Central Uganda, and another two in Eastern Uganda. They are each representatives of the various socioeconomic systems and the ecosystem-specific natural resources management problems, opportunities, and options. Altogether about 1000 people were interviewed. The group began analyzing the data from the questionnaire in August. In late July, the first meeting of the Advisory Council took place. The council was pleased with the progress made thus far although there was some concern over the ability to complete the activities by June 1991. The FROM THE GROUND UP Program has gathered experience from its first three years in existence and is moving in a direction that will use this experience in the most constructive manner for Africa's natural resource systems.

Natural Resource Data Management

NATURAL RESOURCE DATA MANAGEMENT

Project Summaries

- o African Indicators (1989 - 91)
- o Forim for Natural Resource Information Management (FORIM) (1988 - Spring 1989)
- o Environmental Information Center: Design Study (Spring 1991)
- o Directory of Country Environmental Studies / The International Environmental and Natural Resource Assessment Information Service (INTERAISE) (1989 - 91)
- o Briefing Book for AID's Environment and Natural Resource Program (Fall 1987)
- o Annual Report to Congress on AID's Tropical Forestry and Biological Diversity Programs (Spring 1988)
- o Integrated Planning Technology (IPT): An Analysis of the Mahaweli River Basin Project in Sri Lanka (1984 - 85)
- o Integrated Planning Technology (IPT) (1985 - 89)

Technical Advisory Services - Summaries

- o National Report Guidelines for the United Nations Conference on Environment and Development: 1990-91
- o Urban Environmental Indicators: 1990-91
- o Latin American Natural Resource and Environmental Strategy: '90-91
- o GIS Experts Group: 1990-91
- o International Forum on Environmental Information for the 21st Century: 1990-91
- o Electronic Publishing: 1989-91
- o Corps of Engineers Global Database: 1989-91
- o World Bank, EPA, and AID Indicator Development: 1989-91

Papers/Conferences/Workshops/Outreach

- o WRI/EPA/AID/OECD (May 1988)

- o WRI/IUFRO/Etc. (September 1989)
- o OECD (December 1989)
- o OECD (June 1990)
- o EPA (October 1990)
- o Environment Canada (August 1989)
- o Canadian Environmental Advisory Council: Workshop on Ecologically Sustainable Development Economics (July 1990)
- o Institute for Research on Environment and Economy, University of Ottawa: Workshop on "Breaking the Barriers to Environmental Information" (March 1990)
- o WRI/EPA/ECE: Conference on the Economics of Sustainable Development (January 1990)
- o ISTI (March 1990)

PROJECT SUMMARY

PROGRAM: Natural Resources Data Management

CONTACT PERSON: Dan Tunstall

PROJECT TITLE: African Indicators

SOURCE OF FUNDING: AFR/TR/ANR Buy-in

DURATION/YEAR: 1989 - 1991

LOCATION(S): Washington D.C.

PURPOSE: To identify, select, and compile a set of country-level indicators that will help track changes in natural resource conditions and trends for Sub-Saharan African countries; to make this information available to headquarters and missions; and to maintain and revise this set of indicators over time.

DESCRIPTION: WRI started by preparing a working bibliography of indicator data sources in 1989 focusing on data available from international organizations. The second phase of the project consists of selecting key data series for soil fertility/productivity, vegetative cover, and biodiversity from the World Resources Report database. Workshops to improve the identification of objectives and indicators and plan for improving data collection will also be held. All national-level indicator work is being coordinated with farm/project/program indicator development through the NRM Framework.

PRODUCTS: Bibliography of African Indicator Sources; Scope of Work for indicator project; Background Planning Paper on African Indicators. Draft set of indicators available by March 1991 and diskette later in the year.

MAIN RESULTS: Strengthening of AID's African Plan for NRM and ability to track contextual, country-level changes. This information should support AID's ability to report to Congress on the Development Fund for Africa, and strengthen coverage of statistics in the WRR database.

CURRENT STATUS: Project in process.

FOLLOW-UP: Expectation is that this project will continue for a couple of years.

COMMENT: After a slow start and with changes in AID and WRI staff, this has become a key project in NRDM program.

PROJECT SUMMARY

PROGRAM: Natural Resources Data Management

CONTACT PERSON: Dan Tunstall

PROJECT TITLE: FORIM (FORum for natural resource Information Management)

SOURCE OF FUNDING: EPM

DURATION/YEAR: 1988 - spring 1989

LOCATION(S): Washington D.C./San Jose, Costa Rica (IUCN General Assembly)

PURPOSE: At the request of Jack Sullivan, Director FENR, we assisted in planning a workshop on environmental data and / monitoring for the 17th IUCN General Assembly. The upshot of the meeting was the development of a plan to establish FORIM. (See copy of plan and 1989 workplan.) The basic purpose was to encourage the development, exchange, and use of natural resource and environmental information to support sustainable development.

DESCRIPTION: Organizers met numerous times in spring and summer 1988 to establish purposes, objectives, scope of work, and working style of FORIM. Principal organizers were Jane Pratt (IBRD), Jack Sullivan (FENR), Robin Pellew (WCMC); Dan Tunstall acted as FORIM Coordinator. Plans were distributed and agreed upon and three workshops were organized and cosponsored: GIS, expert rosters, and project databases. Invitations to join FORIM were sent to 100 individuals and organizations; the response was excellent.

During 1988 and early 1989 IIED North America was absorbed by WRI; Jack Sullivan retired from AID; WCMC and the World Bank had major disagreements on sharing of data; and no additional funding for FORIM was found.

PRODUCTS: FORIM plans, workshop reports, and mailing lists.

MAIN RESULTS: Considerable enthusiasm for FORIM was generated and through a series of meetings the need to improve the accessibility of environmental information was established.

CURRENT STATUS: No activity.

FOLLOW-UP: Fortunately, many of the ideas planned for FORIM have been funded: the Directory was a direct outgrowth of FORIM, as was the INTERAISE information service and ENRIC planning.

COMMENT: Regretfully, the goals of FORIM were too broad and the financial support, weak. The lack of organizational support -- all participation in FORIM activities was ad hoc -- doomed the project.

PROJECT SUMMARY

PROGRAM: Natural Resources Data Management
CONTACT PERSON: Dan Tunstall
PROJECT TITLE: Environmental Information Center: Design Study
SOURCE OF FUNDING: EPM
DURATION/YEAR: Spring 1991
LOCATION(S): Washington, D.C.

PURPOSE: To assist S&T/FENR and the Environmental Working Group to design an environmental and natural resource information center for the Agency. To identify principle functions and possible organizational structures for ENRIC. The results will be used to prepare an RFP.

DESCRIPTION: AID has growing need for environmental, energy, and natural resource information on its projects and overall programs. AID needs to report to Congress and the public on its expenditures and the impact of its projects and programs on development. We are interviewing AID staff, consultants, and contractors to determine information needs, priorities, and preferences. Major functions include: clearinghouse, improving collection and analysis of project-level financial data, preparing a unified annual report to Congress, preparing briefings and testimony, preparing special reports on environmental trends, support missions and bureaus on information center functions, developing a newsletter. Major organizational options include expanding existing organizations to handle environmental information, establishing a new center on AID's premises, or some combination.

PRODUCTS: We expect to complete the project and present S&T with a report on major findings and recommendations in March.

CURRENT STATUS: Scope of Work and major functions identified. Interviewing 2/3 completed.

COMMENT: So far we've found that many of the tasks outlined in FORIM are applicable to ENRIC. We've also found that there is very little centralized knowledge within AID as to information sources on the environment; most of it resides in missions and regional bureaus. Furthermore, there is little effort made to utilize existing services within the Agency and a bias towards getting contractors to do the Agency's work.

PROJECT SUMMARY

PROGRAM: Natural Resource Data Management

CONTACT PERSON: Dan Tunstall

PROJECT TITLE: Directory of Country Environmental Studies/INTERAISE (the International Environmental and Natural Resource Assessment Information Service)

SOURCE OF FUNDING: EPM (FY 89,90,91); GTZ (FY91); Dutch (FY91); Swiss (FY91); Australia (FY91).

DURATION/YEAR: 1989 - 1991

LOCATION(S): Washington D.C.; Geneva, Switzerland; London, England

PURPOSE: To assist the major bilateral donors, working cooperatively through the Development Assistance Committee at OECD, to compile a set of country-level environmental assessments, profiles, strategies, and action plans and to make this material more widely available. In 1990, this project was expanded to include participation by IIED and IUCN and to expand the information service by compiling libraries in all three cities and making the assessment documents available to a wider development audience through the INTERAISE project.

DESCRIPTION: Center staff (myself, Doug Baker, now Mieke van der Wansem) compiled environmental assessments from all major donor organizations and other international organizations. We arranged for LTS Corp., that runs AID's Development Information Services Clearinghouse, to do the cataloguing, abstracting, and database work. About 250 documents were collected and included in the database. The draft report was reviewed by AID and donors and the final report and diskette version of the product prepared.

PRODUCTS: Final report, 1990 Directory of Country Environmental Studies, An Annotated Bibliography of Environmental and Natural Resource Profiles and Assessments, April 1990, 171 pages.

MAIN RESULTS: About 2,000 copies of the report were printed and distributed. The report and diskette version have been well received.

CURRENT STATUS: WRI, IIED, and IUCN are jointly expanding the Directory, compiling libraries, and developing plans for expanding document distribution.

COMMENT: It is advantageous to work with more donors and more NGOs, but it is not clear what additional information products can be developed as part of INTERAISE and if the funding will be there in the future.

PROJECT SUMMARY

PROGRAM: Natural Resource Assessments/Data Management
CONTACT PERSON: Dan Tunstall
PROJECT TITLE: Briefing Book for AID's Environment and Natural Resource Program
SOURCE OF FUNDING: EPM
DURATION/YEAR: Fall 1987
LOCATION(S): Washington

PURPOSE: To prepare an executive briefing book on environmental issues for the incoming Administrator, Alan Woods.

DESCRIPTION: We (Nels Johnson and myself) prepared a report consisting of an executive summary, a review of AID's programs, a review of major issues and options, and detailed appendices on expenditures, legislation, AID's staff, key environmental NGOs, and listing of environmental profiles. This was done by interviewing staff, compiling documents, library work, and preparation of the first comprehensive set of financial statistics on AID's environmental program.

PRODUCTS: "A Briefing Book on A.I.D.'s Environmental and Natural Resource Program", September 17, 1987, 85 pages.

MAIN RESULTS: I don't believe the Administrator ever read it, but PPC and S&T staff used it for several years to write testimony and inform others of the Agency's program.

CURRENT STATUS: completed.

FOLLOW-UP: Work on the Briefing Book was helpful in preparing other AID reports on natural resources.

COMMENT: Although not particularly useful to the new Administrator, this report was for two years the single best overview of AID's environment and natural resource program.

PROJECT SUMMARY

PROGRAM: Natural Resource Assessments/Data Management
CONTACT PERSON: Dan Tunstall
PROJECT TITLE: Annual Report to Congress on AID's Tropical Forestry and Biological Diversity Programs
SOURCE OF FUNDING: EPM
DURATION/YEAR: Spring 1988
LOCATION(S): Washington D.C.

PURPOSE: To assist AID, particularly S&T/FENR, with this annual task.

DESCRIPTION: In 1988, AID chose to combine its two mandated reports to Congress. We (myself, Janet Abramovitz, Nels Johnson) prepared the data tables and carried out the analysis of both biodiversity and forestry. We used the WRI database for biodiversity project analysis and the Idea Tech database for forest projects. The project required substantial effort to find documentation on AID-supported projects; locate, combine, and analyze various databases; and review and revise drafts with AID staff.

PRODUCTS: "Progress in Conserving Tropical Forests and Biological Diversity in Developing Countries", The 1987 Annual report to Congress on the Implementation of Sections 118 and 119 of the Foreign Assistance Act, As Amended, U.S. Agency for International Development, June 27, 1988, 135 pages.

MAIN RESULTS: The report was completed and 500 copies distributed to Congress and others. An additional 500 copies were printed and distributed to NGOs and made available to the AID Document Information Handling Facility for wider distribution.

CURRENT STATUS: Completed.

FOLLOW-UP: WRI was asked to prepare this report in 1990 (combining two years of program activity) and again in 1991, which was turned down because of other priorities.

COMMENT: One of the most difficult parts of this project was to convince AID staff of the value of reviewing the whole program in a systematic fashion. Time and again they wanted to cut out the analysis. The report was produced mostly on-time, but substantially over budget.

PROJECT SUMMARY

PROGRAM: Natural Resources Data Management

CONTACT PERSON: Paul Faeth

PROJECT TITLE: Integrated Planning Technology (IPT): An Analysis of the Mahaweli River Basin Project in Sri Lanka.

SOURCE OF FUNDING: USAID/Asia/EE

DURATION/YEAR: 1984-85

LOCATION(S): Arlington, VA

PURPOSE: To demonstrate the use of the methods of systems analysis for development planning.

DESCRIPTION: The previous EPM evaluation showed that almost a fourth of the requests made of the EPM environmental technology transfer project involved integrated system use. The evaluation determined that there was a need for methods to integrate the project planning efforts of staff from various disciplines, interests and expertise. The IPT project was designed to respond to this need.

The first trial of what was to become the IPT project was done for the Mahaweli River Basin Project in Sri Lanka. A three-day workshop was held in Arlington, VA. The workshop resulted in a working simulation model of the Mahaweli River Basin Project which was used to look at alternative policies and their impact upon the natural resource base. The demonstration showed that the methods of systems analysis could be very effective way to address the complexity of multiple-resource development in real projects.

PRODUCTS: A report entitled A Demonstration of Systems Analysis for Development Planning: The Integration and Optimization of Agricultural Enterprise, was produced and distributed.

MAIN RESULTS: As a result of this exercise the IPT project was created and funded.

CURRENT STATUS: Project successfully completed.

PROJECT SUMMARY

PROGRAM: Natural Resource Data Management
CONTACT PERSON: Paul Faeth
PROJECT TITLE: Integrated Planning Technology (IPT)
SOURCE OF FUNDING: USAID/S&T/FENR; IUCN; AAAS
DURATION/YEAR: 1985-1989
LOCATION(S): Zimbabwe, Kenya, Botswana, Namibia, Ghana, India, Thailand, the Philippines

PURPOSE: To develop, test, and apply methods of systems analysis to development planning. The objective was to provide development planners with an additional tool to allow them to simulate alternative development plans before implementing them. The particular emphasis of the project was on sustainable natural resource use. IPT was intended to find a better ultimately more economical way of targeting policies, programs, and projects by getting a more accurate and systematic fix on goals, issues, and information requirements, and by testing alternative scenarios.

DESCRIPTION: After the demonstration successfully completed for the USAID/Asia Office of Energy and Environment, the USAID/S&T Office of Forestry, Environment, and Natural Resources decided to sponsor a new project area for what was called Integrated Planning Technology (IPT), under the EPM program. Under this project, two purposes were defined: (1) to "validate" the methodology through an intensive case study in a resource area where USAID had interest but difficulty in development planning, and (2) to disseminate the methods through numerous demonstrative workshops.

Workshops covering a variety of resource areas including coastal, forest, agricultural, and range were held in the countries listed above.

An intensive case study of range management was undertaken over the course of a two-year period in Zimbabwe. The case study successfully showed the utility of the method by identifying the causes of range degradation and testing alternative management strategies to maintain the resource base.

PRODUCTS: A report entitled Planning in the Dark: Illuminating Natural Resource Development with a New Systems Process (The Rangelands and Wildlife Case), has been completed and avenues for publication are being explored.

CURRENT STATUS: Closed.

NATURAL RESOURCES DATA MANAGEMENT

Technical Advisory Services - Summaries

1. National Report Guidelines for the United Nations Conference on Environment and Development: 1990-91

Using EPM funding, the Center assisted the UNCED Secretariat and Preparatory Committee to develop draft guidelines for national reports. We put together a 15 page set of guidelines, a bibliography, and 10 steps on how to organize and prepare a national report, that could be used by national committees in planning their reports. The WRI draft guidelines were used by the Prep Comm in August, 1990, but somehow the last two sections, dealing with opportunities and planning for the future and an agenda for action, were omitted. So, we prepared a revised set of guidelines in November, 1990 called "formats", which we understand were distributed to countries.

This was an exciting and we believe useful activity drawing on EPM experience and information. Regretfully, we did not get a chance to directly participate in drafting the guidelines; if we had considerable time would have been saved and countries would be at least 2 months ahead of current schedules.

2. Urban Environmental Indicators: 1990-91

Working with the World Bank, IIED London, and AID, we have participated over the past 8 months in an informal dialogue on the need for and development of key statistical data on the environmental conditions in major cities in the developing world. As a result, we have convinced AID/APRE/H to draw on existing experience, review existing international and global databases and case studies, and more clearly identify their objectives and goals before embarking on a major data collection effort. The upshot is that we will prepare a background paper on indicators and objectives and data sources and then review findings and purposes with AID and Bank staff.

3. Latin American Natural Resource and Environmental Strategy: 1990-91.

Working closely with Lori-Ann Thrupp and her team, we were able to put together a set of 20+ tables and graphics for the LAC strategy from the WRR database. This was a cost effective, efficient way to draw on information and experience within different program areas of WRI.

4. GIS Experts Group: 1990-91

At the request of the Africa Bureau of AID, we undertook a review study of the need for an experts group on geographic information systems for natural resource management in Africa. The study concluded that AID did not yet have a clear idea of how it would use such a group, but that if they did want to constitute an experts group it should provide guidance directly to those doing the work: the Bureau or NRMS staff. A better use of the group may be to develop information policies concerning the use of GIS and other information technologies.

5. International Forum on Environmental Information for the 21st Century: 1990-91

WRI is a cosponsor of this conference and we've assisted Environment Canada in developing the program, inviting keynote speakers, developing the background theme papers, identifying participants (particularly those from LDCs), and outlining the final "statement" that will emerge from the conference. We've also emphasized the need to make environmental information an issue within the planning for UNCED in 1992. As a result, we've convinced the UNCED Secretariat to treat the Canadian-hosted conference report as an issue which will be presented at the next meeting of the Preparatory Committee.

6. Electronic Publishing: 1989-91

WRI and the Center are well known for high quality publications and public outreach. Supported by EPM, the NRDM staff have developed the first electronic publishing product for WRI: the diskette version of the 1990 Directory of Country Environmental Studies. In addition to printing and distributing 2,000 copies of the hardcopy, we have licensed and prepared a computerized version of this bibliographic report and to date have sold 65 copies. In this case, the electronic version allows the user to search 240 separate records for key environmental and natural resource topics, thus adding value to the original developmental effort. It is our plan in the second edition to limit the hard copy 1991 Directory to about 350 records, but put the full set on the diskette.

7. Corps of Engineers Global Database: 1989-91

With no expenditure of funds, just information, the NRDM project and the Resource and Environmental Information Program of WRI have assisted a senior engineer at the Corps of Engineers to develop, what we believe is, the first truly operational global environmental database for spatial analysis. Using sources of

the data from around the world, identified and located in part by WRI staff, the Center for Engineering Research Laboratory in Champaign, Illinois compiled digitized databases for a number of natural resource and environmental variables on a global scale and proceeded to conduct GIS analyses as part of the scoping exercise by the Joint Chiefs of Staff (DOD) to ensure that the U.S. military took global environmental conditions into consideration in planning and carrying out military exercises.

Because all the results from CERL's effort are classified, we have recommended and they have agreed to make their full database available to the public through the World Data Center in Boulder. Also, CERL is working to put together a PC version of the database and software for public use.

8. World Bank, EPA, and AID Indicator Development: 1989-91

WRI's Center and the Resource and Environmental Information Program have developed over that past three years a number of indicator projects in which we work closely with all three of these organizations. In fact, we now have cooperative and other agreements with all three organizations. What is so exciting is that the material we develop with support from one organization is made available to the others. Examples: EPA's financial support paid for the development of the first diskette version of the WRR database. The software used to search and retrieve the data was donated by the World Bank. Copies of the database will now be made available to AID as well as EPA and the Bank. With AID's financial support we have been able to expand and strengthen our data coverage for Africa. These series will be incorporated in the WRR database and be made available to EPA and the Bank.

The key is having the financial resources to strengthen our indicator program and at the same time responding to the policy information needs of these institutions.

A second point is that the Bank can work directly with U.S. Government Agencies only through official channels. This takes time and effort. By working with WRI, the Bank (and the U.S. Agencies) are able to try out ideas, share information, and work out data monitoring and reporting strategies in a more informal and collegial atmosphere.

NATURAL RESOURCES DATA MANAGEMENT

Papers/Conferences/Workshops/Outreach

1. WRI/EPA/AID/OECD:

Organized a half-day seminar on remote sensing for environmental analysis as part of a larger meeting on environmental statistics hosted by OECD and EPA. State Department, May, 1988.

2. WRI/IUFRO/Etc.:

Assisted in planning, "Global Natural Resource Monitoring and Assessments: Preparing for the 21st Century" An International Conference and Workshop; Venice, Italy, September 1989. Center staff helped plan the overall conference -- the first two planning meetings were held at WRI -- and organize the workshop on Institutional Opportunities. We, however, were very disappointed in the impact this conference had on policy makers; as a result we've have taken a more formal role in helping with the Canadian Forum on International Information and have helped steer the conference to focus on needs of policy makers.

3. OECD:

NRDM staff helped OECD plan its environmental indicator program for the next 5 years during a workshop in December, 1989. We prepared two briefs, "Review of Recent Work on Environmental Indicators in the United States", and "Suggestions for Developing A Program of Environmental Indicators in the OECD Context". We also drafted the draft Progress Report.

4. OECD:

WRI participated in the June, 1990 meeting on environmental indicators and state of the environment reporting. WRI indicators dealing with global deforestation and greenhouse gases were later incorporated into OECD's first report on indicators, "Preliminary Main Environmental Indicators".

5. EPA:

WRI staff assisted in organizing the EPA-sponsored Ecological Indicators International Symposium, Fort Lauderdale, Florida, October, 1990. WRI also prepared a paper on greenhouse gases and prepared comments as a panel member on opportunities for the future.

6. Environment Canada:

NRDM staff participated in the State of the Environment Indicators Workshop held in Toronto, Canada, August, 1989.

7. Canadian Environmental Advisory Council: Workshop on Ecologically Sustainable Development Economics:

NRDM staff prepared comments on how CEAC could proceed to institutionalize indicator development outside the government as well as strengthen indicator work in Environment Canada. July, 1990.

8. Institute for Research on Environment and Economy, University of Ottawa: Workshop on "Breaking the Barriers to Environmental Information":

NRDM staff assisted in planning the workshop and prepared comments on the papers dealing with developing better environmental information in developing countries. March, 1990.

9. WRI/EPA/ECE: Conference on the Economics of Sustainable Development:

NRDM staff were rapporteurs for plenary sessions on natural resource accounting and agricultural economics. Washington D.C. January, 1990.

10. ISTI:

Participated in workshop with ISTI on global databases. March, 1990.

Sustainable Agriculture

SUSTAINABLE AGRICULTURE

Project Summaries

- o **Lake Buhi Agroecosystems analysis project (in the Philippines) (November 1985)**
- o **Agroecosystem management policy seminar workshop Bicol River Basin Development Program (BRBDP) (July 1986)**
- o **Agroecosystem analysis training workshops**
- o **Integration of ecological land use capability classification and agroecosystem analysis in the Philippines (December 1985)**
- o **"Gatekeeper" Studies on Sustainability Issues in Agricultural Development (1987 to present)**
- o **Rapid Rural Appraisal training/short courses (1988 - 1990)**
- o **Rapid Rural Appraisal "Notes" Publications (RRA Notes series of Papers) (June 1988 to present)**

Papers/Outreach/Public Participation

- o **Journal Articles**
- o **Book Chapters**
- o **Monographs, Books, and Booklets**
- o **Gatekeepers (Briefing Papers)**
- o **Workshop Reports**
- o **Training Manuals**

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Gordon Conway)
PROJECT TITLE: Lake Buhi Agroecosystems analysis project
(in the Philippines)
SOURCE: USAID funding (EPM) for IIED
DURATION/YEAR: November 1985
LOCATION(S): Naga City, Philippines (workshop site)
and analysis in Lake Buhi/Bicol area, Philippines

PURPOSE: a) To critically assess and discuss the impacts of the Buhi Integrated Development Project and irrigation system on the land, agriculture, and water resources and on the people in the Lake Buhi area and b) to develop recommendations to solve problems and improve rural development and quality of life of the people.

DESCRIPTION: This five-day workshop constituted the basis for the comprehensive assessment of the environmental and social impacts of the Buhi Development project funded by USAID. (Although this project was intended to improve productivity of agriculture and access to water, it had several negative environmental and social impacts.) The workshop involved participation of people from many sectors in the evaluation of the key conflicts and priorities. Based on multidisciplinary agroecosystem analysis methods, the workshop participants presented data and information which helped to overcome inconsistencies in the project area, to develop mitigation measures, and plan for development needs of local farmers and fishermen.

PRODUCTS: The output included: a comprehensive five-day workshop; detailed data and information gathered by the participants on the environmental, social, and agricultural conditions in the project area, recommendations of actions and changes (eg, watershed management). Detailed conference proceedings were also produced.

MAIN RESULTS: The data and information from the agroecosystems analysis were incorporated into USAID's planning and implementation of the project. The participation of many sectors enhanced the potential for harmonizing interests and solving problems.

CURRENT STATUS: Completed analysis, workshop, and proceedings. The project continued in the Lake Buhi area, and rural development has progressed.

FOLLOW-UP: A Agroecosystem management policy seminar workshop followed this workshop (in July 1986), to discuss the findings at among policy-makers and to merge the suggestions into planning.

COMMENT: This workshop provides an example of where the flexible methods of agroecosystems analysis can be adapted effectively to evaluate a specific problem and project-area, and to provide constructive recommendations based on both strong empirical foundations and participatory dialogue and interaction.

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Gordon Conway, IIED)
PROJECT TITLE: Agroecosystem management policy seminar workshop
Bicol River Basin Development Program (BRBDP)
SOURCE: USAID funding (EPM) - IIED
DURATION/YEAR: July 1986
LOCATION(S): Diliman, Quezon City, Philippines

PURPOSE: To discuss the use of agroecosystems analysis findings in the planning of development programs in the Lake Buhi/Bicol River Basin, to make decisions regarding mitigation of negative impacts, and to resolve land and water conflict in the area.

DESCRIPTION: Following the agroecosystem analysis workshop on the Lake Buhi project/dilemmas (held in November 1985, supported by USAID/IIED), this seminar was held among policy-makers and high-level ministers in the Philippines. The findings, data, and suggestions of the agroecosystems workshop were discussed. Possible strategies and policy options were proposed as ways to resolve the dilemmas and land/water conflicts in the area. The participants also discussed measures to mitigate the problems and enhance benefits of irrigation. High-level officials expressed interest in the use of agroecosystems analysis, and in the involvement of NGOs and grassroots groups, and some expressed interest in merging this with cost-benefit analyses as well.

PRODUCTS: The outcomes included a well-attended one-day seminar/workshop, which included important decision-makers and officials; and a report/proceedings of the seminar.

MAIN RESULTS: This seminar raised awareness and interest of policy officials in the agroecological dilemmas and watershed problems in the Lake Buhi area, and in the methods of agroecosystem analysis. Although the participants did not make concrete policy changes in this workshop, it was apparent that several of them were committed to make changes and actions to address the problems.

CURRENT STATUS: Complete.

FOLLOW-UP: Buhi/Bicol integrated rural development project has continued. Some of the issues and problems identified in the seminar were addressed in the development project.

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Jenny McCracken, IIED)
PROJECT TITLE: Agroecosystem analysis training workshops
SOURCE: USAID funding (EPM) - IIED
DURATION/YEAR: 1986- 1986
LOCATION(S): Several locations: Thailand (7/87), Washington (11/87), Java, Indonesia (11/87)

PURPOSE: The aim of agroecosystem analysis workshops is to inform participants about the principles, method, and uses of agroecosystems analysis, to enable people to assess key agroecological and socioeconomic features of rural areas for the purposes of sustainable agricultural development.

DESCRIPTION: Workshops have been undertaken in several locations (noted above) to train people in the interdisciplinary agroecosystem analysis methods. Participants have included grassroots groups, extensionists, policy-makers, and development agency planners, who work in teams during the workshop sessions. The workshops were used for identification of key agroecological problems and constraints as well as opportunities in given areas, using "systems" approaches. Data and information was gathered, often using innovative and participatory methods. Included are analyses of trade-offs and convergence between goals of stability, productivity, and equity. Recommendations for changes and improved forms of agricultural production are discussed

PRODUCTS: The outcomes include fruitful workshops enabling people to learn by doing, interaction between people in different fields to identify key issues, useful data/information, recommendations which can be used to design plans, and workshop proceedings.

MAIN RESULTS: These workshops have enabled people to learn the methods of agroecosystems analysis which they, in turn, can use and teach to other people. This approach has been useful to complement other forms of rural development studies.

CURRENT STATUS: Agroecosystem analysis methods have been updated and integrated into the more recent Rapid Rural Appraisal and Participatory Rural Appraisal methods, which have been used in workshops and projects in 1988-90 under the sustainable agriculture program (IIED).

COMMENTS: This method was a "path-breaking" innovative approach to analyze and address issues of resources and ecology related to agriculture. The uniqueness and newness of this approach, as well as the analytical rigor and the interdisciplinary character facilitated excellent useful analyses as well as practical lessons about effective interventions to improve the sustainability of agriculture.

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Gordon Conway and Joseph Tosi)
PROJECT TITLE: Integration of ecological land use capability classification and agroecosystem analysis in the Philippines
SOURCE: U.S. Agency for International Development (IIED)
DURATION/YEAR: December 1985
LOCATION(S): The Philippines

PURPOSE: To integrate ecological land-use capability classification (involving harmonizing land uses with the ecosystem properties and capacities) with agroecosystems analysis methods, and to thereby to supplement and enhance the multidisciplinary assessments of land use/agricultural problems in tropical areas.

DESCRIPTION: This analysis presented the principles and methods of both agroecosystem analysis and land-use capability classification methodology, and explored the scope for merging and integrating these approaches. It used the Lake Buhi agroecosystem analysis project (undertaken by IIED as part of the sustainable agriculture program in the Philippines, 1985) as an example of a useful potential place to undertake this integration. Land-use capability assessment is particularly useful in areas where the land is highly fragile, as in steeply sloped soils. Similarly, the project helped to show whether and where soils were capable of sustaining agriculture.

PRODUCTS: This project produced: a) Data collection on land use capabilities and classification of Life Zone systems, to add to the agroecosystem analysis data; b) a report describing the methods and the potential/utility of integration; c) evaluation of the Lake Buhi agroecosystem analysis workshop.

MAIN RESULTS: The project produced a very useful analysis and data which was used in the assessment of agro-ecological impacts of land use and development projects, particularly in the Lake Buhi area of the Philippines.

CURRENT STATUS: Completed.

FOLLOW-UP: There was further discussion and utilization of these findings in the Agroecosystem management policy seminar workshop among policy-makers. The data was included in policy-making procedures for the Buhi/Bicol watershed area.

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Jules Pretty, IIED)
PROJECT TITLE: "Gatekeeper" Studies on Sustainability Issues in Agricultural Development
SOURCE: USAID funding (EPM) - IIED
DURATION/YEAR: 1987 to present
LOCATION(S): Produced in London, England

PURPOSE: The aim of these studies on sustainability issues is to produce papers which highlight key topics in the field of sustainable agriculture, and to draw preliminary conclusions and recommendations of relevance to development activities.

DESCRIPTION: The "Gatekeeper Series" are analyses of crucial issues and dilemmas in the field of sustainable agriculture, agroecology, and natural resource management. Topics included in these timely studies include soil conservation, participatory approaches, research innovation, indigenous agricultural knowledge, technology transfer, pastoral management, etc. The studies are published in soft-covered "Briefing Papers," which are distributed to development practitioners and analysts interested in these subjects. The papers provide concise analyses which are useful for both research and practical efforts. They are based largely on practical experiences in developing countries, and they draw broader conceptual lessons from specific cases. The authors include both IIED staff and external individuals experienced in this field.

PRODUCTS: The "Gatekeeper series" briefing papers, described above, are the main products. They are published regularly, and a total of approximately 25 have been published and distributed.

MAIN RESULTS: These papers have been useful for people in the field and in planning offices who are working on sustainable agriculture, resource management, and rural development issues.

CURRENT STATUS: The Gatekeeper series is continuing under the sustainable agriculture program (IIED)

COMMENT: The brevity and conciseness of these papers is valuable for readers, especially for those who have limited time. The summaries are clear for understanding the central issues. Letters of appreciation are received regularly from development practitioners and researchers worldwide.

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Jenny McCracken, IIED)
PROJECT TITLE: Rapid Rural Appraisal training/short courses
SOURCE: USAID funding (EPM) - IIED
DURATION/YEAR: 1988- 1990
LOCATION(S): Several locations: Washington (USAID) 11/88, 4/90, Khartoum (University of Khartoum/AID) 1989, Washington/AID 4/90, Santiago, Chile (CLADES, 11/90).

PURPOSE: The aim of Rapid Rural Appraisal (RRA) training/short courses is to inform participants about the principles, methods, and uses of RRA, to enable them to assess key agroecological and socioeconomic features of rural areas for the aims of sustainable rural/agricultural development and natural resource management, and to enable them to undertake their own RRA exercises.

DESCRIPTION: Workshops have been undertaken in several locations (noted above) to train people in the interdisciplinary RRA methods. RRA incorporates the principles of Agroecosystems analysis, but goes beyond this to include additional assessment of natural resource conditions, and generally aims to be more participatory with local people. Participants in workshops have included grassroots groups, extensionists, policy-makers, and development agency planners, who worked in teams during the workshop sessions. The workshops were used for identification of key agroecological problems and constraints as well as opportunities in given areas, using RRA methods. Data and information was gathered from the field, often using innovative participatory methods. Included are analyses of land and water resources, forest resources, watershed management, as well as agriculture sustainability issues. Fieldwork was thus a central part of these workshops (except in the Washington workshops). Recommendations for changes and improved forms of resource management are identified.

PRODUCTS: The outcomes include fruitful workshops and training sessions enabling people to learn by doing, interaction between people in different fields for problem-solving, useful data, recommendations which can be used to design resource management action plans, and workshop proceedings.

MAIN RESULTS: These workshops have enabled people to learn RRA methods, which they, in turn, can use and teach to other people to work toward the goals of sustainable development.

CURRENT STATUS: RRA workshops are planned for 1990 in sustainable agriculture (including in Latin America). They have increasingly emphasized full participation of local people, thus called "Participatory Rural Appraisal" in recent workshops.

PROJECT SUMMARY

PROGRAM: Sustainable Agriculture
CONTACT PERSON: Lori Ann Thrupp (Jenny McCracken, IIED)
PROJECT TITLE: Rapid Rural Appraisal "Notes" Publications
(RRA Notes series of Papers)
SOURCE: USAID funding (EPM) - IIED
DURATION/YEAR: June 1988 to present
LOCATION(S):: Produced in London, England

PURPOSE:: The aim of this series of papers is to share experience and methods of Rapid Rural Appraisal (RRA) among practitioners of RRA and development analysts. It intends to inform people of activities and projects involving RRA, and to provide news of meetings, workshops, literature, and events that pertain to RRA.

DESCRIPTION: The publications of RRA notes are informal pieces on any topic related to RRA. They are prepared and produced regularly (usually quarterly), and are distributed to a wide range of development practitioners. They are relatively informal in style. They report on activities of the Sustainable Agriculture Program; and RRA practitioners are encouraged to contribute short accounts of their experiences with techniques in the field or in workshops. They are useful for people who need information on methods that are effective in field situations, and also report on constraints and problems to avoid. The scope of topics included is fairly wide; the interpretation of RRA is likewise very broad -- including approaches of rural/natural resource analysis which are semi-structured, multidisciplinary, and learn directly from local inhabitants. The emphasis is on sharing timely insights, hypothesis and suggestions, rather than "panaceas" or fixed recommendations.

PRODUCTS: The RRA Notes series is a concise and easily readable series of papers which contain useful short pieces of information described above. They are distributed regularly, about every 3 months, and are used by development analysts and practitioners dealing with agroecological issues.

MAIN RESULTS: These notes have assisted people in the field and in planning offices in providing ideas for RRA workshops and projects, and to inform people of events and meetings which will be useful for learning about this subject.

CURRENT STATUS: RRA notes series is continuing under the sustainable agriculture program (IIED).

COMMENT: The informal character of these publications made them useful for timely exchange of ideas and accessible at no cost to a wide audience of readers in developing and developed countries.

Articles Funded Under EPM-Sustainable Agriculture Program

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CIDE/WRI**

JOURNAL ARTICLES

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Biological Diversity

BIOLOGICAL DIVERSITY

Project Summaries

1990

1. Biodiversity Priorities Project (Nels Johnson, 1990-ongoing).
2. Paper for OECD on Suggested Donor Activities for the Conservation of Biological Diversity (Nels Johnson, 1990)
3. Colloquium on Sustainability in Primary Tropical Forest Management (Nels Johnson, 1990-ongoing).

1989

4. Community-Based Conservation of Genetic Resources Small Grants (Nels Johnson, 1989-ongoing).
 - a. SIBAT - Philippines
 - b. Gestion de Ecosistemas - Mexico
 - c. Centro de Educacion y Tecnologia - Chile
5. Evaluation Report on the USAID ANE Regional Environmental Activities Project (George Furness, 1989).
6. Biological Diversity in Asia and the Near East: Status, Trends, and Conservation. Background paper for USAID/ANE Environment and Natural Resources Strategy (Nels Johnson, 1989).

1988

7. Jamaica PARCS Project Feasibility Study (Brian Houseal/The Nature Conservancy, 1988).
8. Reports to the U.S. Congress on USAID Programs to Conserve Tropical Forests and Biological Diversity.
 - a. 1987 Report (Dan Tunstall, 1988)
 - b. 1988-89 Report (Riasa Scriabine, 1989-1990)
9. Biological Diversity and Tropical Forest Assessments.
 - a. Guatemala (Jim Nations, 1988)
 - b. Ecuador (Bruce Cabarle, 1988)
 - c. Eastern Caribbean (Nels Johnson/Kirk Talbott, 1988)
 - d. Bangladesh (Janis Alcorn/Nels Johnson, 1989)

10. Survey of U.S.-Based Efforts to Research and Conserve Biodiversity in Developing Countries.
 - a. 1987 Survey (Janet Abramovitz, 1988-1989)
 - b. 1989 Survey (Janet Abramovitz, 1990-1991)
11. Biodiversity Support Program Executive Committee Participation (Walter Arensberg/Nels Johnson, 1988-ongoing).

1987

12. U.S. Government Biodiversity Activities Database (Nels Johnson, 1987-1988).
13. Philippine Biodiversity Survey and Action Plan (Haribon Foundation/WCMC, 1987-1990).

PROJECT SUMMARY

CONTACT: Nels Johnson

PROJECT TITLE: Filling the Ark: Biodiversity Priorities Project

FUNDING SOURCE: \$50,000 from Biodiversity Support Program
(Cooperative Agreement with USAID/S&T, managed by WWF, TNC, WRI)

DURATION/YEAR: June, 1990 - May, 1991

LOCATION(S): Washington.

PURPOSE: To produce a publication analyzing various methods to determine biological diversity conservation priorities, and to develop guidelines to help priorities to be implemented. The emphasis is on methods which can be used to identify habitat and ecosystem conservation priorities at a national level.

DESCRIPTION: Establishing priorities to identify those elements of biodiversity most in need of conservation actions is a difficult, but inevitable, aspect of conservation planning in the 1990s. This project will address a fundamental question of importance to conservation institutions around the world. What methods are available for deciding which ecosystems, habitats, and species deserve precedence in the allocation of conservation resources?

The purpose of this project is to review methods by which priority ecosystems, habitats, and species can be identified to support clearly defined biodiversity conservation objectives. In addition to the review of such methods, and databases relevant to such efforts, the project report will develop a set of guidelines that can be used for choosing a suitable approach for establishing priorities. The audience to which the project report is directed consists of conservation institutions in developing countries, and those assessing conservation needs on behalf of major international donors.

PRODUCTS: A publication (approximately 100 pages) in the WRI Biodiversity Conservation Strategy series.

MAIN RESULTS: None yet.

CURRENT STATUS: The project is currently conducting research, with a draft expected in May/June, 1991.

FOLLOW-UP: Not yet determined, but may involve research on how priority setting takes place in 3-4 tropical countries.

PROJECT SUMMARY

CONTACT: Nels Johnson

PROJECT TITLE: OECD Paper on Suggested Donor Activities for the Conservation of Biological Diversity

FUNDING SOURCE: Approximately \$5,000 from EPM

DURATION/YEAR: July - August, 1990

LOCATION(S): Washington

PURPOSE: To help OECD donors to support effective efforts to conserve biodiversity.

DESCRIPTION: Johnson was requested by USAID/PPC in July 1990 to prepare a paper on suggested biodiversity conservation activities for OECD donors. This paper became the U.S. contribution to the OECD Development Assistance Committee's policy paper presented at the OECD Working Party on Development Assistance and Environment meetings in Paris (Oct. 1-2). The paper prepared by WRI outlined five major areas for donor support, and suggested 24 discrete activities under these five themes. The five themes included: 1) policy actions; 2) national biodiversity conservation strategies; 3) institutional strengthening of host country institutions; 4) field actions; and 5) strengthen donor capacity to coordinate and implement conservation. The WRI paper was adopted by the OECD/DAC at the October meeting.

PRODUCTS: A twelve page paper was produced which was incorporated into a 38 page paper, "Development Assistance Committee Working Party on Development Assistance and Environment: Biodiversity Policy Paper."

MAIN RESULTS: The WRI paper was approved and incorporated into the overall policy paper by OECD/DAC with minimal revision. The paper was also presented at UNCED Prepcom meetings in Nairobi.

CURRENT STATUS: Completed August 16, 1990.

FOLLOW-UP: None planned, but will respond if OECD or USAID/PPC want follow-up activities.

COMMENT: USAID/PPC was extremely pleased with the paper, and according to a U.S. representative to OECD/DAC (Jeff Schweitzer), the paper was very well received by the Working Party on Development Assistance and Environment.

PROJECT SUMMARY

CONTACT: Nels Johnson

PROJECT TITLE: Colloquium on Sustainability in Natural Tropical Forest Management

FUNDING SOURCE: EPM (approximately \$30,000), USFS (\$10,000), EPA (\$10,000), USAID/LAC (\$10,000), USAID/S&T (\$20,000 ?)

DURATION/YEAR: December, 1990 - April, 1991

LOCATION(S): Washington, with resource experts coming from around the world.

PURPOSE: To convene a two day colloquium in Washington for senior level development assistance administrators (USAID, World Bank, etc.) to examine whether and how development assistance can more effectively support sustainable natural forest management in the tropics.

DESCRIPTION: One of the principal challenges facing donor agencies today is identifying the most productive investments in maintaining tropical forest resources. The sustainable production of timber from natural forest areas may be an important part of the answer. Considerable controversy, nevertheless, surrounds this prospect. Is the sustainable management of natural forests possible?

This colloquium, designed for key decision-makers of development assistance agencies and other relevant policy-makers, will be an important step toward identifying whether development assistance can be more effective in supporting the wider practice of sustainability in tropical timber management. Achieving consensus on this issue is particularly timely and urgent; consider, for example, the central role of sustainability in current discussions about forests in the Tropical Forestry Action Plan, the G-7 interest, and the World Bank's imminent new policy paper on forests. No issue is more controversial or central to the future of tropical rainforests.

PRODUCTS: A two day colloquium attended by approximately 70 senior development assistance administrators and U.S. policy makers on sustainability in natural forest management, and realistic policy options related to sustainable timber management. The colloquium will feature over a dozen internationally known experts in this field. In addition, the proceedings will be published, and a background paper is being prepared, which may also be published.

MAIN RESULTS: Not available yet.

CURRENT STATUS: Colloquium is scheduled for March 21-22, 1991.

PROJECT SUMMARY

CONTACT Nels Johnson

PROJECT TITLE: Small Grants for Community-Based Conservation of Genetic Resources

FUNDING SOURCE: International Foundation (\$50,000)

DURATION/YEAR: 1989 - ongoing

LOCATION(S): Philippines, Mexico, Chile, and a yet to be determined location in Africa.

PURPOSE: The genetic resources small grants program is designed to enable grassroots NGOs to implement community-based strategies for the conservation of traditional crop varieties. A major premise of this program is that international agricultural research centers are not equipped to conserve and make available important agricultural genetic resources found in many communities. These genetic resources are being lost due to a variety of factors (including their replacement with hybrid varieties), at a time when it is increasingly evident that traditional crop varieties can be very important for food and income security.

DESCRIPTION: This program has provided three grants of approximately \$10,000 each to small NGOs in the Philippines, Mexico, and Chile. Two of these institutions, Sibol ng Agham at Akmang (SIBAT) in the Philippines and Gestion de Ecosistemas in Mexico, were identified as leaders in community-based genetic resources conservation in their respective countries during the first year of the Center's project in community-based genetic resources conservation. A grant agreement was finalized in December with a third organization, Centro de Educacion y Tecnologia (CET), in Chile. In the Philippines, SIBAT is establishing a seed bank and rice genetic resources conservation and breeding program in San Jose, Mindoro. In Mexico, Gestion de Ecosistemas is working in Veracruz with traditional garden and fruit varieties. In Chile, CET is working on the conservation of potato genetic resources on the island of Chiloe. All three of these organizations have strong relationships with farmers' organizations in the communities where the programs are being implemented (for more detail, see case study).

PRODUCTS: Four grants to support genetic resources conservation programs in selected communities in the Philippines, Mexico, Chile, and one that has not yet been awarded, but will probably go to an organization in Kenya. There will be reports provided by all of the grant recipients at the conclusion of the grant period. Pending further funding, these will be the basis for a publication on the viability and policy issues related to local genetic resources conservation.

MAIN RESULTS: Too early to say yet, but reports from grantees thus far are very encouraging.

CURRENT STATUS: Ongoing

FOLLOW-UP: Will depend on additional funding.

COMMENT: This has the potential to provide tremendous insight into whether, why, and how local efforts to conserve local genetic resources deserve much greater support than they currently receive (almost none from major donors). Conserving and improving traditional crop varieties at a local level may be one of the keys to the wider practice of "sustainable" agriculture. A major problem, however, is the major administrative burden of a grants program that the budget does not adequately provide. Nor does the budget provide the resources to prepare case studies and publish the insights provided by the grants.

PROJECT SUMMARY

CONTACT: George Furness (consultant)
PROJECT TITLE: Evaluation Report on USAID/ANE Regional Environmental Activities Project
FUNDING SOURCE: EPM Program (\$7,820)
DURATION/YEAR: January - March, 1989
LOCATION(S): Washington

PURPOSE: To conduct a mid-term evaluation of the biodiversity conservation activities funded under the USAID/ANE Regional Environmental Activities Project. Evaluation of biodiversity activities under this regional project was requested by Molly Kux, regional environment officer for USAID/ANE, to examine how future activities can benefit from past activities.

DESCRIPTION: Furness examined biodiversity conservation activities conducted under the ANE Regional Environmental Activities project between 1986 and 1989. Sixty five grants were evaluated, many of them through a program administered by the International Affairs Office of the U.S. Fish and Wildlife Service. Other grants evaluated went directly to WWF-U.S., the National Park Service, and the Center for International Development and Environment (WRI). Furness concluded, "The small, discrete project approach has insured concrete, impressive results, and provided less relative potential for program failure than the investment of a similar amount of AID dollars into only a few projects."

PRODUCTS: A 64 page evaluation report was produced entitled, "Program Evaluation of Biological Diversity Conservation Activities Conducted through ANE/PD/ENV Regional Environmental Activities Project."

MAIN RESULTS: This is difficult to judge, given the reorganization of USAID/ANE into two bureaus, APRE and NEE. It does appear the evaluation has, however, helped USAID/APRE to assess its biodiversity priorities for the 1990s.

CURRENT STATUS: Completed, April, 1989.

FOLLOW-UP: No follow-up was made, as the activity was an evaluation for internal use by the Bureau for Asia/Near East.

COMMENT: Before a new project could be designed by ANE, the bureau was reorganized. Some use of the report was made by Dr. Janis Alcorn in a report prepared for USAID: "AID Biodiversity Investments in the Near East and Asia: An Assessment of the '80s and an Agenda for the '90s."

PROJECT SUMMARY

CONTACT: Nels Johnson
PROJECT TITLE: Biodiversity Issues Paper for the USAID/ANE Natural Resources and Environment Strategy
FUNDING SOURCE: EPM Program (Approximately \$12,000)
DURATION/YEAR: January, 1989 - May, 1989
LOCATION(S): Washington

PURPOSE: This project was intended to serve as a background paper on biological diversity issues for the USAID/ANE Natural Resources and Environment Strategy.

DESCRIPTION: This paper examined a number of issues related to biological diversity and its conservation throughout the countries in the ANE Bureau from Morocco to Fiji. The paper addressed six major topics including 1) known economic and development values of biological diversity found in ANE countries; 2) current and projected trends affecting biodiversity in ANE countries; 3) "root causes" of biological impoverishment in the region; 4) identification of indicators for monitoring biodiversity; 5) a review of USAID/ANE's experience with biodiversity conservation; and 6) recommendations to USAID/ANE for enhancing its role as a supporter of conservation institutions and activities in the region.

PRODUCTS: 73 page report, plus appendices entitled "Ecological, Economic, and Development Values of Biological Diversity in Asia and the Near East."

MAIN RESULTS: The paper contributed significantly to the Center's report to USAID/ANE, "Towards an Environment and Natural Resources Strategy for Asia and the Near East." It was also in the preparation of a more recent assessment of USAID biodiversity activities, and a new agenda for USAID in Asia and the Near East by Janis Alcorn.

CURRENT STATUS: Completed May, 1989

FOLLOW-UP: Approximately 200 copies distributed, otherwise no specific follow-up because no budget available for publication.

COMMENT: A considerable amount of effort went into this project. I believe it fell short of its potential because no resources were available to edit and publish the paper, which I would very much like to have done.

PROJECT SUMMARY

CONTACT: Brian Houseal (The Nature Conservancy)
PROJECT TITLE: Technical Assistance for Jamaica PARC Project
FUNDING SOURCE: EPM Program (Approximately \$15,000)
DURATION/YEAR: March - April, 1988
LOCATION(S): Jamaica

PURPOSE: To prepare a feasibility study for a national park system in Jamaica, and to examine what part of that system should be supported by the USAID/Kingston PARC project.

DESCRIPTION: Brian Houseal from The Nature Conservancy, and Ralph Fields, an independent consultant spent a month in Jamaica working with USAID/Kingston to design a project to establish a national park system in Jamaica. Until this time, the country had no national parks system, and only a few small and relatively ineffective protected areas. Houseal and Fields worked with several Jamaican counterparts and recommended that a national park system start modestly with only a few units during its first five years. They recommended that USAID's PARC project support this new protected areas system by assisting with the establishment, planning and management of two units, one a marine park at Montego Bay, and the other, Blue Mountains National Park northeast of Kingston.

PRODUCTS: A feasibility report that USAID/Kingston used to prepare a Project Identification Document for the PARC project.

MAIN RESULTS: USAID went on to obligate the PARC project. It is now supporting the development of the Blue Mountain National Park as well as the Montego Bay National Marine Park, with assistance from the Nature Conservancy.

CURRENT STATUS: Completed in April, 1988.

FOLLOW-UP: No follow-up to this project was provided for, although the Nature Conservancy has since been closely involved with the PARC project.

PROJECT SUMMARY

CONTACT: Janet Abramovitz, Dan Tunstall
PROJECT TITLE: Reports to the U.S. Congress on USAID Programs to Conserve Tropical Forests and Biological Diversity
FUNDING SOURCE: EPM Program
DURATION/YEAR: 1989-90
LOCATION: Washington, DC

PURPOSE: To assist AID, especially S&T/FENR, with this congressionally mandated task.

DESCRIPTION: Following the 1987 Report to Congress, which we prepared (see separate summary), we were asked to oversee the preparation of a new report that could serve as an outreach tool. AID wanted a report that was attractive and could be easily digested by Capitol Hill and others. Diana Page (initial project manager) chose a design firm and writer to prepare the report. Janet Abramovitz took over as project manager for the final stages of the project.

PRODUCTS: "Conserving Tropical Forests and Biological Diversity: 1988-89 Report to Congress on AID's Tropical Forestry and Biological Diversity Programs." 1990. 44 pages.

MAIN RESULTS: The report was completed on time and within budget. ___ copies were distributed. AID was very pleased with this polished report and uses it as an outreach tool.

CURRENT STATUS: Completed.

COMMENT: The report was completed on time and within budget.

PROJECT SUMMARY

PROGRAM: Biodiversity
CONTACT: Nels Johnson
PROJECT TITLE: Biological Diversity and Tropical Forest Assessments (Guatemala, Ecuador, Eastern Caribbean, Bangladesh)
FUNDING SOURCE: EPM Program (Approximately \$235,000)
DURATION/YEAR: June, 1988 - December, 1989
LOCATION(S): Guatemala, Ecuador, Eastern Caribbean (Barbados, Antigua, St. Kitts/Nevis, Montserrat, Dominica, St. Lucia, St. Vincent, Grenada), and Bangladesh.

PURPOSE: To enable USAID missions to comply with Sections 118 and 119 of the Foreign Assistance Act which state that all missions will prepare assessments on the status of biological diversity and tropical forests, the need for conservation activities, and the extent to which USAID can assist the host country to meet those needs.

DESCRIPTION: The Center has conducted four biological diversity and tropical forest assessments for USAID. The first assessment was in Guatemala during August to November of 1988, led by James Nations (now of Conservation International) and included Brian Houseal (Nature Conservancy), Dietmar Rose (University of MN), Greg Miller (now of the Nature Conservancy, and four Guatemalan counterparts. The second assessment in Ecuador during the fall of 1988 was led by the Center's Bruce Cabarle and included John Shores (now of the Peace Corps), Muriel Crespi (U.S. National Park Service), Calaway Dodson (Missouri Botanical Gardens), Carl Luzuriaga (Ecuador Dept. of Ag.), and Dietmar Rose. Also during the fall of 1988 (Oct.-Dec.), Nels Johnson led a biodiversity assessment team in the Eastern Caribbean for USAID/RDOC. This team included Kirk Talbott of the Center, Ivor Jackson (Antigua-based national parks planner), Robert Teytaud (Island Resources Foundation), and Andres deGeorges of USAID. In December, 1989, Janis Alcorn (formerly with USAID/ANE) and Nels Johnson also wrote an assessment for Bangladesh in connection with the Center's ENRA project. All teams were multi-disciplinary, and spent at least one month in the field.

PRODUCTS:

1. Biodiversity in Guatemala: 185 pp.
2. An Assessment of Biodiversity in Ecuador: 160 pp.
3. Biological Diversity and Tropical Forest Assessment for the Eastern Caribbean 128 pp.
4. Conservation of Biological Diversity in Bangladesh 46 pp.

MAIN RESULTS: It is difficult to assess the results of these assessments. With the possible exception of Bangladesh (where the Mission is rather disinterested in conservation), all three have influenced subsequent mission programming. All were widely distributed within their respective countries, even though none were provided with budgets to do so. A major problem in assessing the result is that all were done as discrete one-shot activities. Technically, they are supposed to influence the mission's CDSS, but, in fact, most missions have treated biodiversity assessments as a nuisance imposed by Congress (Sections 118 and 119 of the Foreign Assistance Act.

CURRENT STATUS: Completed December, 1989

FOLLOW-UP: Very limited follow-up. For the most part follow-up has consisted of checking in with missions when circumstance has allowed. Bruce Cabarle, with his frequent visits to Ecuador, has been able to follow developments at the mission on a regular basis.

COMMENT: I think the Center has conducted some of the best biodiversity assessments done for USAID. They all have what biodiversity assessments should have: clear descriptions of the resources; concise analyses of conservation problems; and appropriate prescriptive recommendations to USAID based on that analysis. I think they went further than most other biodiversity assessments done for USAID. I think they speak for themselves. Unfortunately, they have not lived up to their potential because of several factors (e.g., not enough budgeted for publication and distribution; no provision for follow-up; done outside of the CDSS process, etc.).

PROJECT SUMMARY

PROGRAM: Biodiversity
CONTACT: Janet N. Abramovitz
PROJECT TITLE: Biodiversity Survey (of U.S. funded activities)
SOURCE OF FUNDING: EPM for work in 1988 and 1989, EPM and the AID-funded Biodiversity Support Program for 1989 and 1990.
DURATION/YEAR: January, 1988 - February, 1991

PURPOSE: To assess and analyze, for the first time ever, the biodiversity research and conservation activities in developing countries funded by U.S. public and private institutions (government, NGOs, universities, museums, botanical gardens, zoos, etc.).

DESCRIPTION: In 1988, EPM supported a pilot study by Janet Abramovitz to determine the feasibility of gathering information from other U.S. funders on their 1987 activities similar to the database IIED had already developed for AID biodiversity activities. Abramovitz was able to gather and analyze more data than was anticipated would be made available and thus the project was expanded. Through rigorous screening and analyses a report was written by her, A Survey of U.S.-Based Efforts to Research and Conserve Biological Diversity in Developing Countries, which was published and distributed by WRI in October 1989. The report was very eagerly received and used by donors and others in both developed and developing countries. The positive response by both AID and other readers, led to the undertaking of a second project to examine 1989 activities and compare them to 1987 data. Investing in Biological Diversity will be released by WRI in March 1991.

PRODUCTS:

- 1) A Survey of U.S.-Based Efforts to Research and Conserve Biological Diversity in Developing Countries, report on 1987 activities. 71 pages. WRI published and distributed 5000 copies in October 1989.
- 2) Investing in Biological Diversity, report on 1989 activities and comparison with 1987. 100 pages. WRI is publishing and distributing 6500 copies in March 1991.

MAIN RESULTS: Prior to these reports there was no source of information on how much U.S. public and private institutions were spending, where the money was going, and what types of activities were happening on the ground. This project has stimulated and satisfied interest in concrete, specific information about biodiversity activities in the tropics. The results are frequently and continuously requested, cited, and quoted (by donors, recipients, media, etc.). AID has been very pleased with the quality and outcome of these two reports.

CURRENT STATUS: Completed.

FOLLOW-UP: This project is leading to the expansion of the activity to track investments by other donor countries and the developing countries themselves, and to transfer the survey methodology to institutions in these countries. This new effort will be funded by the AID-funded Biodiversity Support Program, likely as part of WRI's Forests and Biodiversity Program. In addition, the results from Investing and subsequent work will also be included in the upcoming Global Biodiversity 1992: Status of the Earth's Living Resources being compiled by the World Conservation Monitoring Centre in collaboration with WRI.

COMMENT: This activity has been very successful.

PROJECT SUMMARY

CONTACT: Nels Johnson
PROJECT TITLE: U.S. Government Biodiversity Activities Database
FUNDING SOURCE: US Fish and Wildlife Service, Office of International Affairs (approximately \$30,000)
DURATION/YEAR: January, 1987 - June, 1988.
LOCATION(S): Washington

PURPOSE: To define and track U.S. government activities supporting biodiversity conservation in developing countries. The database was designed to both inform USAID about these activities for their own purposes, but also to provide data for congressional reports as required by Section 118 and 119 of the Foreign Assistance Act.

DESCRIPTION: The project had two phases, both supported by the U.S. Fish and Wildlife Service (which itself received the funds through USAID). First, a methodology was established to identify activities that would meet the Congressional definition of biological diversity conservation activities as set forth in Section 119 of the Foreign Assistance Act. The definition developed by this project remains the one used today to classify biodiversity conservation activities. Data was gathered from all USAID Bureaus, missions, and for the first two years, all other US agencies with international conservation activities. Second, a database for these activities was constructed with DBASEIII+, and programs written for various types of data printouts. For each conservation activity, nearly 70 fields of information was collected. The database contained data for FY 1986 and 1987 from all US agencies, and for FY 1988 from USAID only (at the request of USAID because of limited funds).

PRODUCTS: A three volume database set (on disk) for 1986-1988. A technical manual was also produced and distributed, User's Guide to the U.S. Government Biodiversity Activities Database.

MAIN RESULTS: Information from the database provided data used to write the 1986, 1987 and 1988 reports to Congress on USAID conservation activities. The database was installed at USFWS, and USAID, and I believe may also have been used at the National Park Service. In 1988, USAID decided to hire a contractor to track all USAID natural resources activities

CURRENT STATUS: Completed June, 1988.

FOLLOW-UP: This led Nels Johnson to design and implement the Biodiversity Survey Project.

PROJECT SUMMARY

CONTACT: Nels Johnson

PROJECT TITLE: Philippines Biodiversity Survey and Action Plan

FUNDING SOURCE: \$78,000 contract from USAID/ANE

DURATION/YEAR: September, 1987 - December, 1989

LOCATION(S): Philippines

PURPOSE: To provide the first ever overview and assessment of biological diversity in the Philippines, and to assess priority actions for their conservation.

DESCRIPTION: This project was initiated with the Haribon Foundation and the World Conservation Monitoring Center (WCMC) in 1987 by IIED/North America, and supported by USAID/ANE. A survey of data and information on biological resources was conducted by Haribon and WCMC using existing sources of information, assessments of threats to biodiversity, and an analysis of socio-economic factors behind the biodiversity crisis in the Philippines. This was supplemented by limited field visits by Haribon staff. Two major conferences were held in Manila in connection with this project, both well-attended by the country's leading scientists and conservationists. The project collected and generated a considerable body of information on the biological resources of the Philippines that has been used by USAID, the World Bank, and at the University of the Philippines as course materials in undergraduate biology and environmental studies courses.

PRODUCTS: Sixteen background papers which include eleven on the biodiversity of all major ecosystem types in the country, and five on various social/economic dimensions to conservation in the Philippines. Haribon has made arrangements for this body of material to be published. In addition, WCMC produced a 75 page document for the project entitled, The Conservation Status of Biological Resources in the Philippines. Two conferences were held in Manila, each attended by over 100 of the country's leading biologists, ecologists and conservationists.

CURRENT STATUS: Contract completed, but Haribon still has not produced the final report. This should be available soon.

FOLLOW-UP: Nels Johnson has worked with Haribon to get the final report out. Other commitments have hampered this pursuit.

COMMENT: This project has produced some very fine work, some of questionable value, and a frustrated history of trying to get the final report out. A major problem with this project is that it was severely underfunded. USAID wanted everything including the kitchen sink in this project, and yet provided minimal resources to ensure that the final product could be satisfactorily completed. Johnson has spent an enormous amount of his personal time in trying to accomplish this objective.

CASE STUDY

COMMUNITY-BASED CONSERVATION OF GENETIC RESOURCES

March 1991

INTRODUCTION

During the past two years the Center for International Development and Environment has provided three grants to non-governmental organizations (NGOs) involved in efforts to help communities conserve local genetic resources. Two of these institutions, Sibol ng Agham at Akmang (SIBAT) in the Philippines and Gestion de Ecosistemas in Mexico, were identified as leaders in community-based genetic resources conservation in their respective countries during the first year of the Center's project in community-based genetic resources conservation. A grant agreement was finalized in December with a third organization, Centro de Educacion y Tecnologia (CET), in Chile

All three countries possess crop genetic resources of global importance. Rice is grown in more than 110 countries around the world and is the world's most important cereal crop. Several thousand locally adapted varieties of rice existed in the Philippines as recently as the 1960s. Mexico is considered to be one of the major centers of origin for globally important crop species. Chile is important for the diversity of potato varieties grown under a wide range of agroecological conditions. In all three countries, the erosion of genetic diversity in food crop species has accelerated dramatically during the past 25 years, despite the development of major agricultural research centers supported by international donor agencies.

In the Philippines, SIBAT initiated field work with a community on the island of Mindoro to establish a seed bank for traditional rice varieties. The grant is also supporting training programs for local farmers' organizations on Mindoro genetic resources conservation and breeding techniques for use with traditional rice varieties.

In Mexico, Gestion de Ecosistemas initiated a local genetic resources conservation program in the state of Veracruz supported by a grant from WRI. This program is working with community organizations and the Cultural Institute of Veracruz to develop communal orchards in which wild species and endangered traditional crop varieties have been introduced. Many of these species and varieties come from gardens associated with historical estates and missions that have been threatened by neglect.

In Chile, CET has proposed a potato genetic resources conservation program on the island of Chiloe. The grant will support a study of factors which contribute to the erosion of

potato genetic diversity, and establish a pilot community-based seed bank to conserve traditional varieties.

ACTIVITIES OF GRANT COLLABORATORS

SIBAT

SIBAT is a non-governmental network of Philippine grassroots organizations, scientists and support institutions. It works mainly to improve food production and increase self-reliance among farmer communities. SIBAT emphasizes research in organic farming technologies as a viable alternative to chemical intensive Green Revolution technologies. In Southeast Asia, SIBAT is a leader among non-governmental organizations concerned about the erosion of genetic resources and the implications thereof for small farmers. SIBAT has developed the National Genetic Resources Conservation and Development Program to serve as a framework for a nationwide effort to conserve the country's genetic resources of specific crops. Efforts are underway to establish a network of community seed banks throughout the country. Six are currently established, including the one established with support from The International Foundation and WRI.

In April 1990, SIBAT began field activities in San Carlos, a community in the province of Mindoro Occidental, to develop a community-based program to conserve rice genetic resources. With support from a \$10,000 grant provided to the WRI program by The International Foundation, SIBAT is working with a local farmers' organization to carry out various activities to stem the loss of rice varieties in communities in the eastern part of the province. These activities are being carried out in a close working relationship with the Mindoro Institute for Development (MIND), a member of the SIBAT network that had requested technical assistance in establishing a rice resources seed bank.

Among the activities supported by the grant is the survey and collection of traditional rice varieties still found in this part of Mindoro Occidental. This includes collecting information on local technologies used to store rice seed. Indigenous seed storage and conservation technologies, supplemented by technologies developed by SIBAT at its 14 cooperative experimental farms, are being incorporated in the San Carlos seed bank.

Field adaptability trials for 57 accessions (including both traditional and improved traditional varieties) collected during the survey took place during the last rice growing season, which ended in November. These varieties are being evaluated for a number of growth and production characteristics. Farmers will then identify varieties they would most like to grow. The MIND conservation program will propagate and distribute seed of these

varieties to farmers next year as "seed loans," to be repaid with seed for the seed bank for the next year. The program will regularly consult with farmers to keep abreast of any changes in varietal preference for traditional varieties in its seed bank.

The seed bank is to be located in the town of San Carlos, Mindoro Occidental, where a piece of land has been selected by the community as a permanent site for seed propagation and field trials.

As part of a holistic approach to encouraging the use of traditional rice varieties, the program is also providing training sessions on sustainable farming techniques. This is important because many farmers who have adopted high-yielding seed varieties now use chemical fertilizers and pesticides. Little or no chemical inputs are required for most traditional varieties, but green manure and other technologies are important to maximizing traditional variety yields.

In addition, selected members of the local farmers' organizations are receiving training in rice breeding using traditional varieties. New rice varieties from crosses of traditional varieties will be subject to field trials and farmer preference assessments. When farmers have gained enough experience in this undertaking, they could become local seed producers catering to the rice seed needs of local and regional farmers. This could generate additional farmer income and help to support the seed bank and conservation program in San Carlos.

A final report from SIBAT on the Mindoro Rice Genetic Resources Program is expected in June 1991.

GESTION DE ECOSISTEMAS

Gestion de Ecosistemas is a small NGO, founded in 1986, that has specialized in the conservation of plant genetic resources in the Central Valley of Mexico, Veracruz, and the Yucatan Peninsula. Plant resources of most interest to Gestion de Ecosistemas are those that can be used in alternative production systems in the tropical zones of southern Mexico, used as raw materials in the production of handicrafts, or represent endangered traditional food crop and orchard varieties.

Current activities at Gestion de Ecosistemas include a project initiated by one of its members seven years ago to develop alternative production systems for the restoration and management of humid tropical forest areas in the Yucatan. Another project is now examining the population dynamics of several endangered plant species used in the handicraft industry of Central Mexico, with the ultimate goal of developing sustainable plant harvest and management practices. With support from the Rockefeller Foundation, Gestion de Ecosistemas recently

initiated a project to develop a database of endangered plants with current or historical importance to various ethnic groups in Mexico. This database will be followed by the establishment of a network of germplasm banks and nurseries in ten different villages. Finally, descriptive research on orchard gardens maintained at Franciscan monasteries in Central Mexico has resulted in several publications on the evolution of fruit farming systems in the region.

WRI's grant of \$9,811 to Gestion de Ecosistemas is supporting a project to conserve genetic resources in the state of Veracruz. The state government of Veracruz maintains nearly 30 historic "cultural" houses throughout the state. Many of these sites have gardens, orchards, and small woodlots associated with them, some of which have been in existence since the late 16th century. Many of the gardens have crop varieties and semi-domesticated plants with multi-faceted origins (i.e., pre-colonial Indian varieties, those introduced by the Spanish, and varieties developed in Mexico during the colonial and revolutionary periods) that have disappeared from the larger landscape of Veracruz. Unfortunately, since 1945 these gardens have not been as diligently maintained as they once had been. As an example, it is known that at least 18 varieties of orange trees were found in these gardens as recently as 1940. Today, no more than six varieties remain in the gardens. With one or two exceptions, these varieties can no longer be found elsewhere in Veracruz.

Following the inventory and characterization of the cultural house gardens, Gestion de Ecosistemas will work with the state agency responsible for the maintenance of the houses to develop conservation management plans for the gardens. A number of peasant farmer organizations will be working with Gestion de Ecosistemas on the conservation, care, and dissemination of plant varieties from these gardens. The Ford Foundation is funding the inventory and characterization of these gardens.

In order to provide for the continued conservation of these gardens, the grant provided by WRI (through the generosity of The International Foundation) will be used to work with several peasant farmer groups in connection with the project. These groups have already expressed an interest in working with the gardens, and the grant will serve to integrate their involvement in the inventory, conservation planning, and development of management responsibility for several of the gardens. In addition, the grant will also help Gestion de Ecosistemas to work with these same groups on management plans for secondary forests in the area. Such efforts will help to maintain biodiversity in remaining forest areas in Veracruz.

A final report is expected from Gestion de Ecosistemas in September 1991.

CENTRO DE EDUCACION Y TECNOLOGIA (CET)

The Centro de Educacion y Tecnologia (CET), established in the early 1980s, is based in Santiago, Chile. The organization is a member of CLADES (Latin American Consortium on Agroecology and Development), a South American regional consortium of eight NGOs involved in agricultural research, development and training. CET has researched and demonstrated alternative forms of agricultural development in poor rural and urban communities. CET has six regional programs reaching nearly eighty communities. Community training is a major part of each of these programs. CET has also trained technicians from 160 institutions in Chile and elsewhere in Latin America on alternative farming techniques. It also publishes a widely-distributed newsletter on organic farming and intensively managed home gardens. More recently, CET has become involved in efforts to conserve local agricultural genetic resources.

One of CET's regional programs is on the southern island of Chiloe. CET has chosen Chiloe as a site for its first program in genetic resources conservation for several reasons. Chiloe is one of the centers of origin of the potato (*Solanum tuberosum*). Traditional agroecosystems on the island have some of the highest levels of potato genetic diversity in the world, in part because of the wide range in agroecological conditions in Chiloe. Traditional potato agroecosystems continue to provide a substantial contribution to the food self-sufficiency of both rural and urban populations in southern Chile. Finally, native varieties offer risk-aversion advantages to resource-poor farmers confined to marginal lands.

Although considerable work has been done on the taxonomy and classification of Chilotan potato varieties, little research has been conducted on the rates and extent of genetic erosion in these systems, the ecological, cultural, and socio-economic factors affecting such rates, and the various ways in which peasants adapt to modernization and maintain genetic diversity in the midst of technological innovation.

The overall goal of this study will be to obtain the basic data needed to understand the rates and extent of loss of potato genetic diversity across a range of traditional agroecosystems subjected to different ecological, cultural, and socio-economic realities. Determining the factors that influence rates of genetic erosion, as well as the impacts of such losses on peasant welfare and regional self-sufficiency will be a main concern. The information obtained will be used to propose in-situ crop genetic conservation strategies to be implemented in several peasant communities in various agroecological zones of Chiloe. The research and inventory of potato varieties will also survey local technologies used for maintaining seed potatoes.

CET will create a model community seed bank which will serve as a starting point for wider efforts. The seed maintenance technologies found during the survey work will be used and evaluated in the seed bank established at CET's demonstration farm in Nutuco, Chiloe. Based on the success of such efforts, plans will be presented to the new government as well as to several foundations interested in biodiversity issues for funding a project of more regional impact.

WRI is supporting CET's work with a grant of \$7,650. A final report from CET is expected in October 1991.

RELATIONSHIP TO OTHER WRI ACTIVITIES

Experiences gained from the "Community-Based Conservation of Genetic Resources" program supported by The International Foundation are already contributing to other activities at WRI. In particular, a member of the WRI staff working on the Biodiversity Conservation Strategy Programme is now conducting research for a WRI publication on genetic resources conservation needs and policies. He visited with SIBAT staff and visited the Mindoro project in December 1990 as part of that research.

Also, we also hope to have the insights gained from this project contribute to a major workshop on genetic resources conservation sponsored by the WRI/IUCN/UNEP Biodiversity Conservation Strategy Programme. This workshop will be held in Kenya during the latter half of 1991. We hope to raise funds in the near future to enable us to support the development of detailed case studies of the experiences gained through this small grants program in genetic resources conservation.

Forestry and Land Use

FORESTRY AND LAND USE

Project Summaries

- o TFAP International Monitoring (1987 - present)
- o Cameroon Forest Policy Review (July 1987 - May 1988)
- o Zaire Forest Policy Review (July 1987 - May 1988)
- o Thailand Forestry Master Plan (1988 - 1990)
- o Asia-Pacific Community Forestry Workshop (Spring/Summer 1991)
- o Ecuador TFAP (1987 - present)
- o Guatemala/TFAP 1990 - 1991
- o TFAP/Central America (1990 - 1991)
- o Carbon Forestry - Grant Mediation (1987 - present)

Technical Assistance Summary

- o SPONG Technical Assistance Grant (May 1989 - March 1990)

Case Studies

- o Ecuador Tropical Forestry Action Plan (TFAP/Ecuador)
- o Zaire Forest Policy Review

PROJECT SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: TFAP International Monitoring
Source: Rockefeller Foundation, Moriah Fund, Netherlands Ministry of Foreign Affairs, World Bank, GTZ, FAO
Duration/Year: 1987 - present
Locations: International

Purpose: To contribute to the objective assessment of the TFAP process through publications and active participation in a variety of fora; and to reform the TFAP process, making it more responsive to the needs of forest-dwelling peoples and to economic and social policies in other sectors.

Description: WRI has played a key role in stimulating and bringing to the surface the various criticisms and reviews of the TFAP. Our recurrent reporting on NGO participation, our NGO consultation workshop in Washington (1989) and our workshop for NGOs, donors, and government representatives in the Dominican Republic (also in 1989) have given us critical insights into the country-level results of the TFAP, and have provided a strong basis for our independent review of the TFAP, Taking Stock: The Tropical Forestry Action Plan After Five Years. This information will be shared and discussed by NGOs, donor, international donors and national governments in a "Meeting to Discuss Revamping the TFAP" to be held later this year in Geneva. WRI was instrumental in organizing and promoting this meeting, and has prepared a background paper for it.

WRI's technical support work involves the building of relationships with NGOs, the integration of interests and concerns from other sectors, policy analysis and land use planning. WRI has developed a successful model for involving local communities and NGOs in the TFAP process in Ecuador and Guatemala, and has been contributing to the process in Burkina Faso, Cameroon, Zaire, Indonesia and Central America (regional program). The opportunity to participate in Zimbabwe, Papua New Guinea and Thailand also exists.

WRI continues to develop our relationships with other actors in the global environment arena. We have been asked by the Secretary-General of the UNCED to contribute to the 1992 conference planning process, and are preparing background papers on principal agenda items. By collaborating with the Environmental Protection Agency, the State Department and the Energy and Environmental Studies Institute, WRI has a major opportunity to shape the U.S. position on a global forests convention. In addition, the World Bank has asked WRI to assist it in revising its current forest policy.

WRI is launching a new project on land tenure, which will look at ways to improve resource management on state-controlled land. A new initiative on indigenous people is currently being developed by WRI to complement its work on land tenure issues and the TFAP process.

Products: As part of the TFAP International Monitoring Program, WRI produced a comprehensive independent review of the TFAP, Taking Stock, as well as a number of related working papers. These papers represent the single largest data base and research compiled to date on the effectiveness of the TFAP. The working paper series consists of "Indigenous Peoples and the Tropical Forestry Action Plan", "Whither the People: Agricultural, Tenurial and Demographic Aspects of the Tropical Forestry Action Plan", "Voices from the Margin: Non-governmental Organization Participation in the Tropical Forestry Action Plan", and a review of the TFAP in Central America entitled "Revisando Cuentas: Evaluación del Plan de Acción Forestal en Centroamerica". WRI will also produce country and issue specific papers related to forest policy and management, workshop reports and proceedings.

Main results: WRI has forged a productive working relationship with the full range of organizations that must be part of the global effort to halt deforestation.

Current Status: On-going

Follow-up: The upcoming meeting in Geneva will give representatives from WRI, donors, NGOs, national governments and international agencies an opportunity to discuss openly the revamping of the TFAP.

PROJECT SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: Cameroon Forest Policy Review
Source: Funding provided by CIDA
Duration/Year: July 1987 - May 1988
Location: Cameroon

Purpose: To encourage the balanced development of forest resources through better data collection and a comprehensive analysis of the economic role of forests in Cameroon.

Description: Following a reconnaissance mission by an IIED team in April 1986, the Government of Cameroon requested IIED's assistance in conducting a multisectoral review of the forestry activities in Cameroon. The study identified current forest-related practices, priority problems, major constraints, and possible strategies for minimizing degradation of forest resources. Extensive interviews with government officials and community members were supported with in-country fieldwork.

Products: A Forest Policy Seminar was held September 23-25, 1987 in Yaounde, Cameroon, and was attended by 62 persons representing government ministries, regional offices, NGOs and development assistance agencies. A two-volume report consisting of the seminar proceedings and background papers was published.

Main results: The Forest Policy Review concluded that sustainable use and management of forest resources in Cameroon is hampered by several factors: forest resources are defined differently by different agencies involved in their management, a national land use/management plan does not exist, forest resources are not well inventoried or evaluated, lack of coordination by the various agencies involved in forest-based activities, inadequate human and financial resources dedicated to forest management, and lack of participation by communities and indigenous peoples in the planning and execution of forest conservation and management activities.

Current Status: The Cameroon Forest Policy Review was completed in November 1987.

Follow-up: The Forest Policy Review was designed as a preparatory step in the development of the Tropical Forestry Action Plan (TFAP) for Cameroon.

PROJECT SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: Zaire Forest Policy Review
Source: Funding provided by World Bank
Duration/Year: July 1987 - May 1988
Location: Zaire

Purpose: To conduct a review of the policies affecting the sustainable development of forests in Zaire, focussing on major problems, constraints, development opportunities and needs for policy reforms.

Description: An IIED field representative worked closely over a period of ten months with the members of the national steering committee and with the Department of Land Affairs, Environment and Nature Conservation (DAFECN) of the Government of Zaire, with additional IIED staff providing assistance in various specialty areas. A series of ten field trips to each of the administrative regions of Zaire were organized to collect information. Questionnaires were sent to 129 NGOs designed to gather information about the potential role of NGOs in TFAP-related activities.

Products: The Zaire Forest Policy Review was completed in October 1988.

Main results: As a result of the review process, a general assessment of the economic importance of the forestry sector was completed. A review of the situation, trends and prospects in each of the five TFAP action areas was conducted by sub-groups within the steering committee. A series of background papers were prepared synthesizing information from a broad range of government agencies, and a national seminar on forest policy was convened in May 1988 in Kinshasa.

Current Status: Completed.

Follow-up: The review is designed to assist the government in the preparation of the Tropical Forestry Action Plan (TFAP), and to provide the World Bank updated information to orient their agriculture and forestry sector programs of assistance in Zaire.

PROJECT SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: Thailand Forestry Master Plan
Source: Rockefeller Foundation
Duration/Year: 1988 - 1990
Location: Thailand

Purpose: To generate awareness and involvement on the part of NGOs, academics and donor agencies in the preparation of a Forestry Master Plan for Thailand, and to encourage popular participation in the FMP process.

Description: WRI has provided FINNIDA, the Finnish International Development Agency, with detailed comments on how to improve the Forestry Master Plan Terms of Reference, and has provided the names of contact NGOs. We are also assisting independent organizations in identifying the most pressing forest conservation policy issues.

WRI also provided a \$5100 technical assistance grant to Wildlife Fund Thailand (WFT) to help it take action on urgent forest conservation issues in Thailand, and to address threats to its remaining protected areas from two development schemes. Their campaign against the construction of the Haew Narok hydroelectric dam in the Khao Yai National Park appears to have been successful in that the Thai government has suspended the project, and a much greater awareness has been generated among the general public and local communities about its potential impacts on the environment.

Products: WRI participated and presented a paper on the TFAP at the Research Policy for Community Forestry Workshop in Bangkok.

Main results: WRI's continued emphasis on the importance of NGO involvement in national forest policy, and of public participation in decision-making has encouraged a more active, intersectoral debate on pressing environmental problems.

Current Status: The volatile political climate concerning deforestation has made the Forestry Master Plan particularly controversial. The Thai government, especially the Royal Thai Forestry Department, and donors are reluctant or unable to take the lead in honestly assessing and initiating bold reforms in forest land use policies. Neither the Thai government nor FINNIDA have been forthcoming on the progress of the FMP. As a result, the FMP has not been completed and WRI's involvement in the formal process is minimal.

Follow-up: With or without the Forestry Master Plan, WRI intends to continue to seek an opportunity to work with progressive elements of government agencies, donors, NGOs and academic institutions. WRI is moving ahead with a regional study of land tenure issues affecting the use of public forest land, and is involved in the organization of a regional workshop for national NGOs with experience in mobilizing grassroots initiatives to protect and manage remaining areas of natural forests.

PROJECT SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: Asia-Pacific Community Forestry Workshop
Source: FAO/RAPA and WRI
Duration/Year: Spring/Summer 1991
Location: Bangkok, Thailand

Purpose: To bring together NGOs in the Asia-Pacific region to share their insights and contrast the different approaches used in supporting community-based management of forest resources.

Description: Non-governmental organizations (NGOs) in the Asia-Pacific region are among those in the forefront of the pioneering efforts to empower local communities to gain control over the use and management of forest resources. Their experiences, however, have rarely been taken into account in national-level government planning. Therefore, the workshop agenda will focus on how NGOs, governments and international development assistance agencies can support successful community-based management of forest resources. NGOs from 10 Asia-Pacific countries will prepare "fact sheets" to be distributed to workshop participants, detailing their involvement in community-based initiatives, and evaluating successes, failures, constraints and future opportunities.

Products: WRI will assist in the preparation of background papers, and co-publish the workshop proceedings with RAPA.

Main results: The ultimate objective of the workshop is to enhance the effectiveness of NGO programs and enable the groups to participate more effectively in forestry planning exercises, such as the TFAP and Forestry Master Plan.

Current Status: The workshop is scheduled to take place in June 1991.

PROJECT SUMMARY

Program: Forestry and Land Use

Contact person: Bruce Cabarle

Project title: Ecuador TFAP

Source: Netherlands Ministry of Foreign Affairs, Pew Charitable Trust, Atkinson and General Services Foundations.

Duration/Year: 1987 - present

Location: Ecuador

Purpose: To promote popular participation -- both of disenfranchised groups dependent upon forest resources and of the conservation NGO community -- in the development of the national TFAP.

Description: WRI has administered small grants to COMUNIDEC and Tierra Viva, two local NGOs, to convene three village level workshops for more than 80 grassroots organizations and to publish the workshop proceedings; to prepare two issues papers on forest conservation and forest land use issues; to organize a conference for conservation NGOs aimed at analyzing the emerging national TFAP strategy; to develop a community forestry program to provide technical assistance to grassroots organizations; and to provide technical assistance and training in the development of project proposals for local forest management plans based upon the recommendations of the workshops with local communities.

Products: The conclusions and recommendations from the village workshops were compiled into an issues paper, which was submitted to the national TFAP coordinating office and discussed during the national roundtable of February 1990. The respective workshop recommendations were also used to design four community forestry proposals that were accepted as part of the TFAP.

Main results: The village level workshops identified government policies which promote deforestation, corresponding actions needed at the local, regional and national level, and alternatives for local initiatives to launch management plans.

The fate of the on-going national TFAP process in Ecuador is of considerable importance, as it represents the closest that the TFAP has come to fulfilling its rhetoric: grassroots groups were afforded access to information and to the planning process earlier than any of its predecessor national TFAPs; and the exercise has been allotted sufficient in-country political support and support from the international donor community to give it a chance of successfully meeting local needs.

Current Status: Political turmoil in Ecuador has slowed the TFAP process. Government agencies have been unresponsive to NGO concerns over the principal causes of deforestation and alternatives for forest conservation. As a result, many NGOs have

become frustrated with the TFAP process, and some have withdrawn their support for it. A majority of the grassroots organizations, however, continue to see their participation as positive step towards greater self-determination and control over natural resources.

Follow-up: WRI will focus its future attention on providing continued training in Participatory Rural Appraisal and institutional strengthening necessary to implement community forestry projects. Towards this end, we will promote the recognition of agroforestry and other alternatives to logging as a productive land use. In collaboration with WRI's NGO program, we will conduct training workshops with local NGOs and community leaders in participatory planning and community diagnostic techniques.

PROJECT SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: Guatemala/TFAP 1990 - 1991
Source: Netherlands Ministry of Foreign Affairs, GTZ, Rockefeller Foundation, Moriah Foundation
Duration/Year: 1990 - 1991
Location: Guatemala

Purpose: To promote NGO participation in the TFAP/Guatemala exercise, by providing technical assistance and other support to ASINDES, a national consortium of 32 development NGOs; and to advise the national coordinating TFAP office.

Description: WRI is working with ASINDES to help prepare and publish a survey aimed at evaluating the potential for expanding or incorporating agroforestry and soil conservation activities into current programs and projects. The ultimate goal is to develop proposals for TFAP funding of both new and expanded projects in these areas to benefit marginalized groups in rural areas. We also plan to conduct two specialized training workshops with ASINDES in Participatory Rural Appraisal techniques, focussing on priority areas identified in their NGO survey. In October 1990 WRI, ASINDES and the national TFAP office convened a workshop for 40 development and environmental NGOs to outline recommendations for natural resource management programs for rural communities and environmental education programs.

Products: The NGO workshop resulted in the creation of a set of guidelines for NGO participation in the TFAP process. The results of the ASINDES survey were used by an 8-member consultative committee to produce a proposal to the national TFAP office for an agroforestry fund. Discussions between WRI and a national organization of Mayan communities resulted in a proposal to TFAP/Guatemala for various workshops on Mayan communities and forest resources.

Main results: The Guatemala TFAP project provides an opportunity to replicate the Ecuador TFAP model in a different setting. The need to recognize indigenous peoples issues and biological diversity concerns in the formulation of national programs is critically important.

Current Status: on-going

Follow-up: The Dutch Ministry of Foreign Affairs and GTZ have pledged their support for WRI to organize the Mayan workshops and several PRA workshops with ASINDES to design pilot projects for the NGO agroforestry fund. Proposals from the National Academy of

Mayan Languages and a cooperative of resin extractors for improving community management of natural forests may provide an opportunity for future WRI involvement.

PROJECT SUMMARY

Program: Forestry and Land Use

Contact person: Bruce Cabarle

Project title: TFAP/Central America

Source: AID/ROCAP, Moriah Foundation

Duration/Year: 1990 - 1991

Locations: Belize, Costa Rica, Guatemala, Honduras, Nicaragua, Panama, El Salvador

Purpose: To assist the Central American Presidential Commission on Environment and Development (CCAD) structure a regional consultative process focussing on common forest resource issues.

Description: WRI and CCAD consulted with national governments, private industry, indigenous federations, universities and NGOs from the conservation and development communities to develop country by country assessments of national TFAPs, "Revisando Cuentas: Evaluación del Plan de Acción Forestal Tropical en Centroamerica". WRI used these contacts to facilitate the organization of national meetings in El Salvador and Nicaragua aimed at identifying priority issues and developing terms of reference for their respective TFAP exercises. WRI and CCAD have also provided comments on the TFAP strategies for Guatemala and Panama, and the proposed national reforestation program for El Salvador. The objective of the Regional TFAP is to encompass the needs of all Central Americans and to become an effective means for regional cooperation, without duplicating national level TFAPs.

Products: Completion of Revisandos Cuentas; organization of a regional workshop in Nicaragua in August 1990.

Main results: Central American governments and NGOs are now looking for ways to work together on common concerns, and to reach mutually beneficial agreements on regional problems.

Current Status: WRI is continuing work on a consultative basis by facilitating workshops and by providing direct technical assistance to CCAD in programs beyond the regional TFAP.

PROJECT SUMMARY

PROGRAM: Forestry and Land Use
CONTACT PERSON: Paul Faeth
PROJECT TITLE: Carbon Forestry - Grant Mediation
SOURCE OF FUNDING: Applied Energy Services (AES)
DURATION/YEAR: 1987 to present
LOCATION(S): Washington, DC; Guatemala

PURPOSE: To identify and evaluate forest-related development projects in developing countries. Appropriate projects can be sponsored by a electricity producer in order to sequester sufficient carbon to balance the carbon dioxide emissions from the power plant.

DESCRIPTION: In 1987 Applied Energy Services, an independent power producer, asked IIED for help in identifying ways to balance the carbon dioxide emissions from a new coal-fired power plant in Connecticut. Carbon dioxide emissions are a key cause of global warming. As the emission of the CO₂ cannot be prevented, one way of eliminating the impact of the emissions is to remove an equivalent amount of carbon dioxide from the atmosphere and sequester it in the form of plant biomass, which is 50 percent carbon.

IIED undertook to identify and evaluate forest-related projects in developing countries based upon four criteria: (1) sequestration of a sufficient amount of carbon; (2) least cost; (3) maximum participation and benefit accruing to local people; and (4) experience and competence of the proposing organization.

PRODUCTS: Forestry as a Response to Global Warming: An Analysis of the Guatemala Agroforestry and Carbon Sequestration Project.

MAIN RESULTS: A \$2 million grant was made by AES to CARE for an agroforestry project in Guatemala.

Due to the extraordinary publicity surrounding this effort, a significant amount of interest has been generated about the links between fossil fuel burning, global warming and deforestation.

CURRENT STATUS: A second round of project evaluations is underway.

TECHNICAL ASSISTANCE SUMMARY

Program: Forestry and Land Use
Contact person: Bruce Cabarle
Project title: SPONG Technical Assistance Grant
Source: WRI
Duration/Year: May 1989 - March 1990
Location: Burkina Faso

Purpose: To help increase participation by NGOs and other organizations with an interest in forestry and desertification issues in the TFAP planning process in Burkina Faso.

Description: WRI provided SPONG, the umbrella NGO organization in Burkina Faso, with a grant of approximately \$1650. This grant was used to assist eight NGOs in participating in a seminar on the TFAP organized by the Ministry of the Environment and the FAO, September 12-15, 1989 in Ouagadougou.

Products: The participating NGOs are to report on their individual activities in the five theme areas of the TFAP. This material is to be compiled by SPONG, which will produce a review of NGO activities.

Main results: The meeting was structured around a discussion of a study on the contribution of the forestry sector to the national economy, and workgroup discussion was aimed at recommending priority actions in the five areas of the TFAP. The seminar recommendations addressed the need to improve program and project coordination and monitoring, and to increase support for village-based resource management and integrated land use.

Current status: Although SPONG is well placed to take the lead in the documentation and dissemination of information, and in the organization of workshops and meetings, they are currently not adequately staffed to keep pace with these demands.

Follow-up: A new timetable for activities has been prepared and presented to SPONG.

CASE STUDY

ECUADOR TROPICAL FORESTRY ACTION PLAN (TFAP/Ecuador)

The fate of the on-going national TFAP process in Ecuador is of considerable importance, as it represents the closest that the TFAP has come to fulfilling its rhetoric: grassroots groups have been afforded access to information and to the planning process earlier than any of its predecessor national TFAPs; and the exercise has been allotted sufficient in-country political and international donor community support to give it a chance of successfully meeting local needs while contributing towards national economic development.

The general objective of this project was to facilitate NGO participation in the formulation of the TFAP/Ecuador. This was to be accomplished through the organization of a series of workshops for village leaders and grassroots organizations involved in local management of forest resources, and fora with national NGOs on forest land use policies regarding the TFAP/Ecuador. The grassroots workshops were intended to provide a mechanism to: 1) ascertain local perspectives on issues the TFAP must address; 2) encourage local participation in the TFAP process; 3) give local groups the support and assistance for developing community management plans; and 4) keep these groups apprised of developments related to the TFAP. In order to formalize the linkage between this grassroots-level work and the national TFAP exercise, a Memorandum of Understanding between the Center (WRI), COMUNIDEC, a rural development NGO, and the Subsecretariat for Forestry and Natural Resources (SUFOREN) of the government of Ecuador was signed.

During the course of this project, the Center provided a small grant each to COMUNIDEC and Tierra Viva/Quito, a conservation NGO. The grant to COMUNIDEC was intended to help coordinate the activities of grassroots organizations in Ecuador. In November 1989, a workshop was held with 35 community leaders from the Quicha Indian Federation in the Amazon Basin, FCUNAE, to identify constraints and opportunities for managing local natural resources. During 1990, three workshops were held. In May, leaders from grassroots organizations from the Amazon Basin, the Andean Highlands, and the coastal region convened to peer review community forestry proposals and prepare their presentations to SUFOREN. A Participatory Rural Appraisal training workshop in August was conducted by Center staff for COMUNIDEC and Comuna Rio Santiago-Cayapas. In October, the four community forestry proposals were presented to SUFOREN as part of the emerging TFAP/Ecuador. The village level workshops have served to identify government policies which promote deforestation, corresponding actions needed at the local, regional and national level, and alternatives for local initiatives to launch management plans. Since these workshops, the grassroots organizations have

conducted various follow-up meetings with local communities, the Ministry of Agriculture (MAG) and technicians from COMUNIDEC to outline their criteria for designing community forestry projects.

The Tierra Viva grant supported an analysis of the TFAP/Ecuador strategy that had been presented at the national roundtable, and a forum with government officials and forest industry representatives to discuss their concerns regarding forest conservation priorities and the TFAP/Ecuador's development strategy. Tierra Viva also convened several briefings with local NGOs, produced editorials in a major daily newspaper and met with government officials and forest industry representatives. Their aggressive outreach program resulted in a greater emphasis being placed on forest conservation concerns in the final TFAP/Ecuador.

Shortly after initiating this project, a trade-off between two major project objectives became apparent. Our original project objectives envisioned organizing further workshops involving a greater number of communities groups. However, in order for communities to develop proposals detailed enough to influence the TFAP/Ecuador, comprehensive assistance for community forest management plans would be necessary. Several grassroots organizations that participated in earlier workshops, along with COMUNIDEC and the Ministry, requested that we shift our priority towards strengthening community forest proposals based on workshop recommendations. In addition, personnel changes within SURENA brought about a shift in TFAP priorities which provided a significant opportunity for grassroots organizations to propose alternative projects to the preliminary TFAP/Ecuador investment plan.

The conclusions and recommendations from the village workshops were compiled into an issues paper, which was submitted to the national TFAP coordinating office and discussed during the national roundtable in February 1990. The respective workshop recommendations were also used to design four community forestry proposals that were accepted as part of the TFAP.

Political turmoil in Ecuador has slowed the TFAP process. Government agencies have been unresponsive to NGO concerns over the principal causes of deforestation and alternatives for forest conservation. As a result, many NGOs have become frustrated with the TFAP process, and some have distanced themselves from it. A majority of the grassroots organizations, however, continue to see their participation as positive step towards greater self-determination and control over natural resources.

WRI will focus its future attention on providing continued training in Participatory Rural Appraisal and institutional strengthening necessary to implement community forestry projects. Towards this end, we will promote the recognition of agroforestry

and other alternatives to logging as a productive land use. In collaboration with WRI's NGO program, we will conduct training workshops with local NGOs and community leaders in participatory planning and community diagnostic techniques.

CASE STUDY

ZAIRE FOREST POLICY REVIEW

WRI's involvement in the TFAP for Zaire has been relatively indirect since the completion in 1988 of our forest policy review. The government viewed our policy review and recommended strategy as the first phase of their TFAP, and used it as the basis for the follow-up missions which focused on project identification and costing. Fieldwork for this second phase of the TFAP was concluded in later 1989, and the draft TFAP was finally released in November, 1990. In the interim, we have provided informal advice to the World Bank, as they continued with the preparation of their new Forestry and Environment Project. This project will include four major components, including forest and biodiversity conservation, agroforestry and soil conservation, and support for training, research and institution strengthening -- all of which were recommended in the WRI policy review and forestry strategy.

The completion of the draft TFAP was delayed by the multiple demands made on the national coordinator for the TFAP, as well as the difficulties associated with the preparation of a plan and project profiles based on consultant reports from 6-7 aid agencies. Political tensions and a subsequent change in government ministers have also contributed to the delays in completion of the TFAP. However, the donors roundtable meeting for the Zaire TFAP organized at the end of November was reportedly well attended, and served to mobilize considerable support for the implementation of the Zaire's TFAP.

The TFAP for Zaire will be hard-pressed to meet the challenges of sustainable forest development and conservation in Zaire; the resource base is immense, the economic and political problems are difficult if not acute, the debt burden is severe, and the rural infrastructure is crumbling despite large infusions of development assistance (USAID's program in Zaire is one of its largest in Sub-Saharan Africa -- over \$50 million annually). The high level of interest of several international environmental organizations (IUCN, WCI, CI and WWF) in forest conservation in Zaire, as well as the continued involvement of local NGOs and other organizations such as WRI should help, however, to insure that the TFAP contributes positively to the wide range of efforts needed to control deforestation and support the sustainable development of Zaire's forest lands.

In May, 1990, WRI returned to Zaire to head a 2-week mission to advise USAID/Kinshasa on activities which they might support to conserve forests, regenerate forest resources, and reduce Zaire's dependence on fossil fuels, as part of USAID's worldwide effort to contribute to the control of global warming. We

renewed our various contacts, and outlined a basic strategy for USAID support. The mission will increase the amount of funds allocated to NGOs by its Small Project Support Project, to expand NGO activities in forestry, agroforestry, forest conservation and energy (more efficient fuelwood use, etc.). The feasibility of a debt for nature exchange is also being reviewed. Over the next year, we expect to provide further technical support to USAID and cooperating government agencies and NGOs as they develop programs related to AID's global warming initiative.

The review process culminated in the organization of a national seminar on forest policy, May 11-13, 1988 in Kinshasa. A series of eleven papers were presented and discussed at the seminar, on the following subjects: industrial wood production, wood energy, ecosystem conservation, forestry and rural development, institutional issues, the role of NGOs, and approaches to integrated land use planning in Zaire.

During the review process, a number of key issues emerged and alternative strategies to address these issues were discussed. The seminar concluded with a series of recommendations, which have since been incorporated into an integrated strategy for the conservation and development of Zaire's forest lands.