



CARIBBEAN NATURAL RESOURCES INSTITUTE
(CANARI)

**Governance and Civil Society Participation in
Natural Resource Management in the Caribbean**

Study of Partner Organisations

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**« Une société civile peut exister
en l'absence de démocratie,
mais une démocratie ne peut exister
sans une société civile forte »**

**“Civil society can exist
where there is no democracy,
but democracy cannot exist
where there is no strong civil society”**

Broadbent, 1993

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List of Institutional Acronyms

Agency for Rural Transformation (ART)
Anguilla National Trust (ANT)
Assembly of Caribbean Peoples (ACP)
Bahamas National Trust (BNT)
Bahamas Marine Trust (BMT)
Caribbean Community (CARICOM)
Caribbean Conservation Association (CCA)
Caribbean Natural Resources Institute (CANARI)
Caribbean Policy Development Centre (CPDC)
Centro Oriental de Ecosistemas y Biodiversidad (BIOECO)
Centro para la Conservación y Ecodesarrollo de la Bahía de Samaná y su Entorno (CEBSE)
Consortio Ambiental Dominicano (CAD)
Department for International Development United Kingdom (DFID)
Environmental Awareness Group (EAG)
Fédération des Amis de la Nature (FAN)
Groupe de Recherche et d'Appui en Milieu Rural (GRAMIR)
Humanistic Institute for Co-operation with Developing Countries (HIVOS)
International Union for the Conservation of Nature (IUCN)
Jamaican Conservation Development Trust (JCDDT)
Mouvement Paysan Papaye (MPP)
Negril Coral Reef Preservation Society (NCRPS)
Programma Sibarimar (SIBARIMAR)
Project Promotions Limited (PPL)
Saint Christopher Heritage Society (SCHS)
Saint Lucia National Trust (SLNT)
Sustainable Economic Development Unit (SEDU)
Small Projects Assistance Team (SPAT)
Soufriere Regional Development Foundation (SRDF)
Stakeholders against Destruction for Toco (SAD)
Trinidad and Tobago Citizens Agenda Network (TTCAN)
United Nations Development Programme (UNDP)
University of the West Indies (UWI)
World Association for Christian Communication (WACC)

Preface

In a context where civil society organisations are often “over consulted and under involved”, the Caribbean Natural Resources Institute (CANARI) would like to thank all the organisations and institutions which participated in this study. Each organisation took the necessary time to thoughtfully reflect on the questions, to provide valuable information on their organisations and experiences, and finally to raise issues which are crucial to the challenge of natural resource management and civil society participation in the region. The Institute would also like to acknowledge Ms. Sue Evan-Wong for editing the final report.

The information collected in this study will guide and inform CANARI’s work. CANARI is committed to valuing the perspective and experience of partner organisations and to working in collaboration with them to develop programmes and projects responding to their needs in the area of institutional development.

It is hoped that this study will contribute to achieving this objective through providing an overview of partner organisations and flagging some of the key issues which they are addressing in their work to support natural resource management and civil society participation in the region.

Finally it is hoped that the analysis around the issues raised will stimulate debate between and amongst partner organisations on civil society participation in governance in general.

1. INTRODUCTION

This section will give an overview of the study and provide information on: the institutional context within which this study took place - by making linkages with CANARI's ongoing work in the area of participatory natural resource management, the objectives of the study, and the conceptual framework which guided the work.

1.1 *General context*

In 2001, The Caribbean Natural Resources Institute (CANARI) carried out a mid-term review of its ten-year strategic plan in order to assess the ongoing relevance of the document and determine progress achieved in its research, analysis and advocacy programme areas¹.

The review clearly identified the results achieved by the Institute with an emphasis on the following:

- An increased understanding and awareness of participation as an important element of effective natural resource management;
- A developed body of knowledge on participatory approaches to natural resource management with an emphasis on processes;
- An established informal and ad hoc network of groups, organisations and agencies established.

The review also signalled certain areas that should constitute institutional priorities in order to consolidate these gains.

Among these areas of focus were the following:

- Continued and strengthened focus on capacity building (including organisational development) to improve the ability of partner organisations to influence and participate in natural resource governance, and;
- Strengthened networks at both the national and regional levels in order to create a critical mass of organisations and institutions committed to participatory approaches to natural resource governance.

Toward this end, CANARI, in collaboration with the Humanistic Institute for Cooperation with Developing Countries (HIVOS) – a Dutch NGO that works to further emancipation and democracy, and to combat poverty in developing countries - developed a programme (2001-2006) focused specifically on the issue of capacity building to increase civil society participation in natural resource management within the insular Caribbean.

CANARI, in collaboration with key civil society partners, will be focusing on developing the capacity to engage government and other stakeholders in building management arrangements that facilitate good governance, and create examples of constructive collaboration between state and civil society in the collective interests of society. The experiences gained in the area of natural resource management will contribute to and encourage the development of similar initiatives in other sectors.

¹ CANARI Mid-term review document (2001)

By focussing on the organisational development of a diverse range of civil society organisations involved in natural resource management, the programme will:

- Increase capacity at both technical and programmatic levels and learning on the requirements of effective institutional frameworks.
- Strengthen linkages among and between partner organisations with a view toward deepening collaboration within the region.

The programme objectives are to:

- Develop a better understanding of the organisational development needs of key civil society organisations involved in natural resource management;
- Contribute toward the organisational development of key civil society organisations involved in natural resource management;
- Support individual and collective initiatives which will contribute to strengthening institutional capacity amongst civil society organisations involved in natural resource management;
- Improve access to and utilisation of information resources amongst civil society organisations involved in natural resource management.

The principal expected programme outcomes and results are:

- Improved understanding among partners of the institutional requirements for effective civil society participation in natural resource governance;
- Strengthened technical and financial capacity of selected civil society organisations involved in natural resource management;
- Improved access to and supply of information sources for Caribbean governments and civil society organisations involved in natural resource governance.

The programme is designed around a research action agenda that serves as the foundation for the development of other programme components. It also serves to validate the experiences gained through documenting the process, thus providing an opportunity for critical reflection. The research drives the programme, informs its content, and serves as a method for disseminating its results.

The first research activity is a study of a key group of partner organisations. The purpose of this study is to provide CANARI with information on its principal partner organisations: their organisational mission and vision, structure, experiences in natural resource management, and perceptions with regard to those factors which help and hinder participatory resource management. The study will provide the starting point for various activities that will be implemented in collaboration with partners.

1.2. Purpose of the study

The purpose of the study is to provide an overview of certain key and representative organisations involved in natural resource management within the region. More specifically the objectives are to:

- Provide an institutional profile of participating organisations.
- Identify some of the key commonalities and divergences amongst these organisations
- Identify some of the key issues and challenges facing these organisations in their work in the area of natural resource management.

- Inform CANARI's development of an appropriate capacity building programme in response to partner's needs.

1.3. Conceptual Framework

Overview of the concept of governance

Over the past fifteen years, and most notably since 1990, governance, or rather good governance, has become a key issue in the debate on democratisation and development.

The concept of governance has been the basis of an ongoing debate amongst a wide variety of institutions and has been coloured by both cultural and ideological considerations. (Blunt, P. 1995. Cultural relativism, good governance and sustainable human development. Public Administration and Development 15:1-9pp.).

For the World Bank and other international financial institutions, the concern with governance arose from the need to explore why so many international development initiatives had failed. Evaluations suggested that the way in which decisions were made impacted on the efficacy and sustainability of development initiatives. While the focus was initially on responsible economic management and the lack thereof, this eventually expanded to take into consideration the ways in which decisions were made within the society. The World Bank defines governance as being:

“The traditions and institutions by which authority is exercised for the common good. This includes the processes by which those in authority are selected, monitored and replaced, the capacity of government to effectively manage its resources and implement sound policies, and the respect of citizens and the state for the institutions that govern economic and social interactions among them.”²

While including the notion of citizen participation, this definition clearly focuses on the role of the state in the economic and fiscal arena, with particular attention to the issue of corruption in the public sector. Thus the focus is primarily on efficacy, efficiency, and the rule of law.

The United Nations system, as well as their bilateral and multilateral agencies have also integrated the notion of governance into their development discourse. Closely linked to rule of law, and democratic process, governance has come to include the notion of citizen participation in political processes in general. In a report prepared by the United Nations Development Programme (UNDP) on Governance and Sustainable Development in Transitional Economies, the objectives of governance are defined as:

“Achieving social equity and cohesion, with a least a minimum standard of living for all its citizens, achieving and maintaining a state of legitimacy, being efficient both in promoting economic development and in allocating and utilising public resources.”³

Within the region, and more specifically in Haiti, the United Nations has defined governance as the “process of consolidation and the operations of a certain number of systems related to the organisation and management of the state and society. This refers primarily to the management of relations between social actors and the articulation of their interests”.⁴

For the UNDP, the role of civil society, in other words the **organised** expression of diverse groups and interests within society, is essential to governance processes, and to democratising political, and decision-making processes. They are essential to the process of articulating

² www. Worldbank.org/wbi/governance

³ UNDP, The Shrinking State: Governance and Sustainable Development, page 1 (1977)

⁴ Bilan Commun du Pays, page 18 (2002)

interests and building social cohesion. With regard to governance, non-governmental organisations (NGOs) have an important role to play which includes “generating legitimate demands, monitoring government policy making and implementation, and enabling people to participate actively in society “.⁵

The United Nations system has developed a framework that explores the linkages between good governance and the body of international human rights laws. This approach moves governance beyond the issues of efficacy and efficiency, and introduces the issues of justice and equity. Above all it embeds the notion of governance, and therefore the notion of participation, within a rights-based framework.⁶

Within the private sector, the notion of corporate governance focuses on how companies are managed, thus providing a link with the World Bank’s approach. Attention is, however, increasingly being paid to how money is made, and not just how money is managed - thus introducing another focus which raises issues of ethics and fundamental rights.

Within the social sector, and in particular within the NGO community, the concept of governance would appear at first glance to be a new buzzword. This would be an erroneous observation. Even if the terminology is in fact new, some of the related and underlying issues have been at the heart of NGO work for several decades. The NGO focus on community empowerment and increased citizen participation in decision-making processes is also linked to the notion of governance.

Thus while for some, the concept of “good governance” is linked primarily to issues of fiscal accountability and efficiency, for others the central issue is one of political accountability and participation.

While the content of this concept clearly varies from one organisation to another and from one culture to another, it would appear that one of the basic components of “good” governance is citizen participation in public policy formulation and its implementation.

Governance and Civil Society participation in the Commonwealth Caribbean

Against the background of the debate on governance, and the development challenges of the new millennium, the Commonwealth Foundation undertook an ambitious study to examine the issue of governance and citizen participation throughout the Commonwealth⁷.

Based on discussions with a broad and representative sampling of citizens, the study focused on three fundamental questions:

- the definition of a good society;
- the definition of the respective roles and responsibilities of the state, civil society and other social actors;
- the identification of those factors which would enable citizens to contribute to the development of a good society⁸.

The study provides a valuable source of information on the perceived state of governance and the hopes and aspirations of citizens within the Commonwealth.

⁵ page 103 Ibid.

⁶ This will be further explored in Chapter 7, as this approach constitutes a challenge and an opportunity for consolidating the role of civil society in governance processes.

⁷ Citizens and Governance: Civil Society in the New Millenium (2001)

⁸ The study was carried out by national partners, most of whom were NGOS, using a focus group methodology and individual interviews with key informants. Particular attention was paid to ensuring that all voices were heard and particularly the voices which are most often silenced or ignored: women, indigenous peoples, the youth and the elderly.

As a part of the overall Commonwealth report, a study was carried out in six countries within the Commonwealth Caribbean: Barbados, Belize, Dominica, Guyana, Jamaica, and Trinidad and Tobago. This regional report provided an opportunity for citizens to voice their concerns about their vision of a good society, and about the modes of governance to which they aspire. For the citizens of the region, the notion of a “good society” encompasses both the opportunity and ability to meet their needs, but also to build a sense of community, to gain recognition, and to be treated with respect.⁹

The Commonwealth report also clearly identifies some of the common themes identified by citizens with regard to the state of governance: “Notwithstanding the longstanding existence of institutions of formal democracy, nor the semblance of participation which the committees and consultative bodies established in some countries seek to provide, ordinary citizens are alienated from their leaders and have lost faith in their ability to effect change .”¹⁰

Among the primary constraints to citizen participation in decision-making processes were the following:

Factors constraining citizen participation in governance	
Actor	Constraints
State	<ul style="list-style-type: none"> • Deepening resource constraints • Absence of responsiveness and accountability • Race/class/party divisions • Crime and violence • Changing values influenced by global mass media
Civil society (NGOs, Church, CBOs ¹¹)	<ul style="list-style-type: none"> • Inexperience in facilitating citizen’s own participation in governance • Not always accountable to community • Sometimes promote division and dependence • Inconsistent
Citizens and community	<ul style="list-style-type: none"> • Dependence, fear, apathy • Fear of victimisation • Insufficient (funds and technical) resources • Inadequate civic knowledge

Source; Baker (1999)

The regional Commonwealth report concludes by stating that people have challenged not only government and civil society organisations to take action to redress the current situation, but they have also challenged themselves to become more involved in creating space and opportunities for effective participation in decision-making processes.

Changing the relationship between civil society and the state and the way in which “power “is exercised is one of the fundamental priorities for the new millennium. “It is the connection between citizens and governance that prepares the ground to address the myriad challenges that face our societies. Poverty, marginalisation and discrimination can only be overcome through responsive governance and active citizenship”¹²

The Commonwealth Foundation’s study explores primarily the ability of those who “govern” to create the kind of society to which those who are “governed” aspire. This “*projet de société*” or worldview to which the people of the Commonwealth Caribbean aspire should inform and define

⁹ Baker (1999)

¹⁰ Ibid.

¹¹ Community-based organisations

¹² Commonwealth Foundation (1999)

their development. But more importantly, active citizenship or participation is also seen as a precondition for the “sustainability” of all development initiatives.¹³

Governance and Sustainable Development

CANARI’s work is based on the assumption that participatory processes contribute to effective natural resource management. CANARI, as well as other organisations within the region, has contributed to demonstrating that participation is also a pre-requisite for sustainable development.

This view is echoed in the Department for International Development’s (DFID) key principles for sustainable development which state that it must be:

- people-centred
- country led
- nationally owned
- process oriented
- outcome oriented
- and above all, participatory.¹⁴

Despite formally stated commitments to promote sustainable development, and clear language that it requires governance structures that facilitate citizen participation, progress in this area remains uneven in the Caribbean: citizen participation has at best been limited.

In 2002, the Caribbean Sustainable Economic Development Network (CSEDNet) undertook a pilot survey of 196 Commonwealth Caribbean NGOs and community-based organisations (CBOs) as part of a United Nations project to assess Caribbean sustainability processes.¹⁵ The survey was part of a broader programme with objectives to:

- Develop and advocate strategies for sustainable development which include the full involvement of all sectors of civil society; and
- Provide policy advice, actions plans and policy documentation in environmental, economic and social matters of critical importance to Caribbean societies¹⁶.

The purpose of the survey was to “inform the development and prioritisation of appropriate development strategies ultimately aimed at the implementation of a programme of capacity building among civil society organisations in the Caribbean Region”.¹⁷ Conducted prior to the World Summit on Sustainable Development (WSSD), the timing of the survey provided an opportunity both to identify key actors concerned with sustainable development issues, and to determine the extent to which such actors actively participated in the preparatory processes for the WSSD.

The outcomes of the survey were revealing with regard to the level of effective participation of citizens in decision-making processes related to sustainable development issues. With regard to participation in decision-making forums, results were as follows¹⁸:

- Despite a perceived high level of participation in policy making among respondents, analysis suggested that participation took place by invitation rather than by right.

¹³ The notion of sustainability, though most often used in relation to the sustainable use of the environment and natural resource base, also refers to the social and political sustainability of any development initiative.

¹⁴ DFID, Background brief on Strategies for Sustainable Development (2000)

¹⁵ UNDP Project: TRI/01/G81/A/5G/99.

¹⁶ Rennie, 2002

¹⁷ Ibid.

¹⁸ Drawn from Mangones (2003)

- The majority of respondents felt that they had limited influence on decision-making confirming that, for the most part, participation consisted of consultative processes without any guarantee that input will in fact impact on policy.

The notion of participation has varying definitions.

- With regard to the WSSD, the overwhelming majority of respondents were completely marginal to the preparatory process, despite the fact they were actors in the area of sustainable development.
- Consultation took place through informal and *ad hoc* mechanisms, and lack of formalised institutional arrangements and explicit well-designed strategies for participation may have limited the effectiveness and opportunities for participation.

Overall, the CSEDNET survey contributed to generating knowledge about the strengths and weakness of civil society in the region, and their perceived degree of participation in policy formulation processes. It constitutes a significant contribution to advancing both theoretical and applied work on the relationship between sustainable development and civil society participation.

Subsequent workshops and discussions on the CSEDNET survey findings brought out the following points and suggested the need for research in additional areas¹⁹:

- An analysis of citizen participation must be placed within their national and regional context in order to identify the factors that influence the results. This is particularly true when looking at issues related to governance, or how power and decision-making is shared within a society or country.
- The classic triangle used for conceptualising sustainable development - which is based on social, economic and environmental factors would appear to be rather simplistic. Should a fourth dimension should be added which would take into consideration the political arena and policy environment?
- There is a lack of consensus on the notion of participation, which may explain the low levels of influence in decision-making, in contrast to the declared high levels of participation. There is need to clarify the notion of participation in a manner that is consonant with increased and more effective involvement in decision-making processes.
- There is need to explore the place of *ad hoc* arrangements and their relationship to more formal and institutionalised decision-making processes. Do they form a continuum, or are they parallel or complementary forms of participation. Are formal institutionalised mechanisms always preferable to *ad hoc* informal mechanisms?
- Is there a relationship between political and historical frameworks and opportunities for participation? Are existing political frameworks within the region conducive and sensitive to the need for participation? Is there a relationship between the size of a country and the level of participation or consultation with civil society?
- The map of civil society organisations in the region is changing rapidly: certain key organisations are no longer operative, while others have emerged, such as organisations within the diaspora that maintain links with their countries of origin. Are there important types of organisations not included in the CSEDNET survey that need to be analysed?

¹⁹ Ibid.

The CSEDNet survey and the subsequent workshops provided an invaluable opportunity to explore these issues with a broad range of partners, a foundation upon which other organisations can build. It also contributed to clarifying some of the key questions that should inform further research and action on the issues of governance and civil society participation in natural resource management.

Civil Society Participation in Natural Resource Management

The natural resource base provides a good focus for the practice of governance and a critical juncture for collaboration between state and civil society. As a collective asset, natural resource management calls for dialogue between state and civil society which could lead to the participation of civil society in the management of these resources.

CANARI's work, as well as the work of other organisations in the region, have demonstrated the importance of civil society participation in natural resource management. Sustainable resource management suggests that governance structures be inclusive, transparent, and facilitate the effective participation of key stakeholders in decision-making processes.

An underlying assumption in CANARI's work is that, through creating spaces for effective civil society participation, and empowering citizens to take a more active role in decision-making related to the management and use of natural resources, democracy is strengthened and deepened. One of the challenges in the coming years will be to further explore the potential for participation in natural resource management in order to influence governance in general.

CANARI recognises that management arrangements may vary as a function of the social, cultural and political context. Given the diversity within the region, CANARI will look at the various types of arrangements that have emerged within the region, and the various factors that facilitate and/or hinder good governance. One of the assumptions is that despite the diversity and the range of experiences within the region, there are some commonalities which can be identified and which have broader relevance.

The conceptual framework that guides CANARI's work is based on a definition of four key concepts:

1. *Civil society* - defined as the set of **organised** non-state and non-commercial actors. These include conservation and development organisations, non-governmental networks and coalitions, natural resource user groups, community based organisations, and local natural resource management organisations.
2. *Social Capital* - defined as the web of organisations created by citizens and the relations of trust, reciprocity and solidarity developed within and among these organisations.²⁰ Social capital is both a precondition for the development of civil society, and a by-product of its existence.
3. *Participation* - considered both a **methodology** and an **outcome**. It is a process through which concerned stakeholders become actors in decision-making processes that affect their lives and their communities.
4. *Governance* - defined as the rules, processes and practices through which power and decision-making are shared within an institution and within society.²¹ The concept of **good governance** refers to a number of values which are considered key to ensuring equitable and inclusive forms of decision-making. These include: participation, transparency, and accountability. For the purposes of this report, the notion of

²⁰ For further information on the notion of social capital see Putnam, R. (2000)

²¹ The definition draws on the working definition used by the European Union.

governance refers more globally to the way in which power is shared and decisions made. As with participation, governance is as much about process as it is about the outcome and therefore concerns itself not only with how power is used - "*the where to go*" but also with how power is shared - "*the who gets to decide*".²²

Based on these working definitions, four underlying hypotheses were formulated with regard to the linkages between natural resource management and governance with the wider Caribbean;

- At both international and national levels, the socio-economic and socio-political context, may influence the ways in which these issues are or can be addressed;
- While throughout the Caribbean the notion of participation may be considered as valuable and necessary, concepts of good governance and experiences of governance may vary as widely as the realities within the region.
- Good governance is built on two pillars: a structured and strong civil society, and a state apparatus which is committed to developing structures and methods which ensure accountability and which engage citizens in decision-making processes.
- Good governance in one area or sector, creates examples and models that can be adapted to other areas of collective interest.

Based on these assumptions, as a means of strengthening democratic processes, CANARI has decided to focus on developing a programme to reinforce civil society participation in, and contribution to, the equitable and sustainable use of natural resources in selected countries of the insular Caribbean²³.

This study, which builds on the work carried out by the Commonwealth Foundation, CSEDNet and other actors aims to identify issues which need to be addressed in order to effectively promote greater levels of citizen participation in natural resource management and create the demand for improved governance and participation in other domains of interest to Caribbean society.

²² Graham et al, IOC, (2003)

²³ The programme goal, purpose, objectives and expected outcomes are drawn from the grant agreement between the EC and Hivos.

2. METHODOLOGY

This section describes the methodology used to carry out this study relating to the criteria used to establish the sample of partner organisations, the data collection, the difficulties encountered, and the limitations inherent to the study.

2.1. *Sample*

CANARI chose at the outset to limit the size of the sample in order to facilitate a thorough qualitative analysis rather than generate quantitative data: information that could inform planning processes within CANARI, and target key issues related to governance and natural resource management within the region.

This decision was motivated by the fact that recent surveys, such as the one undertaken by CSEDNet, focused on generating quantitative data on a broad range of organisations involved in promoting sustainable development within the Commonwealth Caribbean which provides a representative overview of these institutions. The current study aims to provide complementary information through including non-Commonwealth Caribbean organisations and a more detailed analysis of certain key questions.

The choice of partners is critical to both the process and the outcome. CANARI developed a preliminary list of potential partner organisations that reflect both the cultural diversity of the Caribbean and the myriad forms of civil society organisations.²⁴

Two primary criteria were used to select organisations for the sample. They had to be:

- involved in the issue of natural resource management and governance;
- partners or potential partners in the HIVOS/CANARI programme on civil society participation and natural resource management;

Three secondary criteria used for establishing the sample were;

- *Geographical diversity* in order to include the various countries and territories within the wider Caribbean.
- *Linguistic diversity* in order to take into consideration the various linguistic groups which characterise the wider Caribbean.
- *Organisational diversity* in order to take into consideration the diversity of organisational structures put into place by Caribbean peoples to manage their natural resources and to promote development processes.

After deliberation, a list of 21 organisations was established by CANARI based on the various criteria presented above:

²⁴ The list of potential partners draws on a variety of sources; the organisations and institutions which have participated in CANARI activities over the past years, the results of a recent regional survey undertaken of organisations working on issues of sustainable development, and finally key organisations involved in natural resource management within the various countries and territories.

List of organisations invited to participate in the survey		
Country or territory	Name of organisation	Area of activity
Anguilla	Anguilla National Trust (ANT)	Site Management and advocacy
Antigua	Environmental Awareness Group (EAG)	Advocacy for wetlands
Bahamas	Bahamas National Trust (BNT)	National Parks and Protected areas
Barbados	Barbados Marine Trust (BMT)	Environmental education
Cuba	1. Centro Oriental de Ecosistemas y Biodiversidad (BIOECO)	Environmental monitoring
	2. Programa Sibarimar (SIBARIMAR)	Management of wetlands
Dominica	Social Partners for Action and Transformation (SPAT)	Rural development
Dominican Republic	1. Centro para la Conservación y Ecodesarrollo de la Bahía de Samaná y su Entorno (CEBSE)	Rural development and advocacy
	2. Consorcio Ambiental Dominicano (CAD)	Participatory natural resource management
Grenada	Agency for Rural Transformation (ART)	Rural development and forestry policy
Haiti	1. Groupe de Recherche et d'Appui en Milieu Rural (GRAMIR)	Rural development and community empowerment
	2. Mouvement Paysan Papaye (MPP)	Rural development and community empowerment
	3. Fédération des Amis de la Nature (FAN)	Environmental Education and Advocacy
Jamaica	1. Jamaica Conservation and Development Trust (JCDDT)	Protected areas management
	2. Negril Coral Reef Preservation Society (NCRPS)	Protected areas management
St. Kitts	St. Christopher Heritage Society (SCHS)	Site management
St. Lucia	1. St. Lucia National Trust (SLNT)	Protected areas management
	2. Soufriere Regional Development Foundation (SRDF)	Protected areas management
St. Vincent	Project Promotions Limited (PPL)	Rural development and advocacy
Trinidad and Tobago	1. Stakeholders against Destruction for Toco (SAD)	Rural development
	1. Trinidad and Tobago Citizens Agenda Network (TTCAN)	Advocacy

2.2. **Data collection**

The study was based on two complementary methods of data collection;

- A summary review of some of the key literature on the issue of civil society participation and governance within the region, in order to provide a background against which to analyse field level experiences and perspectives.
- A survey of a key group of partner organisations with a view toward integrating their perspectives and experiences.

The survey instrument was designed around 4 major axes²⁵:

- institutional profile,
- experience in the area of natural resource management,
- linkages between natural resource management and gender, and
- linkages between natural resource management and governance.

It was decided to use open-ended questions rather than closed questions in order to solicit qualitative responses. This decision allowed organisations greater flexibility in responding to the various questions, and to establish their own priorities without reference to a predetermined frame.

The survey instrument was developed in English and then tested on two organisations to improve both content and clarity. The survey was then translated into French and Spanish for use in Haiti, the Dominican Republic, and Cuba. The decision to develop three versions of the questionnaire rather than using only an English version was also considered an important message to partner organisations about the recognition of the importance of linguistic, and by extension, geographic diversity, and the willingness to approach them on “their own terms”.

The survey was distributed in January 2003 and responses were received over the following seven-month period.

The data was then compiled using a simple matrix in order to present a general profile of partner organisations²⁶. Areas of commonalties and divergence were identified as well as key crosscutting issues judged pertinent for programme development and further reflection amongst partner organisations.

Given the relatively small size of the sample, and the emphasis on *discourse* rather than *observation*, the analysis focused more on qualitative issues rather than a quantitative analysis *per se*.

2.3. **Difficulties encountered**

A number of constraints marked the realisation of this study.

- The primary constraint was the delay in receiving responses from partner organisations. Initially planned to be completed over a three to four month period, the survey process took approximately seven months to complete.

²⁵ The survey instrument is presented in Annex 1.

²⁶ The compilations of the survey are presented in Annex 2.

- The second constraint was that, of the 21 organisations contacted, only 14 organisations responded, and 13 organisations provided information that could be used. This represents a response rate of approximately 64%.

The comparatively low level of response can be interpreted as follows:

- Lack of interest in participating in research which is perceived to have an academic rather than practical focus This is perhaps best captured in the response of one participant: *"You can either do the work or write about it. We do the work."*
- A limited human resource base facing the challenges of ambitious programme objectives – a primary characteristic of the NGO community in the region - with little time for completing questionnaires.
- A sense that, far too often, studies undertaken do not in fact inform programming and action – another primary characteristic of Caribbean NGOs.

Whichever interpretation best reflects the position and thinking of various organisations, the very limited participation in the survey is informative in itself and suggests some areas of focus for the future.

- Similarly, out of an initial grouping of organisations representing 14 countries, the final sample was based on organisations coming from 11 countries, with no response from organisations based in Saint Kitts and Nevis, Saint Vincent and the Grenadines, and an invalid questionnaire from Trinidad and Tobago. While this is regrettable, the sample does cover most of the territories within the region, and three of the major language groups
- A fourth constraint was identified with regard to the survey instrument itself. While the decision to use open-ended questions was motivated by an interest in generating good qualitative data, it created difficulties in terms of the codification of the responses.
- Although it was pre-tested, the survey instrument, did not appear to be sufficiently precise: some questions were perhaps too ambiguous and therefore left room for interpretation by participating organisations. As a result, the quality of the information received varied from organisation to organisation.

2.4. *Limitations of the study*

Given the nature of the study and the information generated, the conclusions drawn, although indicative, cannot be considered as representative of all organisations within the region working on issues of natural resource management.

Certainly some of the issues raised may be significant to other organisations working in the same area, and perhaps to other civil society organisations within the region. The purpose of the study, however, was to examine more closely a given set of institutions, and based on the small sample, to examine key issues of relevance to them. The extent to which these issues have broader relevance and significance is a therefore secondary issue.

3. REGIONAL CONTEXT

The regional context provides the backdrop against which the issue of civil society participation in the area of natural resource management occurs, and the framework that either constrains or facilitates this involvement.

Given the diversity of the region, and the rapid changes which it is undergoing as a result of globalisation, it is difficult to identify all the aspects which characterise the current context, and condition the opportunities for participation. Notwithstanding these provisos, there are common themes and challenges, even if their form of expression may differ from country to country.

The chapter will present, in summary form, four facets of the regional context which impact directly on the issue of governance and civil society participation;

- The *policy context* - affecting policy processes and content that impact on civil society participation in natural resource management, and by extension in other arenas;
- The *institutional context* - factors which affect the ways in which the primary actors interact with one another;
- The *organisational context* - factors which impact on the development of civil society organisations.
- The *geographical context* - the physical and cultural factors which impact on the ability of the region to collectively address development issues.

3.1. Policy context

An analysis of the policy context within the region is marked by certain fundamental characteristics which are in turn conditioned by two international trends which are impacting on the formulation and content of policies:

- Globalisation and the development of free trade areas such as the Free Trade Area of the Americas (FTAA) and the North American Free Trade Agreement (NAFTA) pose a major challenge to the small and vulnerable economies of the region. Concomitant to this is the redefinition of the sovereign role of the state, and the limits of that sovereignty with regard to regional, hemispheric, and international institutional arrangements. The economic model is presented as being monolithic and universal, and applicable in its entirety.
- The vulnerability and narrow base of Caribbean economies often forces states to give priority to direct foreign investment and capital growth, rather than environmental or social concerns, and to focus on short term economic gain rather than sustainable development. The concept of sustainable development, although initially focused on the need to balance economic development and environmental concerns, has become increasingly inclusive and has been brought into the sphere of governance.²⁷ In a workshop bringing together key practitioners within the Caribbean, it was defined as “the transformation of the political culture to enable a democratic process of allocating the use of resources for equitable economic and social development over a sustained time period and within the constraints of the sociocultural carrying capacity, using a participatory methodology”.²⁸

²⁷ DFID/UNDP. Workshop Report the Seminar on Participatory Processes and Sustainable Development (2002).

²⁸ Ibid.

The ideological base of the neo-liberal economic model suggests major changes in the structure of national economies, in their place in regional and global structures and in fundamental **transformations in the role and purview of the state**. This is characterised by the notion of a “shrinking state”, whereby the primary functions of the state are reduced to minimal functions, while the role of service provider is increasingly transferred to – and funded by – the private and social sector²⁹. While this translates into downsizing the state, it also creates an obligation to define the nature of the relationship with other social actors, and to establish mechanisms for the institutionalisation of this relationship.

Within the region, this trend is most apparent in the domain of social policy - with the privatisation of social services such as education and health for example. This ongoing transformation, while in theory creating opportunities for participation and partnership, has not been without difficulties, and has raised fundamental questions with regard to the obligations and responsibilities of the state vis-à-vis its citizens.²⁹ Concomitant to this decrease, is a significant increase in the burden on citizens, and particularly women, to take up the slack³⁰. This constitutes an area of ongoing concern and debate within the region.

In the political arena, the **democratic process** is generally accepted as the norm within the region, although there is justifiable debate on the form the democratic process should take, depending on the widely differing individual context and history of each country.

If in some territories within the Commonwealth Caribbean, democratic process is strongly anchored in the political tradition, the limits of this process are now being felt as citizens become more and more alienated from the state, and participate less and less in electoral processes³¹. This is accompanied by a growing lack of confidence in the ability of the state to take into consideration the interests of its citizens, and a growing concern about the lack of citizen participation in decision-making processes. This was amply demonstrated in the recent survey on governance in Jamaica.³² This has created a dynamic whereby efforts are increasingly being made to open the process to citizens, and to constructively engage them in various forums.

In the case of the Commonwealth Caribbean, democratic processes are being consolidated through citizens seeking to push beyond the limits of current governance practices. In some other countries within the region, such as Haiti, the demand for democracy has translated in the fall of dictatorial regimes and opened the way to a “transition to democracy” where the challenge has been to put into place processes and structures which embody the democratic ideals and create space for increased participation³³. This transition, which for some countries is a “hesitation waltz” marked by two steps forward and one step back, directly challenges the predominant culture of decision-making that has characterised governance within the region.

The predominant **culture of decision-making** is characterised by centralised and vertical processes, and by lack of a long-term vision. As a result, citizens have little space and virtually no role in decision-making processes. Short term goals, responding to immediate political imperatives, and a “crisis management” approach often take precedence over a long term vision and - in the name of efficiency, consultative processes and citizen participation

²⁹ Note that there is significant debate about the relevance of this model particularly in countries where major social disparities exist. According to the UNDP, in certain parts of the world this model has contributed to worrying trends in human development which include increased poverty and increasing inequality. Too often this model has led to a decrease in the range of capacities and responsibilities of the state (UNDP 1997).

³⁰ The increased burden placed on citizens in general and women in particular has led to a decrease in the well being and the standard of living of families throughout the region. While the poor have been hardest hit, the outcome has also been felt at the level of the middle-class.

³¹ This phenomena is certainly not limited to the Commonwealth Caribbean but is generally identified in various countries with a strong democratic tradition, thereby the emphasis is on the limits of the current model.

³² Baker (1999)

³³ The term democratic transition implies that it is an ongoing process rather than an end point.

fall by the wayside. The culture of decision-making not only effects policy process and content but impacts on the institutional environment within which policy is made and implemented.

3.2. *Institutional context*

The institutional environment comprises both the legislative frameworks and institutional arrangements that govern the interface between the state and civil society. By its very nature and scope the institutional context plays an important role either in creating or constraining opportunities for participation.

While there are areas of divergence and similarity in institutional context, underlying issues appear to remain the same.

- Without doing a thorough analysis of the **legislative** frameworks which **confer legal status to NGO and other types of civil society** associations in the region, it is apparent that there are major differences at the national level. Even within the Commonwealth Caribbean there are differences with regard to the types of legal status available, complexity of the registration process, and differing levels of privilege and obligation:

In the wider Caribbean, Haiti illustrates the complexity of this issue and its impact on the relationship between the state and civil society. Prior to 1987 and the adoption of a new Constitution which formally recognised the right of citizens to organise themselves into associations, the legislative framework was primarily coercive, and served to strengthen state control over citizen associations, which were seen as a focus for resistance and organised criticism of the state. Despite the fact that the new Constitution clearly embedded the right to form associations in national legislation, no enabling legislation has been put in place, and existing legislation has not been modified to make it compatible with the wording of new Constitution. As a result, civil society organisations remain dependent on the state to confer legal status: legal recognition becomes a favour and a filter on aspirations, limiting the right of citizens to exercise one of their fundamental liberties, and creating a situation that was recently characterised by an international observer and journalist as a “democratic deficit”.³⁴

The Dominican Republic on the other hand has embarked on an ambitious and far reaching programme to address both the lack of effective and/or appropriate legislation conferring legal status to civil society associations and the lack of institutional frameworks which enable citizen participation³⁴, while Belize has enacted NGO legislation that is being seen by some in the region as a useful model. While it is too early to judge the outcomes of these initiatives, they do constitute positive steps towards the development of legislative frameworks that enable a vibrant civil society.

- With regard to **legislative frameworks that create legal venues for citizen** participation, there are major disparities within the region. Despite a formal recognition of the importance of civil society participation demonstrated by CARICOM’s Charter of Civil Society, the enabling legislation that would enable member states to act on the provisions of the Charter has not been put in place.

It is striking that the oldest framework adopted by CARICOM countries in the form of a declaration that enshrines a commitment to International Labour Office (ILO)

³⁴ Programa de Fortalecimiento de Organizaciones de la Sociedad Civil, INTEC, 2002

fundamental labour standards³⁵ brings together in a “social partnership” state, private sector and labour representatives who meet in tripartite committees. The NGO community has lobbied effectively to be included in this forum. It should be noted that the NGO community has lobbied successfully to be included in this forum. However, although the framework is there, its effectiveness as a useful tool for dialogue on labour issues has been questioned.

More recently National Sustainable Development Councils have been set up in many Caribbean countries. These should provide another forum for citizen participation, but have, in some cases do not seem to have provided opportunities for active and “real” participation.

- The recent trend towards **decentralisation and local** governance has opened another space for citizen participation in national decision making. This is an integral part of the demand for democratic government, and a fundamental building block of the democratic process. This trend, however, goes against the predominant culture of centralised decision making and the process has therefore been slow and requires a substantial political and financial commitment to make it effective.

3.3. **Organisational Context**

Civil society constitutes the primary locus of social capital within a society. Defined as the complex web of organisations, norms and values that create solidarity within and among citizens, numerous factors have contributed to decreasing and weakening social capital within the region. Civil society, as an expression of citizen involvement, is increasingly confronted by challenges at various levels. Among these factors are:

- **Lack of succession planning within key organisations**
The vibrancy of Caribbean civil society organisations which was so evident during the late 1980s, which contributed both to moving forward an alternative development agenda in regional and international forums and to building networks at national, regional and international levels, has declined. This generation of civil society leaders moved on to other areas of engagement and there was insufficient effort made to identify and nurture the succeeding generation of leaders.

Limited institutional memory

As a result of lack of succession planning and weakened institutional structures there is a sense that civil society organisations are not learning from the past in order to build on and refine the vision and objectives put in place by the previous generation of leaders.

- **Challenges of community mobilisation in an increasingly hostile environment**
The deterioration of the socio-economic situation within the region has stretched very thin the capacity of citizens to come together in solidarity: individuals and families are increasingly confronted by the challenges of daily survival, and – particularly in countries where there is the greatest disparity in access to and control over resources and services – civil society organisations are increasingly challenged to demonstrate how collective action can contribute to improving the situation of individual citizens.

Limited human resource base

The deteriorating socio-economic situation has led to increased levels of out migration and a resulting decrease in the human resource base including those interested in and committed to working within civil society organisations.

³⁵ Most notably ILO Convention 144

Increasingly complex and inter-related development challenges

Civil society organisations are increasingly obliged to develop skills and capacities which were not necessary ten to fifteen years ago. The development challenges confronting the region require an ability to work at the micro, meso and macro level, and to look at the interconnectedness of development issues.

- **Increased need for professionalism**
The growing complexity of issues which need to be addressed by civil society has created a need for organisations to become increasingly professional in their approach, sometimes at the risk of diluting the vision and commitment which characterised civil society activities in the past.
- **Changing patterns of financial support**
Shifts in the focus of donor funding have translated into decreased financial support for NGOs in the region and have weakened the capacity of civil society to act effectively. Northern NGO donors who have traditionally supported Caribbean civil society organisations are increasingly providing support to other regions and countries. Core funding has largely been replaced by project based funding, with some projects being donor driven. Bi-lateral funding has, in many instances been replaced by multi-lateral funding.
- **Increasing competition among civil society organisations**
Limited financial resources have increased the level of competition within the sector for whatever funding is available. Two major impacts at both the national and regional levels are: the disappearance of “non-competitive” organisations, and increased difficulty in creating the alliances and networks necessary for collective

3.4. *Geographical and cultural context*

It is important to note the diversity of the Caribbean region. In spite of efforts to build linkages which have their origin in the Pan Caribbean movement of the 1940's and 50's, the Caribbean is divided by linguistic and cultural differences, and by different political ideologies. Efforts to create a sense of regional unity have been made both at state and civil society level:

- **Efforts at state level** have tended to reflect the geopolitical reality of international, particularly US, influence that has limited both the scope and the effectiveness of these actions. Within CARICOM the inclusion of Haiti and the Dominican Republic as members in 2002 represent a move in the right direction, but CARICOM has still not addressed the issue of the inclusion of Cuba. This is congruent with the balance of power and strategic interests of states within the region, plus the high level of dependence on the United States as an important bilateral trading partner. The ACS attempts to redress this situation but remains handicapped by lack of political will and limited resources.
- **Efforts at the level of civil society**, though more numerous and more inclusive than those undertaken by the state, have also confronted major difficulties. The Caribbean People's Development Agency (CPDA) and the Caribbean Network for Integrated Rural Development (CNIRD) attempted to lay the groundwork for collective action around development issues confronting the region. The Caribbean Policy Development Centre (CPDC) and the Caribbean Network for Feminist Research (CAFRA) are also making notable efforts. The Assembly of Caribbean Peoples (ACP), formed in 1994, brings together a broad cross section of civil society representatives from throughout the region in order to define and advocate a vision of development which is grounded in Caribbean values, people-centred, and informed by the discourse on social justice, equality and autonomy. All of these initiatives have confronted myriad challenges and difficulties which have hindered both the scope and the impact of their work.

There is clearly a need to continue to work systematically towards the creation of spaces and structures that will facilitate the emergence of a Caribbean identity and vision. A common and shared vision is central to building the capacity of both state and civil society actors to define and implement development processes which reconcile economic development and environmental protection, and to put into place models of governance which provide leadership while creating spaces for effective citizen participation. This constitutes an enormous and compelling challenge.

This section has identified some of the key challenges facing state and civil society actors in their effort to create policies and institutions that favour civil society participation, and good governance. These various factors constitute the background against which the results of this study must be analysed, and the foundation on which future strategies must be built.

4. COMMONALITY AND DIVERGENCE

Before addressing the similarities and differences amongst the various organisations participating in this survey, prudence and rigour would suggest that three preliminary remarks are in order.

- Despite the relatively small number of organisations participating in the survey, they effectively demonstrate a broad range of organisational profiles, and diverse approaches to natural resource management. Despite the limitations of the survey instrument, their responses show the richness of the experience that can only begin to suggest the contours of an organisation and its practice. The analysis is therefore based both on what was written and on interpretation of what lies behind the words, and draws on a certain degree of knowledge of the context within which Caribbean organisations are evolving, and familiarity with the issues confronting civil society organisations in general.
- Every organisation is unique and it is therefore difficult to identify points of convergence and divergence. There are however common elements and differences that can be identified, at least among a certain number of organisations within the group.
- The line of demarcation between differences and similarities is often not that clear cut, but rather a question of degree, or perspective. It was thus decided to approach this section in a holistic manner that would assist in building bridges between organisations.

4.1. *Commonality and divergence: a question of degree*

When analysing institutional profiles and capacity, there are a number of characteristics which impact on the organisation's ability to both actively engage in resource management, and create opportunities for civil society participation in resource management.

This section will flag the most salient of these characteristics and raise questions about some of the implications for the work of organisations involved in natural resource management.

Typology and Organisational Vision: Who are we and what do we believe?

All organisations surveyed define themselves as being NGOs: a somewhat misleading definition which covers a diversity of organisational forms. A closer look reveals that within the universe of organisations defining themselves as NGOs, there are those which reflect both the period during which they were founded, and the way in which they were established.

A proposed typology of NGOs includes:

- Organisations whose membership is comprised of non-state actors (private citizens) who have come together to address a particular issue of common concern. These organisations constitute the overwhelming majority of the partners participating in this survey. In general, they are organisations created by a core group of individuals, very often professionals directly working in the area of environment or development, and who share a common vision and or interest.
- Organisations created by government and mandated by government to carry out specific functions and roles in the area of natural resource management or, in one case, to deliver services in the area of rural development;
- Organisations whose membership is comprised of both state and non-state actors, and who function more as a platform for concerted action.

- Organisations whose membership is comprised of community organisations, and who define themselves as a social movement rather than an NGO. The distinction here is that the NGO works on behalf of a third party or issue, rather than on behalf of its own membership.

These nuances go beyond a simple question of legal status, which is problematic given the lack of consistent and comparable legislative frameworks across the region.

If legal status is a secondary issue which is conditioned both by the available options and the complexity of obtaining a particular form of legal recognition, then the primary issue is the composition of the membership and its impact on the ability of the organisation to achieve its mandate.

Two remarks can be made with regard to the typology of organisations participating in this survey: the first is with regard to grass roots organisations per se and the second is with regard to the emergence of a new type of organisation bringing together state and non state actors.

- **Grass roots organisations:** The survey sample was determined by CANARI and comprises CANARI's primary civil society partners. Intermediary organisations – whose role is to facilitate and build bridges between the state and primary resource users - are dominant. The absence of grass roots organisations within the sample is striking. Does the relative absence of grass roots organisations within the sample reflect the fact that the level of social capital within the region is relatively low, or that the level of institutional development of grass roots organisations is relatively low? While this question is certainly open to debate and discussion, and structures bringing civil society and government together are emerging, it does place responsibility on intermediary organisations to put in place processes which facilitate the emergence of a regional voice, and the strengthening of grass roots organisations. This observation will have an impact on the analysis both with regard to internal mechanisms to facilitate the emergence of a regional voice, and the linkages that exist between intermediary and grass roots organisations.
- **Hybrid organisations:** In the case of natural resource management – traditionally a function attributed to the state, it is interesting to note the emergence of hybrid organisations which bring together state and non state actors: a new type of organisation that requires closer examination.

One would be tempted to conclude that these hybrid organisations would in fact constitute a new locus for governance and that they would have a comparative advantage in promoting participation and in putting into place institutional mechanisms which would favour this. The information collected does not, however, support this conclusion. In focusing specifically on those organisations which include state representation among their membership, or who are specifically mandated by the state to assure conservation and preservation functions, it is difficult to conclude that the integration of government representation within the membership structure has led to greater levels of civil society participation in national decision-making – perhaps because the government agencies are themselves peripheral to the decision-making process? This will be further explored in the section dealing specifically with issues related to participation and governance.

Just as this hybrid form of organisation may create opportunity for dialogue, it may also limit the types of action the organisation may undertake. None of the hybrid organisations included in the survey sample engage in advocacy: this suggests that the hybrid nature of the organisation may lead to a more conservative approach which impacts negatively on its ability to effectively engage in advocacy.

Key Characteristics

- *Lack of consistent non profit legislation within the region obliges organisations to seek various types of legal status thereby hindering attempts to arrive at a common analysis based on legal status*
- *Marked absence of community based organisations among the principal natural resource management organisations within the region*
- *Emergence of hybrid organisation bringing together state and non state actors and creating in theory an new locus for governance around natural resource management*

Clearly who we are impacts on what we believe, but conversely, what we believe also informs how we organise ourselves, and the types of organisations which we put into place. The mission of an organisation defines the way they position themselves within the world, and the way they define their work. What part does “Participation” play in the mission and objectives of the various organisations surveyed? The following groupings can be identified:

- **Participation as a means:** organisations which define their mission as one of conservation and preservation of natural resources, with a primary focus on the technical requirements of resource conservation. For these organisations, the concept of participation is a means of achieving the technical goals of their mission. In other words, participation is subsidiary to the conservation goals and does not constitute a goal in and of itself.
- **Participation as an end in itself:** organisations that define their mission with regard to a holistic and people centred approach to development. Most of these organisations are NGOs coming out of the social justice movement of the 1980’s, where the notion of citizen participation and empowerment is central to their vision. The focus on environment is secondary to the issue of participation that is posited as an objective in and of itself.

Participation as a means and an end: organisations which are informed by the discourse on sustainable development, in which citizen participation constitutes a goal in itself even though the notion of participation becomes a method of achieving sustainability. These organisations define their work within a framework that seeks to reconcile both process and results.

This would suggest that within the sample, there are world-views which have points of convergence although the point of departure is radically different. This has an impact both on discourse and practice.

Each organisation is, however, moving toward a position where there is recognition that both process and results are important. For some it is more comfortable to remain within an approach which is familiar, and within which the rules are clearly defined. This shift in perspective presents particular challenges for each of these organisations and creates a space in which exchanges can and should take place.

For those organisations coming from a purely technical approach, the issue is one of power and control. When process becomes a goal in itself, the level of control exercised by the organisation decreases, and power is shared with other stakeholders. For those organisations with a focus on process, the need to demonstrate tangible results which impact on people’s lives presents challenges on how to monitor and measure progress in a manner which captures the impact of empowerment on people’s lives.

- **Emergence of rights-based approach:** particular mention should be made of one organisation that posits their work within a rights-based approach. A comparatively new trend among development organisations and social movements, the introduction of a rights-based approach changes both the focus of the work and the nature of the relationship between the various social actors. One of the predominant characteristics of this approach is that it is informed by the notion of universal rights as defined in international and regional conventions **and** international and national environmental law. This represents a major paradigm shift in the way in which stakeholders are viewed: moving from a passive role of beneficiary of services and programmes to a pro-active role invested with inalienable rights and obligations. The implications of this shift will be further discussed in **Section 6. Issues arising**.

Key Characteristics

- *Natural resource management organisations come out of different backgrounds with differing world views and with differing views on participation*
- *Tendency amongst some organisations to focus on the technical aspects of natural resource management and participation becomes a means toward an end*
- *Tendency amongst some organisations to focus on development issues within a social justice perspective and participation becomes an end in and of itself*
- *Newer generation of organisations reconciles both visions by embracing a sustainable development discourse in which participation is both a means and an end*

How do we access and mobilise resources to achieve our objectives ?

In order to accomplish their missions, organisations need to mobilise the necessary human and financial resources required. This is one of the key survey areas in which both similarities and differences clearly emerge.

The information suggests that this constitutes a vicious circle: because of limited financial resources, the human resource base is limited and because the human resource base is limited there is limited staff time to engage in fundraising. It becomes a self-fulfilling prophecy.

Given the nature of civil society organisations and the important role assumed by volunteers, it is appropriate to address first of all the characteristics of the human resource base.

All of the participating organisations have a diverse human resource base composed of volunteers and paid staff. But the place accorded to each type of human resource varies greatly within the sample. Two major groupings can be identified within the sample:

- **Small organisations with limited resource base:** Given the importance of voluntary action among civil society organisations, it is not surprising to note the important contribution made by volunteers, particularly among small organisations with a limited resource base. This would suggest a high level of participation and ownership in the organisation. But it also creates a level of vulnerability within the organisation, as it depends primarily on the availability and willingness of people to contribute to achievement of the organisation's goals. As one participant in a recent forum stated: *"The ability of citizens to effectively engage in voluntary action is becoming increasingly compromised by the declining socio-economic situation of the region. It becomes a trade-off between taking care of yourself and taking care of others."*

While group action may be a way to help you take care of yourself while taking care of others, in this trade-off, the ability of NGOs to mobilise their membership becomes increasingly difficult. For the most part, those organisations who continue to count on high levels of voluntary contributions tend to come out of the social justice movement where participation in an NGO becomes a manner of demonstrating a political commitment. The negative aspect of this situation may be a comparative loss of efficiency and performance and, given the profile of the voluntary resource base, a lack of technical expertise in specific programme areas.

- **Larger organisations with a technical focus:** Among larger organisations with a primarily technical focus, the role of volunteers remains important, but programme functions are increasingly assumed by paid staff. This decrease in volunteer action is accompanied by the challenge of a lethargic membership that is under-involved and does not demand accountability. The organisation becomes disconnected from its membership and becomes accountable more to its donors than to its constituency.

Permanent paid staff: When looking at permanent, paid staff, the first observation is that the resource is very limited, both in terms of its absolute size but also in terms of its skill base. Notwithstanding this preliminary remark, there are two major groupings that emerge within the sample:

- **Small staff structure:** The vast majority of organisations function with a very small staff structure. This creates incredible pressure on both staff members and the membership, to deliver programme objectives. With the majority of organisations having a permanent secretariat of less than 8 people, and one third with less than five persons, one of the first questions is to examine the level of consistency between the stated programme objectives and the institutional capacity of the organisation. The information would suggest that there is a major discrepancy between the stated programme goals and the resources that can effectively be brought to bear to achieve those goals.

Some organisations have adapted particular strategies to address this issue. The prevalent strategy is to leverage support through building alliances with other social actors around particular issues. This would suggest that examining the issue of linkages is important in assessing the compensatory mechanisms used by organisations to address the issue meeting ambitious goals with a limited human resource base.

Gender equality: There is a preponderance of women in paid positions in organisations with a small staff structure: as the size of staff becomes smaller, the number of women tends to increase. Are women more efficient in terms of programme delivery, or are they more willing to accept lower salaries and higher levels of responsibility than men? The information suggests that women are more obliged to accept lower paid positions and a higher degree of job insecurity than men.

- **Larger staff structure:** The organisations with a staff of 10 or more persons, are those that have been vested with the management of large park areas and which receive substantial support from government and or para-statal organisations or foundations. They are the minority within the survey.

Gender equality: With regard to gender distribution within these organisations, the information provided would suggest that there is an equitable representation of women in terms of absolute numbers. However the survey does not provide insight to the role and place accorded to women within these structures and a closer examination of the distribution of roles and functions is needed.

Fit between human skill base and technical mission: A second set of observations relate to the fit between the human skill base and the technical mission of many of the organisations participating in the survey:

- There is a discrepancy between the technical mission of most organisations and the human skill base. Less than half of the organisations within the survey have in house technical support. Given the lack of permanent technical support how do these organisations mobilise the necessary skills to address the technical issues that are part of their mandate ? The information suggests that the primary strategies used to address this issue are: short term consultants, collaboration with other organisations, and mobilising volunteers.
- The lack of a technical resource base not only limits the ability of organisations to effectively achieve their programme objectives, but also to monitor, evaluate, and document their activities. Given the role of many participating organisations is to educate and mobilise support for natural resource management and participatory processes, this also limits their ability to effectively demonstrate the relevance of these issues. This is also reflected in the areas of weakness identified by participating organisations.

Key Characteristics

- *Important role played by volunteers both as a means of encouraging member participation and as a strategy to compensate limited staffing*
- *Limited permanent human resource base and as a consequence an over extended staff*
- *Preponderance of women staff members in organisations with a staff of five or less persons*
- *Preponderance of generalist staff members and a lack of technical in house expertise*
- *Discrepancy between mission and mandate of organisation and staff profiles*

Financial resources: With regard to financial resources, there is a certain degree of coherence across the sample: all organisations, regardless of the diversity of their funding base, do not have access to levels of funding which enable them to ensure organisational stability and programme continuity. It is also clear that there are differences of degree: if for some, the issue is to leverage increased funding in order to expand programmes, for others, the issue is one of basic organisational survival.

- **Basic survival:** Those organisations for whom it is a question of organisational survival appear to be primarily those organisations whose mission is more process oriented and less focused on the technical aspects of natural resource management. For these organisations the notion of core support becomes critical. The shift in donor priorities as well as the way in which funds are now allocated have had an impact on these organisations. With the retreat of many of the traditional donors who supported the emergence of the NGO movement within the region, and who themselves were process oriented, these organisations are facing a fundamental challenge of how to adapt to a new environment where tangible and concrete results are increasingly emphasised and the mode of funding is more analogous to contractual rather than partnership arrangements.
- **Increased funding to expand programmes:** While the survey did not address the issue of levels of funding, which was judged to be an issue internal to each organisation,

the survey clearly demonstrates again that there are certain groupings that emerge within the sample:

By using donor diversity as a partial proxy for levels of funding, most organisations have secured between three and five sources of funding, which would suggest a considerable effort to diversify. But while there has been a move towards diversification, this has very often taken the form of sourcing several different donors rather than a diversification of the type of funding source which would assist in increasing self reliance. For most organisations, northern NGOs are the primary funding source. Given that the range of organisations actively involved in funding within the region is limited, and those involved in funding natural resource management even more limited, this creates competition between organisations and vulnerability to shifts in donor priorities.

- Organisations that have succeeded in diversifying both number and type of funding sources are few and include both larger organisations with a technical focus and some of the smaller and younger organisations with high performance levels. Among larger organisations the importance of NGO donors is far less than among the rest of the sample and the shortfall in funding is offset by successful income generation or by accessing monies from an endowment: an exception within the sample.
- Most organisation show a high level of donor dependency and are therefore vulnerable to shifts in the funding environment as they have limited room to manoeuvre. Those organisations that are less vulnerable have invested energy in developing their income generating capacities as well as diversifying their funding base.
- Given the level of donor dependency, there are risks that organisations may in fact become donor driven rather than demand driven. While the information within the survey suggests that some organisations are conscious of the risks, and some are clear that their programmes are to a certain degree donor responsive, for the most part this issue is not addressed directly by respondents. Given the risks of what one respondent characterised as an *opportunistic approach*, the need for a strategic planning: a clearly articulated mission, vision and objectives becomes crucial in order to maintain focus.
- The apparent disconnect between ambitious programme planning and limited levels of funding emphasises the need for careful strategic planning.

Key Characteristics

- *Shifts in the donor community have created funding shortfalls for organisations and have fostered a shift from partnerships to contractual agreements changing both the nature of the relationship and the type of funding provided*
- *High level of donor dependency among natural resource management organisations*
- *Certain effort toward diversification of donor base without diversification of funding sources*
- *Limited donor base creates competition both among NGOs involved in natural resource management and between NGOs and government*
- *Funding crisis creates the risk of opportunistic approaches which may compromise organisational vision and goals*
- *Chronic funding crisis impacts on institutional stability, performance and programme results*
- *Discrepancy between programme objectives and financial resources available to natural resource management organisations*

How do we connect with other social actors within our society ?

One of the functions of the organisations within this survey is building understanding of and consensus around environmental issues and as part of this focus, building linkages with other organisations within society to move this agenda forward is a key element.

Linkages: The majority of organisations have developed various types of linkages with other civil society actors within their societies. However beyond this initial observation there are distinct differences within the sample both with regard to linkages with individual resource users, and community-based organisations and with regard to other NGOs within and outside the environmental movement.

- **Individual resource user linkages:** Most organisations link with individual members of the general population and with particular social groups, such as farmers and fishermen, through broad-based public awareness and education initiatives. In terms of resource users identified as a particular social group, many organisations also work with individual fishermen or farmers.
- **CBO linkages:** The term “community organisation” does not provide insight into the profile of the organisation or its constituency. They often reflect the existing power relations within a community and also either exclude or marginalize certain social groups – youth, or women for example. In terms of developing linkages, how representative are community organisations of the constituency in a given community ?
- **NGO linkages:** If the majority of organisations also maintain linkages of various types with other NGOs within their countries, there are marked differences within the sample. Those organisations that tend to define their mission primarily in technical terms and focused on conservation and preservation issues, have developed linkages only with those organisations who are working within the same area. While this may present advantages in terms of facilitating exchange and collaboration, the risks are that natural resource management issues remain the purview of only a small group of organisations and do not get integrated into the discourse and practice of other organisations concerned by development or social justice issues. In the same manner, environmental or natural resource management organisations are also marginalized from the broader discourse and analysis on development and social justice issues.
- **Sustainable development/community empowerment organisation linkages:** Those organisations working within a framework of sustainable development and or community empowerment, tend to be linked to a wider variety of organisations that are more representative of the various groupings within civil society. The advantages to this approach are the possibilities of building broader alliances and through these alliances to gain greater strength and voice on development and natural resource issues.
- **Regional/international linkages:** At the regional and or international level, most organisations are affiliated to an association or network. However, affiliation tends to follow the trend identified at the national level. The majority of organisations tend to belong to environmental networks and associations- which is congruent with the focus on information and skills development. The survey however does not provide insight into how affiliation to these networks has in fact contributed to strengthening the capacity of its member organisations or building consensus around certain issues or themes related to natural resource management.
- **Network linkages:** Those organisations with a broader focus also tend to be linked to diverse types of networks bringing together organisations with different perspectives and

areas of focus. Two of the organisations involved directly in natural resource management are also members of a wide range of other networks or organisations.

- **Isolation:** While most organisations are part of a broader network of organisations mobilised around various causes, surprisingly several organisations are working in virtual isolation from other civil society actors within their countries. While this is not indicative of the entire sample, or even of a significant portion, it is sufficiently striking to warrant attention. In one case, this appears to be due to an image of self-sufficiency and a tendency to work in relative isolation from other actors at both the national and regional level. In the other case, it can be interpreted as a direct consequence of the political isolation that has been imposed on the country.

Using linkages as a proxy for both the degree to which an organisation is anchored in its institutional environment, and for the manner in which it views other social actors, the sample also demonstrates two extremes. Those organisations who, either by choice or necessity:

- are part of a web of networking at various levels with other civil society actors.
- evolve in relative degrees of isolation.

Given the mandate of natural resource organisations, and the need to mobilise wide spread support for their actions, this raises the question of who are the other actors within civil society in each of these countries ? Some organisations within the sample cited the fact that there is a dearth of civil society organisations in their countries, while others stated that there was a need to strengthen those that exist. Both of these statements appear to be true. Both represent significant challenges. In those countries where civil society and social capital is weak, there is a need to actively encourage citizens to organise both around natural resource issues and around other issues of national importance. In those cases where existing organisations are weak, there is a need to develop their capacity to actively participate in various processes.

Key Characteristics

- *Linkages at the community level may not represent all the various interest groups within that community.*
- *Linkages with other civil society organisations tend to be limited to other organisations working directly in the area of natural resource management and environmental issues*
- *Linkages weak with other social actors limiting the possibilities of developing a broader view of natural resource management issues and mainstreaming these concerns into other sectors of civil society*
- *Regional linkages tend to be limited to technical associations and networks limiting both the perspective of the natural resource management organisations themselves and decreasing the possibility of creating a common position around the issue of natural resource management, development and civil society participation*
- *Efforts to broaden linkages in a manner which is inclusive tends to be found among those organisations coming out of a social justice/community empowerment tradition and the newer generation of organisations involved in natural resource management*

Internal Governance

Given the importance of promoting civil society participation in the management of natural resources, which directly addresses the issue of public governance, a related issue is to examine internal governance within the organisations surveyed. Internal governance can be looked at from various perspectives:

- the relationship between structures that exist within the natural resource management organisation in order to look at issues of accountability and participation in decision-making,
- the relationship between natural resource management organisations and the communities or organisations with whom they work.

All organisations participating in the survey have defined internal governance structures. While the form may vary, all distinguish between oversight and implementation functions. The information collected does not allow a thorough comparison of oversight functions, but information relating to membership participation provides some insight into this area:

- **Membership participation:** With regard to membership participation, most organisations state clearly that this is an issue. While the organisations in the survey use a variety of means to maintain contact with their members, the effectiveness of these various methods is questioned by the organisations themselves. This would suggest the need to explore alternative methods to sustain membership participation, and ensure accountability to the constituency. While some organisations have begun to experiment with alternative strategies, they remain the minority.

Those organisations which appear to maintain higher levels of participation are those which have a very small secretariat where members are obliged to ensure implementation functions. It would seem that increasing institutionalisation often gives rise to an increasing distance between the organisation and its membership.

- **Succession:** A related issue of governance is the question of succession both at the board level and at the level of executive secretariat.

Board level - While there is no information specifically related to succession at the board level, the information available with regard to member participation would suggest that it is difficult to identify new members who are willing and available to invest time and energy into the organisation.

Staff level - The information in the survey suggests that the issue of succession at the staff level is a concern to natural resource management organisations. Related to the issue of staff succession is the question of the ability of organisations to attract and to maintain motivated and qualified staff members, who in time can ensure management responsibilities within the organisation.

There appears to be a disconnect between advocacy on good governance in the public arena, and the need to build good governance in the private arena. Only one organisation made the important and necessary linkage between the two, implicitly suggesting that in order to be both effective and legitimate advocates, NGOs must practice what they preach.

Key Characteristics

- *All organisations have defined structures and procedures to ensure internal governance and accountability.*
- *Difficulties in ensuring member participation may compromise internal governance and impact on both participation and accountability*
- *Institutionalisation while creating more structured organisations also run the risk of increasing the distance between the membership and the executive structure*
- *Insufficient attention paid to the need to develop good internal governance within the private arena in order to ground and legitimate demands of improved governance in the public arena*

Nature of relationship between natural resource management organisations and the communities and organisations with which they work: The survey instrument unfortunately did not create the necessary opening to address this issue systematically. This constitutes a weakness of the survey instrument, but it is important to flag the issue as an area that should be further explored with participating organisations.

Of those organisations who did provide information which could be used to analyse the nature of the relationship between organisations involved in natural resource management or other related areas, there are certain examples which suggest the contours of this relationship.

- **Integrated relationship:** Two organisations surveyed have integrated CBO representatives into their internal governance structure. This suggests that these representatives participate in the decision-making process and have access to the information necessary to informed decision-making.
- **Consultative relationship:** Other organisations noted that they consult with CBO partners through various structures and mechanisms. It can be assumed that the process of consultation influences and impacts on decision-making processes.
- **Informed relationship:** A third category of organisations have a relationship based on the transmission of information to concerned groups, but do not state if the information flows both from the organisation to the concerned groups and from the concerned groups to the organisation and, whether this information impacts on the decision-making process.

When examining the governance systems in place between natural resource management organisations and organised resource users, the analysis necessarily focuses on the notion of participation. Given that the concept of participation may vary from one organisation to another, it is useful to refer to a framework that examines participation within the discourse of empowerment. One of the more interesting frameworks was developed to look at gender relations, but can be used to analyse power relations between organisations, between social groups, or within an organisation:

Decision-making					
Consultation					
Information Sharing					
Beneficiary					
Passive Beneficiary					
	<i>Welfare</i>	<i>Access</i>	<i>Conscientisation</i>	<i>Participation</i>	<i>Control</i>

Source; Adaption of the Longwe Framework on Women's Empowerment, March et al.

This framework clearly establishes a direct link between the nature of the relationship between two entities, and their respective position or status. One could also extrapolate that as the nature of the relationship moves from one of passive beneficiary and recipient of largesse, toward a relationship which is based on information sharing and/or collective decision-making, the relative status of the subordinate party will shift and become increasingly equal to that of the dominant partner.

In examining the notion of participation from this point of view, it raises issues about the way in which organisations work with their partners, and the degree to which they work consistently toward the empowerment of their partners.

The framework also echoes the typology developed by Korten with regard to what he refers to as the four “generations” of NGO organisations. Korten’s analysis could be used to analyse the historical development of the NGO movement and the ensuing shift in world views and operating styles, or to analyse the current spectrum of NGO positions. :

	First Generation NGO	Second Generation NGO	Third Generation NGO	Fourth Generation NGO
Parameters	Relief and welfare	Community Development	Sustainable Development	People’s Movements
Problem Definition	Shortage	Local inertia	Institutional and Policy Constraints	Inadequate Mobilising Vision
Time Frame	Immediate	Project life	Ten to twenty years	Indefinite
Scope	Individual or family	Neighbourhood or village	Region or nation	National, regional or global
Chief Actor	NGO	NGO and community	NGO and relevant public and private institutions	NGO and loosely defined networks
NGO Role	Doer	Mobiliser	Catalyst	Activist Educator
Management Orientation	Logistics management	Project Management	Strategic management	Strategic management Coalition building Self managed networks
Development Orientation	Starving children	Community self help	Constraining policies and institutions	Interdependent world
Organisational Structure	Organisation and membership	Organisation	Organisation	Organisation and membership

Source; Korten (1989) and Icart (2002)

While recognising that this framework was developed to analyse the development of NGOs, and that the context has changed somewhat since the early 1990’s, it remains a useful frame of reference for examining how an NGO positions itself on a number of key questions. Within the survey, the majority of organisations appear to function within a third generation approach, while a few others appear to combine third and fourth generation approaches, and an even smaller group appear to combine second and third generation approaches.

Key Characteristics

- *Lack of systematic and clear information indicating the actual level of participation of community based stakeholders in the relationship with the natural resource management organisation;*
- *Proxy indicators would suggest that levels of participation vary greatly amongst the various organisations with the consultative mode being the most prevalent form of interaction. However the degree to which consultation informs decision-making is not clear*
- *Few organisations are found at either extreme of the spectrum of participation.*
- *In general, this would suggest that work needs to be done to put into place policies and mechanisms which institutionalise participation not just as a consultative mechanism but also as a way of integrating stakeholders into decision-making processes.*
- *The majority of organisations fall within the classification of third generation NGOs. In general this raises the issue of whether or not the characteristics of third generation NGOs fit with the goals of promoting citizen participation in natural resource management and other decision-making processes*

Public governance as interface between the state and civil society

The issue of civil society participation in decision-making processes in general, and in natural resource management in particular, is central to this survey, and constitutes an ongoing preoccupation for CANARI.

It is useful to examine governance from two perspectives: first through the lens of citizen participation in natural resource management as one locus for participation, and then through the lens of participation in governance processes in general.

Public governance: Civil society participation in natural resource management

The first striking characteristic of the survey is that it brings together organisations that have three different types of relationship to natural resource management:

- **Those vested with management authority:** who are directly involved in natural resource management for a given resource and/or geographic area. This corresponds with hands on experience in natural resource management but does not necessarily include actions aimed at increasing the level of participation of community based resource users.
- **Those informing the process by building capacity:** who are indirectly involved in natural resource management by facilitating citizen participation in decision-making processes. Here the focus is on organisation and training.
- **Those providing a technical approach to building capacity:** who stimulate the demand and support for responsible environmental management and citizen participation in the national decision-making process by offering capacity building of a technical nature for natural resource management agencies rather than an awareness building role for the general public.

While these three categories are not discrete, with some organisations playing two or three of the roles, what is striking is that in those cases where the organisation is only focusing on one role, the linkages with organisations involved in the other areas is not immediately apparent. While this does not suggest that these linkages do not exist, it does suggest that these linkages are not sufficiently important - in the eyes of some of the participating organisations - to be pointed to as a method of achieving the goal of citizen participation.

Arrangements for interfacing with government vary depending on the functions performed by civil society:

- For those directly involved in natural resource management, the interface is permanent and institutionalised.
- For those organisations whose primary function appears to be to create space for public participation, the relationship appears to be more *ad hoc* and responds to an analysis of context and openings/opportunities for participation.
- For those who provide technical input to improve the quality of participation, the relationship tends to be either *ad hoc*, in response to emerging needs as identified by actors within civil society, or contractual if the technical assistance is provided to the state or to organisations mandated by the state to manage the natural resource base.

Looking at those organisations directly involved in natural resource management, it is difficult to place them within a framework that classifies different types of natural resource management regimes:

Participation in natural resource management: a continuum				
Full control by state agency with authority		Control shared between stakeholders		Full control by natural resource users
Consulting	Actively seeking consensus	Developing and deciding on specific agreements	Sharing authority and responsibility formally	Transferring authority and responsibility completely
No or few inputs from natural resource users			Less or no inputs from state agency with authority	
←-----→				

CANARI, adapted from Borrini –Feyerabend (1996)

While civil society involvement in natural resource management is not equal to participatory approaches to management, this framework can be used as a way of defining levels of civil society participation and degree of devolution of control to community based resource users:

- The majority of organisations with hands on experience are involved in a management regime that falls near the middle, but falls towards the left of the continuum. From information collected, some of the marine parks are clearly situated within a management regime with limited inputs from natural resource users.
- A smaller group of organisations have developed an approach that is closer to the model of control by direct resource users. The most striking example is the case of Saltos de Limon in the Dominican Republic. From the information available within the survey, it would appear that the management of the site is ensured directly by the natural resource users themselves.
- One related question for which the survey does not provide insight is whether or not the type, and status of the resource, impact on the type of management regime put into place.
- In looking at those cases where the participating organisation is not directly involved in natural resources management, but where other examples of participatory resource management experiences are provided, the information would suggest that the predominant model is where the state continues to exercise full control even though there may be some consultation of stakeholders involved.

In looking at the quality of the relationship between the state and various civil society organisations involved -either directly or indirectly - in natural resource management, the following matrix can be used:

Typology of the types of relationship between state and civil society		
	Interdependence	Competition
Collaboration		
Conflict		

Civil society tends to have a positive response to the idea of collaborating with the state - unless the government lacks legitimacy – and recognises the interdependence between civil society and the state. In reality, however, the competition for resources and recognition as a provider of services impact negatively on the practice of collaboration.

Key Characteristics

- *Three distinct profiles emerge with regard to experiences in natural resource management; direct management, and two forms of indirect involvement.*
- *Linkages are weak between organisations with complementary areas of experience and expertise*
- *Direct involvement in natural resource management tends to be an institutionalised arrangement governed by contractual relations*
- *Indirect involvement usually evolves through ad hoc processes which are opportunistic and issue driven*
- *Trend toward shared control with stakeholders as the prevalent management regime challenged the weight of tradition and practice*
- *Few examples of control exercised by primary stakeholders*
- *Links between the resource base and the type of management regime put in place need to be further explored*
- *Relationship between the state and civil society tends to be based on model of collaboration and co-operation.*
- *In those case where this is not prevalent, the lack of legitimacy of the state is one of the major causative factors.*
- *Underlying competition between state and civil society in most countries creates an inherent contradiction with the discourse of collaboration, and undermines efforts to build truly collaboration structures and processes.*

Public governance: Civil society participation in decision-making processes

Analysis of the survey responses suggests certain areas of convergence that can be identified with regard to civil society participation in decision-making processes in general. The areas are:

- **Governance:** For some organisations – and interestingly they are all within the Commonwealth Caribbean, the notion of “governance” is equated with “government.” For many this translates into the view that governance is the exclusive purview of the state. This view creates a distance between those who govern and those who are governed and places the citizen in a passive role as an object of governance, rather than someone actively involved in decision-making. A larger group of organisations surveyed define “governance” more broadly - as the way in which decisions are made within a society. Most see governance as a mechanism for participation and accountability, but recognise that this will be a long term change.
- **Who is driving the participation process?:** Survey results show that the process is being driven by both external and internal factors – externally by the international community, and internally by increased demands from civil society organisations.

External factors - For most organisations, the driving force behind the participation process lies within the international community. This demonstrates the important role played by the international community in defining the terms of engagement for international cooperation, but also provides an opportunity for tactical and strategic alliances to develop between international agencies and national organisations. Clearly internal demands are important, and internal demands for participation may be growing, but as long as the primary impetus for change is external the process is

put at risk as the international community perceives participation as a very fragmented and diverse process, and therefore a risky process.

Internal factors: Internal demand by non governmental organisations and other types of citizen groups also plays a role but it appears, in most countries to be secondary to that played by the international community. The level of demand varies with regard to the level of organisation and the density of social capital within civil society. In most countries, the capacity of civil society to effectively sustain this demand and to ensure follow up is mitigated in part by the capacity of organisations but also by the willingness of the state to actively engage with other social actors.

If there appears to be a convergence of interest in the fact that the demand is both internally and externally driven, the underlying world view is quite different:

Demand from the perspective of the international community appears to be clearly grounded in the view that in the provision of services, the role of the state should decrease and the role of the private and social sector increase. Decentralisation is also viewed as a desirable trend which may be approached in various ways:

Four approaches to decentralisation:

- Devolution of authority to local units of government. Under devolution, local units of government are autonomous, independent and have legally recognised geographical boundaries. Financial autonomy is not normally a feature of devolution.
- Delegation generally refers to the transfer of government decision-making and administrative authority to semi-independent local units who may still be legally accountable to central government.
- Deconcentration customarily involves a very limited transfer of authority and financial management to local units such as district offices, which are outposts of the central government.
- Divestment involves the transfer of planning and administration functions to voluntary, private or non-governmental organisations.

UNDP as cited in Graham et al (2003)

Internal demand is grounded primarily in the view that citizens have a right to participate in decision-making. It is primarily a political demand for empowerment, but also relates to demands for increased efficiency and effectiveness in service delivery.

Opportunities for increased participation: The openings for participation appear to be most prevalent in the social arena. This is consistent with the fact that the impetus for increased civil society participation is part of the discourse on less state intervention and more social sector and private sector involvement in the provision of basic services to the population. This suggests that state and international interest in participation is motivated by concerns related to increased efficiency and service delivery, rather than increased empowerment of civil society.

Form of participation: The form of participation appears in many cases to be limited to the beginning and end point of policy and programming. Up front participation may take the form of a consultative role feeding into policy formulation, although there is little indication that the consultation process actually informs policy formulation but is rather an exercise in which civil society is invited to approve policies that have already been drafted. The end point may take the form of service provision where the non-governmental organisation is in a contractual agreement to deliver a specific service. Again what is striking is that

“participation” does not necessarily translate into sustained and institutionalised participation throughout the policy or programme cycle. It would be interesting to further analyse the form which participation takes.

Regulatory framework for participation: Most countries do not have regulatory frameworks in place and the process of participation, with the exception of the ILO basic labour standards tripartite committees, is rarely institutionalised. While the tripartite committees may have difficulties carrying out their mandate, the regulatory framework is at least in place, which is not the case in most other sectors where the requirements for participation are too stringent, or where participation - when it occurs - is by invitation and not by right.

Key Characteristics

- *Differing views on and understanding of governance which impact on institutional position; for some it is the purview of government thereby creating a distance and placing citizens in a passive role while for others it concerns all citizens*
- *Civil society participation is driven primarily by external demands which put the process at risk*
- *Internal demands though important vary greatly from country to country*
- *Convergence between the two positions but informed by very different visions*
- *Internal demand is primarily political while the external demand is primarily concerned by efficiency and effectiveness within a neoliberal framework*
- *Social arena as the primary locus for citizen participation congruent with the reduced role of the state in the provision of social services*
- *Participation is often stripped of its transformational and political dimension and becomes a method of achieving greater efficiency and efficacy.*
- *Participation often limited to the beginning and end of the policy/programming cycle; consultation at one end of the cycle, and implementation at the other end.*
- *Dearth of regulatory frameworks ensure that participation occurs by invitation and not by right.*
- *When frameworks exist, requirements are too stringent and limit the opportunities for effective participation by stakeholders.*

4.2. Capacity Building for “ Good ” Governance

In the context of this study, the issue of capacity building must be looked at in relation to the issue of natural resource management and good governance. These two themes provide the entry point and circumscribe the nature of the discussion.

CANARI developed a framework to look at the issue of capacity building. Using the work of the Community Development Resource Association (CDRA), CANARI identified seven parameters of capacity building - as they relate to participatory natural resource management:

Capacity Building needs for Participatory Natural Resource Management							
	World view	Culture	Structure	Adaptive strategies	Skills	Material resources	Linkages
Non-state partners and resource users	Need to make linkages between livelihood concerns and sustainability issues	Need for respect between stakeholders	Need to acknowledge power relations within community structures	Need for processes that facilitate necessary organisational changes	Need for access to technical knowledge about resources	Need for communities to have power over decisions related to resources	Need for linkages outside of immediate community
Resource management agencies	Need to make a paradigm shift towards participatory management	Need to have benefits of participatory approaches demonstrated	Need for new internal structures	Need for emphasis on processes as well as products	Need to develop skills for facilitating processes and negotiating with stakeholders	Need for longer funding cycles that allow processes to develop	Need for synergy across departments and disciplines
Applicable to all resource management partners	Near for clear and explicit vision including conservation and livelihood issues Need for facilitated processes that bring stakeholders together for planning and review	Need for positive experiences of participatory approaches Need for participatory processes to be presented in a non threatening way	Need for institutional and organisational mechanisms that do not undermine existing structures		Need for specialist training, models, examples and case studies to transfer skills Need for Organisational skills		

Source: CANARI: Assessing Capacity for Participatory Natural Resource Management, 2002

The framework will be used as a guide to analyse the responses within the survey, and perhaps the survey can be used to enrich the framework.

World View:

A coherent frame of reference that the organisation...uses to interpret the environment it operates in and define its place within that environment. This should include a clear vision and mission, providing a rationale for all other aspects of capacity.

Based on their vision and mission statements, the survey participants appear to have varying world views. While all see the need to balance sustainable livelihood and natural resource management issues, some see participation as an end in itself, while others see it as a means of achieving other objectives.

Those organisations which have developed an explicit and shared world view have a strong organisational base from which to develop programmes and fund raising strategies, and to engage other stakeholders.

When there is no clearly defined world view, the risks of becoming donor driven and opportunistic are greater, messages transmitted are unclear and therefore less effective, there is a negative impact on the ability to network – although short term tactical linkages can be developed without a shared world view, it is harder to develop the kind of long term strategic linkages necessary to bring about institutionalised participation in decision-making.

Institutional Culture:

A way of doing things that enables the organisation or group to achieve its objectives and a belief that it can be effective and have an impact.

The survey does not provide an opportunity to address the issue of institutional culture in a direct manner. How organisations do things can perhaps be inferred from other indicators linked to structure or linkages, but there is not sufficient information to develop this point. As such it constitutes a potential area for future discussion with partner organisations.

Structure:

A clear definition of roles, functions, lines of communication and mechanisms for accountability.

The survey would suggest that in general all participating organisations have in place procedures that clearly define the role and function of various bodies within the organisation. Whether or not these structures are all conducive to implementing participatory approaches is however another question. While some organisations provide specific indicators of the types of structures put into place to facilitate participation, others do not.

Available information does not allow an examination of lines of communication within the organisations surveyed other than in relationship to external lines of communication with the membership. Many organisations have developed various mechanisms to share information with their membership, but it is not clear whether or not these strategies are effective.

Accountability is an issue for some of the participating organisations. Based on the premise that membership is lethargic or, as one organisation put it “*accountability is not demanded*” then this is an area that merits attention. The question of “to whom are you accountable ?” is perhaps also an area that needs to be explored. It would seem that organisations have various types of accountability: to their own membership, to the communities that they serve, and to their donors who provide financial resources. The information would suggest that for multiple reasons accountability tends to be most developed in regard to donors. If in fact this is the case, there is also a need to explore how to strengthen accountability to other social partners.

Adaptive strategies:

Practices and policies that enable an organisation to adapt and respond to changes in its operating environment

The vast majority of organisations do engage in planning processes. This is certainly one aspect of the range of policies and practices that an organisation can develop to respond to a changing environment although planning is not in itself necessarily an adaptive strategy.

An organisation needs to undertake periodic assessments of its operating environment in order to develop adaptive strategies. In most of the organisations surveyed lack of resources do not allow for this kind of review.

CANARI notes that there needs to be equal emphasis on adapting top changes in both process and product, and the survey clearly demonstrates that there is a need to develop monitoring and evaluation tools to track both quantitative and qualitative results. The challenge becomes one not only of the need to measure change but how to measure both types of changes. While some participating organisations do measure change in quantitative terms - tracking for example changes in the resource base, it would appear that others have not put into place the necessary benchmarks to ensure this.

Across the sample, it appears that the more qualitative aspects are more difficult to measure. As one organisation put it "*how do you measure change in terms of values and perceptions ?*". This becomes even more important if working within a framework where participation is both a methodology and a result. Measurement tools are needed in order to advance the case for participation

Skills:

Knowledge, abilities and competencies

Most organisations stated that skills development was their main capacity building need: highest priority was fund raising, followed by monitoring and evaluation, and lobbying.

Material resources:

Technology, finance, and equipment

The majority of organisations identified fundraising as one of the most important priorities in terms of capacity-building. For most organisations, accessing or generating funds is the key issue. Whether the problem is defined as the lack of funding, or the degree of donor dependence, the issue is critical to all participating organisations. The funding crisis impacts on both the organisational stability and the sustainability of programmes. It also forces organisations to make hard decisions about where to invest limited financial and human resources.

Linkages:

An ability to develop and manage relationships with individual, groups and organisations in pursuit of overall goals

The majority of organisations surveyed have developed linkages with other groups and organisations, although there is a tendency to stay within a small circle of like-minded organisations, thus missing an opportunity to create greater legitimacy within the wider community. This lack of connectedness may create and maintain the illusion that environmental issues are marginal to the debate on development, when in fact they are at the centre of the debate. It may also create the perception that environmental organisations are elitist, only interested in talking to themselves, and disconnected from other social processes.

5. ISSUES ARISING

While many issues were flagged in the previous section, the analysis needs to take into account those which are perhaps most relevant to promoting increased civil society participation and improved governance in natural resource management.

Eight issues have been identified that appear to represent potential areas around which CANARI and their partners could engage:

1. *Repatriating and repositioning the issue of participation*
2. *Promoting a rights-based approach to participation*
3. *Public governance; from discourse to practice*
4. *Internal governance; advocacy through example*
5. *Demonstrating that it works*
6. *Building linkages*
7. *Building institutional capacity*
8. *Challenging the disconnect between rhetoric and practice*

These issues constitute a challenge for natural resource management organisations and other civil society actors who would like to promote greater citizen participation in decision-making processes in general.

5.2 Repatriating and Repositioning the Issue of Participation

The work of NGOs, coupled with the failure of traditional top down development approaches, has put participation centre stage in the development process, where it is placed clearly within the political context of increased involvement of citizens in the decision-making process. The shift in perspective from seeing the citizen as subject and actor - rather than mere object - is potentially transformational, because it questions the way in which power is shared within society.

For many organisations the requirement for participation is often addressed through "consultation", but this often becomes a stylistic exercise, or a mechanism for developing projects, and the information collected does not inform decision-making: the dominant culture in the region does not provide a framework for participation.

Thus one of the challenges for the NGOs working in the area of natural resource management is repatriating and repositioning the issue of participation. There is a need to clarify understanding of participation in civil society organisations, emphasising its potential to assist in transforming society by developing strategies to enable decision makers to recognise the need for participation both as an inalienable right and as a means of ensuring the success of initiatives.

5.2 Promoting a Rights-Based Approach

The study has clearly shown that the predominant approach to participation is coloured by considerations of efficacy and efficiency. While these are certainly important and should be among the criteria for action, there are also other principles that should be brought to bear on the culture of decision-making and modes of governance.

The advent of a rights- based approach to participation has created an opportunity to link the demand for greater citizen participation with human rights laws and conventions. A rights-based approach to participation includes the following elements: It

- *Is explicitly linked to human rights.*
- *Is accountable.*
- *Empowers.*
- *Is equitable.*

A rights-based approach to development differs from a more traditional approach in that it offers:

- Enhanced accountability – the development process becomes an obligation.
- Higher levels of empowerment, ownership, and free meaningful participation by putting beneficiaries in charge of development.
- Greater normative clarity and detail.
- Easier consensus, increased transparency and less “political baggage”.
- More complete and rational development frameworks.
- More effective and complete analysis; and finally,
- A more authoritative basis for advocacy and claims.³⁶

Legal frameworks that invest citizens with a number of fundamental and inalienable rights already exist: for example, the Universal Declaration of Human Rights and the Inter-American Convention on Human Rights. The exercise of these rights fundamentally changes the nature of the demand for greater citizen participation and, as a result, the nature of the relationship between state and civil society.

Though initially limited to civil and political rights, subsequent advances in human rights law have extended the concept to the social, economic and cultural arena. International human rights laws have also influenced and been integrated into several of the international conventions and agreements dealing with environmental issues:

- The Rio Declaration clearly states its vision of sustainable development as being people centred and, by extension, the importance of citizen participation.³⁷ Agenda 21 provides the operational framework for the implementation of Rio obligations.
- The SIDS Programme of Action accords an important place to citizen participation in planning processes and in implementation³⁸. While it is regrettable that the specific language is not stronger and more in keeping with other international conventions and rights, it does provide a framework for demanding “active, free and meaningful” participation.
- The OECS Declaration on Principles for Environmental Sustainability provides a framework and clear guidelines for citizen participation in decision-making processes³⁹. Among the key phrases in this declaration is the following: “establish, strengthen and promote structures for the broad participation of civil society in the design, implementation, and evaluation of decision-making processes and programmes, facilitate the **right** of everyone to seek receive and disseminate clear and timely information...”⁴⁰ While the evaluation of the degree of compliance by the State is beyond the scope of this study, this declaration does provide a rights-based framework that can serve as a foundation for advocacy and participation in natural resource management.

³⁶ UNCHR (2002)

³⁷ Rio Declaration, World Summit on the Environment (1992)

³⁸ Barbados Plan of Action (1994)

³⁹ Saint George’s Declaration of Principles for Environmental Sustainability (2000)

⁴⁰ Principle 4, Ibid.

- In addition to the conventions and declarations presented above, international agreements and conventions such as the World Heritage Convention, the Convention on Biodiversity, and the Ramsar Convention also provide an opportunity to work from a rights based perspective.

The work done by the International Centre on Governance around the issue of protected area management already points in this direction and suggests some of the ways in which this approach might be applied in the area of natural resource management⁴¹.

One of the more interesting contributions is their analysis of the links between governance and human rights. Based on an extrapolation of their initial work to include regional conventions and agreements such as the CARICOM Charter for Civil Society, it provides a framework for a rights- based approach to development in the regional context.

Framework for a rights-based approach			
Principles of good governance	Content	International Declaration of Human Rights	Charter of Civil Society for the Caribbean Community⁴²
Legitimacy and voice	Participation: all men and women should have a voice in decision-making through legitimate intermediate institutions	-Freedom of opinion and expression -Freedom of association - Right to participate in government - Duties to the community	-Freedom of opinion and expression -Freedom of association - Right to participate in government - Duties to the community
	Consensus orientation : mediation of differing interests to identify what is in the best interest of the group	- Will of the people - Exercise of all rights and freedoms	- Will of the people - Exercise of all rights and freedoms - Genuine consultation among the social partners to reach common understanding on and support for objectives, content and implementation of national programmes
Performance	Responsiveness; responding to and serving all stakeholders		-Ensure responsiveness to the needs of the people as consumers in the delivery of goods and services -Further the participation of the people in the democratic process through effective systems of ongoing consultation
	Effectiveness and Efficiency; processes which achieve results while making the best use of resources		- Cost effectiveness in their operations
Accountability	Accountability; mechanisms for ensuring reporting to constituents		- Implementation of mechanisms to ensure good governance which is accountable
	Transparency: free flow of information guaranteeing accessibility		- Implementation of mechanisms to ensure which is open
Fairness	Equity; a method in order to attain equality of opportunity and chance	- Free and equal in dignity and rights - Inherent dignity and inalienable rights	-Implementation of mechanisms which are just
	Rule of law; fair frameworks which are impartially applied	- Equality before the law	- Independent, impartial, and effective judiciary

The CARICOM Charter for Civil Society states in its preamble that it was a response to several imperatives:

⁴¹ The International Centre on Governance has completed research that provides both a framework and a challenge not only to protected area agencies but to any organisation working on the issue of natural resource management, and has made an invaluable contribution to this survey.

⁴² Adopted in 1997

- The need to enhance public confidence in government;
- The need to ensure continuing respect for internationally recognised rights;
- The need to uphold the right of people to make political choices and to create a truly participatory political environment propitious to the genuine consultation in the process of governance.
- The need to improve governance and sustain such governance through mobilising action for change.

The CARICOM Charter clearly makes the link between human rights, governance and participation, and recognises that the modes of governance which have characterised Caribbean society need to change in order to both create confidence in, and increase the legitimacy of, government while creating avenues for effective participation⁴³.

While the Charter clearly presents an ideal toward which signatory states aspire, it also provides a framework that civil society organisations can use to further demands for participation and a framework against which progress can be measured.⁴⁴ This becomes another tool that can be used to support demands for effective participation through clearly defined mechanisms and processes.

5.3 Public Governance: from Discourse to Practice

Good governance is on the agenda of both civil society organisations and the state within the region, but there are significant contradictions and gaps between the discourse and the practice. The study has shown that there are a number of factors which contribute to this difficulty:

- Decision-making is highly centralised and top down, making it difficult to make the leap from campaign promises to putting in place policies, programmes and institutions which facilitate citizen participation and good governance.
- Participatory processes are seen as a threat to the state, implying loss of control and a decrease in power.
- The focus on a short term mission and objectives limits the ability of the state to put in place long term processes, such as developing a participatory approach to decision making.
- The fragile nature of civil society organisations hinders their ability to articulate for participation.

There will have to be a rethinking of the concept of political power before the state is able to reconcile discourse and practice in moving towards public governance: the state will have to move from a position where power is viewed as a means of domination over people, to a position where power is viewed as the power to act in concert with civil society for the common good.

By engaging local government in new forms of collaboration and practice at the local level, civil society can act as a catalyst in creating space for new forms of government at the local level.

⁴³ One would assume that the reference to government is a misnomer and in fact implies the state.

⁴⁴ It is interesting however to note that the Caribbean Charter of Civil Society, while clearly stating the determination to uphold and defend the rights of citizens in the civil and political sphere, limits the rights in the economic and social arena by making them contingent on the availability of resources. This would appear to be an area in which NGOs should focus attention because for some observers; there is a dialectical relationship between these two generations of rights. One cannot advocate for adherence to the underlying values of rule of law (civil and political rights) unless citizens can also enjoy its benefits(economic and social rights)

5.4 Internal Governance: Advocacy Through Example

In order to build examples at the local or micro-level, non-governmental organisations in general, and natural resource management organisations in particular, need to become examples of good governance. The study has shown that this also constitutes a challenge for civil society organisations.

While advocating for better governance at the state level, organisations also need to be certain that their own houses are in order – to “practice what they preach. Most notably, the challenges are in the following arenas:

- An enabling voice: strengthening and putting into place mechanisms which ensure active, effective and real participation both within organisations, and between organisations and their partner communities and community based organisations;
- An equal voice: strengthening and putting into place policies which ensure equity, including gender equity, and inclusion.
- Vision: developing a strategic vision grounded in the context in which they work;
- Accountability to constituents: strengthening and putting into place systems which are transparent and ensure accountability to both their constituents and partners;
- Good performance: strengthening and developing institutional capacity to carry out effectively and efficiently their mandates.

5.5 Demonstrating that it Works

One of the major challenges facing NGOs involved in participatory natural resource management is to provide evidence that this approach works. This will require increased attention to systematising the work (processes, methodologies and tools) and to ongoing monitoring and evaluation of the impact of the work.

Monitoring and evaluation will need to become more rigorous and systematic but above all it will need to respond to two fundamental criteria:

- **Outcomes:** A focus on outcomes rather than outputs. For the most part, current methodologies tend to focus on outputs; what was done, rather than outcomes which refer more broadly to what changes were brought about by what was done.
- **Processes:** A focus on measuring processes and other qualitative factors in addition to measuring quantitative factors. Current monitoring and evaluation methodologies, when used, are more focused on quantitative factors related to outputs and less on both qualitative and quantitative indicators related to outcomes.

If the purpose is to promote citizen participation in natural resource management as a means not only of improving the sustainability of the natural resource base but also a tool to contribute to the empowerment of citizens in decision-making processes, then monitoring and evaluation methodologies must focus on both of these parameters.

The literature on participation and empowerment provides some insight into both indicators of empowerment but also and more importantly tools that can be used to monitor and evaluate progress or change in this domain.

5.6 Building Linkages

In addition to the challenge of demonstrating that “it works” natural resource management organisations and other civil society organisations committed to promoting citizen participation in decision-making must look for, develop and strengthen their linkages in order to bring their concerns centre stage. The study has shown that while there have been significant accomplishments in this area, there remains much to be done in terms of developing broader alliances.

There is a tendency to remain within a closed community rather than reaching out and developing strong linkages with other social actors. This reticence may be linked to the reluctance to engage in direct advocacy work that for some may appear too “political” and not relevant to a mission that is technical in focus. This has handicapped the ability of some organisations to move the participation agenda forward and has isolated them from other groups who are mobilised around broader development issues.

There is a need to develop linkages with other civil society organisations- most notably with non-governmental organisations working on development issues, with organised community based organisations and with other social actors who have a stake in national development.

Above all there is the need to recognise that encouraging citizen participation in natural resource management has a political component: while part of the work is technical in nature, any commitment to social change is political in nature.

There is a need among natural resource management organisations to “*depoliticize*” politics, to take it out of the arena that is the exclusive purview of political parties, and to place it within the arena of citizen engagement. By recognising the political nature of the work at hand, and their role as change agents, natural resource management organisations will be better equipped to develop the needed capacities, the appropriate strategies and the most effective tools to achieve their objectives.

5.7 Building Institutional Capacity

Capacity building has traditionally focused on transferring specific management skills such as accounting or project management. While useful, this approach needs broadening in order to achieve development objectives. Smillie’s work on capacity building provides a helpful framework to broaden the interpretation of capacity building and demonstrate the complexity and the various parameters that need to be considered:

Concepts of Capacity Building			
Locus or targets of capacity building	Parameters for and objectives of capacity building		
	Means	Process	Ends
Building the capacity of an organisation: organisational development	Strengthens the organisation's ability to perform specific functions	Builds coherence within internal operations; develops the possibility of continuous learning and adaptation	Improves the organisation's viability, sustainability and impact in relation to its mission
Building the capacity of an institutional subsector: sectoral development	Strengthens the ability of the sector to improve its overall impact	Develops mutually supporting relations and understanding within the sector and subsector	Achieves confident and meaningful interaction with other sectors and social actors based on shared strategies and learning
Building the capacity of civil society : institutional development	Improves the ability of the primary stakeholders to carry out activities to solve problems	Enables and stimulates better interaction, communication, conflict resolution in society, enhancing social capital	Increases the ability of the primary stakeholder to engage with and influence the political arena and the socio-economic system in accordance with their interests

Source: Smillie, I, 2001. Patronage or partnership: local capacity building in humanitarian crises. Kumarian Press, Bloomfield, Connecticut, US.

Based on the previous issues that have been targeted in this section, it is clear that capacity building requirement of natural resource management organisations must go beyond simply strengthening an organisation's ability to perform specific functions. This is congruent with Smillie's position that capacity building is complex and must take into consideration both the various parameters and the various levels at which capacity can be built.

One of the definitions of the purpose of capacity building which provides the juncture between civil society participation and the issue of capacity building is the following: "...*building on the capacity and potential of concerned populations, enabling them to move from object to subject, from victim (or passive observer) to actor, to the possibility of being*".⁴⁵

The challenge facing natural resource management organisations committed to promoting citizen participation is that of moving civil society from the margins to the centre of the decision making

Re-examining the framework proposed by Smillie through the specific lens of participatory natural resource management and improved governance provides some insight and direction into what are the specific capacity building needs required to achieve these objectives:

⁴⁵ Mangones in Smillie *et al.* (2001)

Capacity Building for Civil Society Participation in Natural resource Management			
Locus or targets of capacity building	Parameters for and objectives of capacity building		
	Means	Process	Ends
Building the capacity of an organisation: <i>NRM organisations and CBOs</i>	Strengthens the organisation's ability to perform specific functions	Builds coherence within internal operations; develops the possibility of continuous learning and adaptation	Improves the organisation's viability, sustainability and impact in relation to its mission
	-Skills in technical areas of expertise -Skills in monitoring and evaluation	-Skills in developing participatory structures and a sense of ownership within organisations -Skills in developing and implementing a research/action agenda which informs the vision and practice	-Skills in fund raising -Skills in the area of communication and public relations
Building the capacity of an institutional subsector: <i>organisations concerned with sustainable development and environment</i>	Strengthens the ability of the sector to improve its overall impact	Develops mutually supporting relations and understanding within the sector and subsector	Achieves confident and meaningful interaction with other sectors and social actors based on shared strategies and learning
	-Skills in the area of communication and advocacy	-Skills in the area of networking and coalition building -Skills in the area of communication -Skills in the area of monitoring and evaluation with an emphasis on process indicators	-Skills in the area of networking and coalition building -Skills in the area of information sharing
Building the capacity of civil society : <i>civil society's capacity to organise, participate in and influence decision making processes</i>	Improves the ability of the primary stakeholders to carry out activities to solve problems	Enables and stimulates better interaction, communication, conflict resolution in society, enhancing social capital	Increases the ability of the primary stakeholder to engage with and influence the political arena and the socio-economic system in accordance with their interests
	-Development of new policies and procedures which strengthen CBO participation in NGO governance -Skills in the area of community empowerment and organisational development of CBOs	-Skills in the area of networking and coalition building -Skills in the area of conflict management and negotiation	-Skills in the areas of strategic analysis and planning -Skills in the area of advocacy and mobilisation -Skills in the area of implementing a rights based approach - Skills and capacities in developing procedures and tools which facilitate participation

While this framework identifies skills which were defined by the participating organisations themselves, it places them within another context and clarifies their focus and purpose. However the issue of capacity building is not limited exclusively to natural resource management organisations, their community-based partners, and other civil society actors.

Given that the long-term focus is on increased citizen participation in decision-making processes in general and to natural resource management in particular, the aim is one of changing both the culture of decision making and the institutional arrangements which reflect that culture.

This is a commitment to stimulating a process of organisational change within the state. While there is support for these changes at the level of political discourse and state obligations, it will entail reconciling rhetoric and reality, and making the connection between principles and practice. In a classic approach to organisational change, the process moves through progressively complex stages going from: enabling people to access skills and information, to gain knowledge, to change their attitudes, to change their behaviour, and finally to change organisational behaviour and practice.

Time Line for Organisational Change				
Skills and information				
	Knowledge			
		Attitudes		
			Individual Behaviour	
				Organisational Change

Source: Fowler in Smillie (2001)

As the survey results show, Caribbean natural resource management organisations have invested in the process of organisational change at the level of the state. Progress has been made, but there is more to be done and the challenge is to move the process forward strategically and consistently.

5.8 Challenging the Disconnect Between Rhetoric and Practice

The major challenge here is to turn words into action. The results of the survey, as well as the analysis of the regional context, have provided some insight into the opportunities and spaces that exist for moving forward with this agenda. Through being strategic and having a clear focus on the overall goal, several organisations have begun to use the international and national discourse on participation as an entry point for advocating and practising more active and effective participation.

Parameters	Participation as a tool for efficiency	Participation as a tool for equity and inclusion
Origin of the demand	External	Internal
Principal proponent	Donor driven	Nationally owned: State and/or civil society
Principal underlying vision	Efficiency and efficacy	Equity, efficiency and efficacy
Institutional mechanism	Ad hoc	Institutionalised
Nature of convocation	Invitation	Right based
Nature of participation	Consultation	Decisional
Nature of relationship	Executor and Implementation	Partnership and Co management

This table suggests that the categories are mutually exclusive or consistent across parameters, but the survey results suggest this is not the case. Areas where there is cross over and synergy can be used to move the process forward by building alliances, and facilitating the emergence of policies and institutional frameworks and processes which embed participation within a rights-based approach.

6. CONCLUSIONS

This survey was initially designed to examine the profile and experiences of a group of organisations involved with promoting civil society participation in natural resource management issues in the Caribbean. It became a study with broader implications, and provided an opportunity to look at more general issues of participation, governance and institutional capacity.

The issue of natural resource management, though central to the study, in the final analysis has become a sphere in which broader issues can also be analysed and addressed. While some of the findings and analysis are perhaps only relevant to natural resource management, it appears that the findings and issues are of broader relevance. The patterns and practices surveyed are fluid in nature and influenced by both internal and external factors. It is this process of change that gives purpose to citizen

At the outset of the study, a number of hypotheses were formulated concerning the issue of civil society participation in natural resource management and its impact on governance. These hypotheses were:

1. *The socio-economic and socio-political context, at both international and national levels may influence the ways in which these issues are or can be addressed;*
2. *While the notion of participation may be considered as valuable and necessary across the region, concepts of good governance and experiences of governance may vary as widely as the realities within the region.*
3. *Good governance is built on two pillars; a structured and strong civil society and a state apparatus which is committed to developing structures and methods which ensure accountability and which engage citizens in decision-making processes.*
4. *And finally, that good governance in one area or sector creates examples and models that can be adapted to and applied in other areas of collective interest.*

Socio-economic and socio-political context: the study suggests that the national and international context has created certain impediments – such as loss of sovereignty at the national level, and also opportunities – such as existing international conventions on human rights and civil society participation, to the way in which governance and participation has been approached.

Participation: While the notion of participation is widely accepted and plays out in similar ways throughout the region, participation means different things to different people.

Good governance: In theory there is general consensus that good governance requires strong civil society and a state which is accountable and supports participatory processes. There is, however a “reality gap” between theory and practice.

Influence in other sectors: Civil society participation in the area of social policy has had more influence on public policy and programming than participation in the area of natural resource management

Co-management of natural resource remains a relatively new concept within the region, but participating organisations firmly believe in their ability to influence and improve public policy, indicating that concerned citizens are fundamental actors in social change processes.

What is clear is that both the state and civil society organisations are convinced that the consolidation of democratic processes and the challenges of sustainable development require a new partnership between the state and civil society. Despite the fact that the points of departure

and the vision may be radically different, this point of convergence provides a testing ground for new forms of governance and a new approach to power in which it is no longer power over civil society and individual citizens but rather the power to act, in concert and in partnership with civil society and citizens, for the common good of Caribbean societies.

The extent to which natural resource management organisations, and other civil society organisations can effectively contribute to the emergence of new forms of governance within Caribbean societies will not only contribute to achieving goals of sustainable development but also to deepening democratic processes through mechanisms of inclusion and equity.

“Civil society can exist where there is no democracy, but democracy cannot exist where there is no strong civil society”⁴⁶ This statement is elaborated on in a précis of the qualities of governance which citizens are demanding, “The new consensus for the next millenium is thus about responsible citizenship and responsive participatory democracy. The two are mutually reinforcing and supportive.”⁴⁷

This is the fundamental challenge facing not only CANARI, and its partner organisations, but also all other civil society organisations within the region.

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⁴⁶ Edward Broadbent, 1993

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APPENDIX

RESULTS OF THE SURVEY:

The survey results will be presented in a summary form. In this manner the focus is less on the individual institutions and organisations, and more on their institutional profiles and basic characteristics. The complete survey findings are presented in Annexe II.

1. INSTITUTIONAL PROFILE:

1.1 *Type of Organisation*

All organisations participating within the survey define themselves as NGOs. However a closer look at their profile would suggest that the situation is somewhat more complex.

An NGO is defined as being both a *non-state actor* and a *non-profit actor*. While the notion of non-profit clearly covers the range of organisations interviewed¹, the notion of non-state is more problematic as the line of demarcation between state and non-state is hazy.

- 11 of participating organisations can be classified as non-governmental organisations according to the definition presented above.
- Three organisations are intergovernmental organisations in that they include government representatives within their constituency and fulfil functions delegated by the state.
- None of the participating organisations is the institutional expression of a social movement. The use of the term “social movement” refers to a loosely based coalition of persons and or institutions put into place by citizens acting in concert to protect their own interests and/or to promote a particular vision of society.

Intergovernmental body	Intermediary NGO	Social Movement
3	11	0

1.2 *Legal Status*

An analysis of the legal status of an organisation is usually a method of defining with greater precision the nature of the organisation. However, the lack of consistent and similar legislation in the various countries and territories also makes this difficult. While some countries such as Haiti have specific NGO legislation, which confers a clear status to an organisation, the wide range of legislative frameworks within the region makes it complicated to generalise across the sample².

	Companies Act	Non profit status	Association
Frequency	1	12	0

¹ The notion of non-profit refers more to the way in which financial resources are used rather than the way in which financial resources are generated.

² This is similar to the results of the CBO/NGO survey recently conducted by SEDU/UWI that also noted the lack of consistent legislative frameworks within the region.

1.3 *Origin of the Organisation*

The origin of the organisation and the composition of the constituency, which is understood to mean the social base which provides guidance and oversight to the organisation, are other indicators which can be used to clarify the nature of an organisation's profile

Organisation	Origin of the organisation			
	Government initiative	Individual citizens professionals	Community or Grass Roots initiative	International organisation
Frequency	3	10	1	3

- Government initiative:** Three organisations were founded by government in collaboration with concerned citizens. These organisations are particularly interesting in that they suggest that the state has facilitated social action. The table above would suggest that the three organisations that could be classified as intergovernmental organisations were in fact founded by the state. A closer examination shows that there is not a complete overlap. While the Saint Lucia National Trust does include government representatives within its membership, it was an initiative launched by private citizens. The Agency for Rural Transformation, though founded by the People's Revolutionary Government of Grenada to address the development needs of rural populations, is composed entirely of private citizens and the organisation does not have or no longer has a privileged link with the state.
- Individual citizens – middle class and grass roots:** The majority of the organisations were founded by groups of concerned citizens seeking to address certain environmental or developmental issues. A further distinction can be made within this category between those organisations founded by middle class citizens - who represent the vast majority of organisations within this survey, and those organisation which represent a grass roots initiative, this will be further explored in the section dealing with the composition of the constituency.
- International organisations:** Three organisations were founded in direct response to initiatives by international organisations, responding to funding opportunities in the area of natural resource management, and the need to put into place national institutional structures. Here donors act as a catalyst for collaboration between stakeholders, particularly within one organisation surveyed where donors, government and non-governmental organisations come together to co-ordinate action, strengthen individual institutional capacity, and mobilise other sources of funding in support of their actions.

1.4 *Composition of the Constituency*

All of these considerations and permutations are visible in the analysis of the constituency of the various organisations participating in the survey:

Organisation	Composition of the constituency				
	Government representatives	Private citizens	CBO or NGO representatives	International organisation	Private sector
Frequency	3	12	3	1	3

- The majority of organisations are composed exclusively of private citizens. Among these organisations a further distinction can be made between those working with a constituency residing within the country, and those who also mobilise resources beyond the national community: two organisations surveyed have built linkages with the diaspora community

- A more limited number of organisations have a heterogeneous constituency bringing together private citizens, government representatives and private sector representatives. One organisation also includes in its constituency an international NGO organisation that also plays a role as primary donor for the initiative.

One of the primary characteristics of those organisations having a heterogeneous constituency is that they bring together individuals who have become involved because of their individual commitment to the cause and those who are delegated as representatives of organisations. This creates within the membership a two-tier system that undoubtedly has an impact on the internal dynamics of the organisation.

1.5 *Date Organisation was Founded*

The majority of organisations were founded in the period between 1980 and 1989.

Organisation	1955-1969	1970-1979	1980-1989	1990-1999	2000-2003
Frequency	1	3	5	4	1

The distribution coincides with the emergence of civil society organisations within the region during the 1980's³ - the "glory days" for NGOs, and to a lesser extent, with the emergence of environmental issues on the development agenda during the 1990's

- Half of the organisations were founded between 1970 and 1990 which corresponds with the period during which many NGOs were founded in the Caribbean, While in the Commonwealth Caribbean, many organisations were founded between 1975 and 1985, the case is different in the rest of the region. In the case of Haiti, because of the specific political context in the country in the period 1956-1986, the period during which the NGO community began to flower was following the fall of the Duvalier regime in 1986.
- Many of the organisations were founded following key dates in the development of the environmental movement in general, and following key moments in the integration of the environmental issues into the development discourse.

Among the organisations included within the sample, there are two extremes:

- In the Bahamas, one organisation focusing on conservation of natural resources was founded as early as 1959 as natural resource management had already been identified as crucial to sustaining economic development.
- The most recently founded organisation, established in 2000, was set up by individuals in the private sector in order to protect the marine environment that provided the basis for the continued success of their economic activities.

1.6 *Organisational Mission*

The organisations participating in the survey bring to their work a wide range of visions that are a function of their origin and their constituency. The diversity of responses suggested the need to classify the mission statements according to their explicit focus or lack of focus on natural resource management:

³ See Jules et al (1996) Analysis of NGO networks with the region

Table 6. Classification of Organisational Mission				
Organisation	Focus on NRM	Focus natural resources and cultural heritage	Focus on sustainable human development	Focus on community empowerment
Frequency	6	4	4	6

- Only six organisations have an explicit focus on natural resource management. Three of these organisations have a primarily technical approach to natural resource management and place their action clearly within a preservation and conservation focus: their missions are:

- to raise awareness of the values and threats to natural resources and to promote their sustainable use and management.
- to foster initiatives to achieve conservation and sustainable use of the natural and historical resources.
- to protect coral reef ecosystems locally, regionally, globally through education, research, training, monitoring, lobbying and the creation of marine protected areas.

- Three organisations on natural resource management in the context of sustainable human development, or within the framework of community empowerment as a means of effective natural resource management. Their mission statements emphasise both participation and mobilisation:

- to contribute to the conservation and sustainable development of cultural and natural resources with the active participation of the community.
- to transfer methodologies and strategies for the management use and conservation of natural resources in order to improve the environment and living conditions to mobilise capacities and community participation.
- to positively promote sustainable development through the planning implementation and marketing of effective programmes of responsible environmental management, education and advocacy.

- Four organisations have a mission statement that places natural resource management within the broader framework of protecting the national heritage – a heritage that includes both natural and cultural resources. Here civil society is participating in broadening the natural resource management and sustainable development agenda:

- to ensure the sustainability of national heritage.
- to develop an integrated national park and protected areas system and foster initiatives to conserve and sustain the natural and historic resources of the country.
- to defend the natural and cultural heritage through participatory planning processes which involve the community, in collaboration with agencies and local government.
- to conserve the natural and cultural heritage and patrimony, for current and future generations by working as an effective advocate, educator and manager of sites through participation and collaboration

- Four organisations have a mission that focuses on sustainable human development. This category includes most organisations which were not founded specifically to deal with environmental or conservation issues:

- to contribute to the conservation and sustainable development of cultural and natural resources with the active participation of the community.
- to guide, focus and provide support to rural communities to accept responsibility and take action that will empower their quality of life in their communities on a continuing and independent basis.
- to positively promote sustainable development through responsible environmental management, education and advocacy.

-to contribute to the development of rural areas and to the development of civil society through concerted action, participatory action research and the promotion of democratic culture within and among organisations.

- Six organisations also specifically address the issue of community empowerment. Within this group are those organisations who see community empowerment as a means toward effective natural resource management, and those who see community empowerment as an objective in and of itself and as the basis for social change. Their missions are:

- to defend the natural and cultural heritage through participatory planning processes which involve the community, in collaboration with agencies and local government, to defend the natural and cultural heritage.
- to contribute to the conservation and sustainable development of cultural and natural resources with the active participation of the community.
-to transfer methodologies and strategies for the management use and conservation of natural resources in order to improve the environment and living conditions to mobilise capacities and community participation.
- to build a just, equitable, and self-reliant society in Dominica and the Caribbean.
- to guide focus and support rural communities to accept responsibility and take action that will empower their quality of life in their communities on a continuing and independent basis.
- to contribute to the development of rural areas and to the development of civil society through concerted action, participatory action research and the promotion of democratic culture within and among organisations.

1.7 Organisational Objectives

A number of organisations participating in the survey did not distinguish between their mission and their objectives. For those who did make the distinction, their objectives can be classified into four broad categories, which to a certain extent overlap and interconnect:

Table 7. Organisational Objectives				
Organisation	Sustainability of national heritage including natural resources	Promoting citizen participation in Natural Resource Management and development	Building human and organisational capacity	Developing sustainable and or alternative models of development
Frequency	10	4	5	4

- Seven organisations define their objectives exclusively as working toward the sustainability of the national heritage, while three other organisations work toward this objective while promoting citizen participation and/or building human and organisational capacity.
- Four organisations include specific objectives dealing with the promotion of citizen participation in natural resource management, and by extension in development processes. Interestingly, only one organisation within this category speaks directly to the objective of building human and organisational capacity that would appear to be a pre-requisite for participation.
- Five organisations speak directly to the issue of building human and organisational capacity, and of these five include among their objectives the need to support the emergence of alternative development models. Most organisations that speak to the issue of building human and organisational capacity place this objective within a broader framework of contributing to the development of sustainable and/or alternative models of development. Implicit within this approach is the promotion of civil society participation in development and in natural resource management.

- Four organisations include among their objectives developing sustainable, and or alternative models of development. For these organisations, the notion of sustainable development is rights-based and includes implicitly the notion of social justice and the more equitable distribution of development benefits within society.

Examples of objectives within this latter category include:

- building greater capabilities of people and communities, promoting collaboration and alternative models of development.
- improving the sustainable use of natural resources through the development of models of production and services which will improve the quality of life of communities and minimise negative cultural and environmental impacts.

1.8 Areas of Activity

Participating organisations are involved in a wide variety of activities:

Table 8.	Principal Areas of Activity				
Organisation	Management of natural resources	Monitoring of natural resources	Advocacy and public education	Community development	Citizen participation
Frequency	8	7	10	7	7

- Two thirds of the organisations are involved in advocacy and public education work and it is interesting to note that organisations do not make a distinction between the two.
- Eight organisations are directly involved in natural resource management, most in the management of marine resources.
- Seven organisations are involved in monitoring of natural resources, two of which are not involved in the actual management of natural resources.
- Seven organisations are involved in a broad range of community development activities from income generation activities to the development of various types of services and programmes aimed at improving the living conditions of concerned communities
- Seven organisations are involved in a range of activities to promote citizen participation, from community animation programmes, to strengthening networks of peasant associations, and to institutional development activities for community based organisations.

1.9 Organisational Structure

The majority of the organisations participating in this survey have a standard NGO structure composed of a general assembly of members, an executive board elected by the General Assembly, and an executive secretariat mandated to carry out programmes and projects:

Table 9.	Organisational Structure			
Organisation	General Assembly	Executive Board or Committee	Executive Secretariat	Other
Frequency	11	11	10	3

However, a certain number of organisations have a slightly different structure:

- One organisation has no executive board or committee as it functions as a platform for concerted action, and all members are directly involved in decision-making processes.
- One organisation has no executive secretariat as all, and programmes and projects are carried out by the members themselves.
- One organisation has a horizontal structure with a co-ordinating committee composed of staff who are the members of the organisation.

The notion of constituency was interpreted differently among the participating organisations:

- For some, the notion of constituency referred to the membership of the organisation.
- For others, it referred to the population served.

This difference in interpretation was most prevalent in two categories of organisations:

- Those with a government mandate to manage and preserve natural resources on behalf of the country
- Those organisations that came out of the social change movement and defined their mission in terms of their ability to serve the interests of a particular social group.

1.10 *Composition of Membership Base*

Using the organisation membership as a definition of constituency in conformity with the notion of membership base, in other words the first level of accountability, the participating organisations have very different constituencies:

Table 10.	Composition of the constituency or membership base				
Organisation	Government reps	Private citizens	CBO or NGO representatives	International Organisation	Private sector
Frequency	3	12	3	1	3

The constituencies of the participating organisations vary as a function of their origin and their evolution:

- The vast majority are composed of people who support the mission and objectives of the organisation.
- Three organisations also have government representatives within their constituency,
- Three organisations have representatives of grass roots organisations or communities within their constituency. For one organisation, this is a method by which the eventual dichotomy between the membership base and the social group that is served is resolved.
- One organisation includes international donors within its constituency,
- Three organisations include private sector representatives among their constituents.

1.11 Size of Membership

With regard to the size of the membership base the range is very broad - from 10 to more than 3000. Three organisations did not provide information with regard to their membership, but based on other information collected, it is quite likely that these organisations have a constituency of less than twenty people.

	Size of the Membership				
	0-10	11-20	21-99	100-150	150-
Number of Organisations	1	2	3	2	2

Those organisations with a large constituency are those that are either social movements, or national environmental organisations holding lands in trust for the nation.

1.12 Membership Base and Gender Balance

In addition to the issue of size, it was considered important to look at the gender balance of the membership base – this as an indicator of the level of inclusiveness and representation. While gender is not the only measure for inclusiveness⁴, it demonstrates the degree to which the membership base reflects the relative presence and weight of women within society:

Organisation	Constituency and Gender Balance		
	Total Number of Constituents	Men	Women
Total	634	254	380

Five organisations did not provide information regarding the gender composition of their constituency. From the information provided by the other organisations surveyed, it is interesting to note that the distribution is fairly well balanced. Women make up more than half of the membership of these organisations which thus have the capacity to act as vehicles for women's actions. Although overall results demonstrate a good gender balance, certain individual organisations have a low level of female participation in their membership base.

1.13 Origin of the Constituency

Determining how a constituency is formed is another way of determining how an organisation is linked to the community - both the community of which it is a part and the community it serves.

Organisation	Origin of the Constituency		
	Identified and co-opted by founders	Open membership for individuals from general public	Other
Frequency	5	9	3

The method of recruiting members falls into two general categories⁵:

- Identification by the initial core group of founders, who then co-opted other members. This method is prevalent among those organisations with a development and/or social change focus and organisations with a comparatively low level of institutional development.

⁴ Other indicators could include the socio-economic profile of the membership base which would serve as a proxy for determining to what extent the organisation has succeeded in mobilising a membership base across social class and/or rural urban cleavages.

⁵ Four organisations did not respond to this question

- Broad based membership drives focusing on gaining public support and identifying interested members. This method is prevalent in those organisations with a defined environmental and conservation focus and a national mandate.

1.14 Accountability

The majority of organisations have developed diverse methods of remaining accountable to their constituency. Most organisations have developed strategies that are based on:

- dissemination of information through bulletins and newsletters
- meetings with the membership.

Organisation	Newsletters	Reports	Annual meetings	Working committees	Use of media	Individual contacts
Frequency	7	7	8	5	5	2

Participation in many organisations is cyclical and they report difficulties in keeping their membership mobilised and informed. As one organisation mentioned, “ *the membership is quite lethargic and accountability is not required*”. Other organisations have noticed that levels of participation have diminished and that the organisation has moved from statutory meetings to ad hoc meetings on an as-needed basis

Organisations that either have a very small constituency and/or are working within a very small territory use face to face meetings to assist in ensuring member commitment.

One organisation has developed an interesting approach to establishing accountability and encouraging the active participation of the membership in the life of the organisation:

The Saint Lucia National Trust (SLNT) has a large and dispersed membership. In order to bridge the distance between itself and its membership, SLNT zoned the island and appointed community based membership agents to facilitate communication within and between the various membership regions.. Institutionalising this mechanism decreases the distance between an organisation with a very large and dispersed membership base.

1.15 Human Resource Base

Organisations are only as strong as their membership base and their staff structure. Given that the majority of responding organisations clearly state that it is difficult to maintain mobilisation of the membership, the role of both paid and unpaid staff becomes even more important.

Organisation	Volunteers	Paid staff	Consultants	Other
Frequency	10	13	9	3

The majority of organisations have a human resource base composed of both volunteers and paid staff.

Volunteers tend to fall into two categories:

- community volunteers or interested members – the majority,
- international volunteers who are seconded to the organisation for an extended period of time, such as Peace Corps and United Nations Volunteers.

Consultants - two thirds of the organisations also mobilise short-term consultants to provide technical expertise and assistance on specific projects.

1.16 Staff Size

An analysis of the staff size of participating organisations provides an important insight into one of the fundamental challenges facing organisations: the need to reconcile ambitious missions and programmes with a very limited human resource base.

Table 16	Staff Size			
	0-2	3-5	6-10	10 and more
Frequency	3	2	4	4

- Five organisations have a staff composed of five or less persons and two organisations have a staff of two or less persons.
- Four organisations have a permanent staff of between six and ten persons, with the average around six persons.
- Only four organisations have a permanent staff of over ten persons and all three are organisations who are managing vested lands and who have a high percentage of support staff.

From a perspective of gender distribution with organisations, the gender distribution within organisations is fairly well balanced.

While this would tend to suggest that the distribution of women within each organisation is well balanced, it would be premature to arrive at this conclusion. As an example, in organisations with two or less staff members, all are women. This suggests that those organisations with a small staff structure are challenged by a limited funding base and therefore obliged to keep operating costs low and to place the emphasis on administrative support rather than strong programme support.

1.17 Paid Staff Members

Table 17	Profile of Paid Staff Members			
	Management	Technical	Administrative	Support
Frequency	13	8	12	7

Despite the fact that the work of most of the organisations surveyed is technical in nature, and a technical perspective is required to meet their objectives, only half of the organisations have permanent technical staff within their offices. Many organisations stated that it is difficult to mobilise and maintain technical staff because of the low salary levels, and the precariousness of their funding base. A large number of organisations therefore rely on either volunteer support, or, when funding permits, establish short-term contracts for external technical assistance.

1.18 Sources of Funding

An analysis of the funding base of participating organisations provided insight into how participating organisations succeed in mobilising resources to carry out their mandate:

Table 18	Sources of Funding						
	Member contributions	Fundraising activities	Government	Regional bodies	International NGOs	International organisations	Other
Frequency	8	9	6	4	12	7	4

- Eight organisations receive membership fees from their membership, but most also indicated that the membership fees were primarily symbolic and did not contribute significantly to covering their operating costs
- Nine organisations also engage in fundraising activities that include charging user fees, organising events, and other types of fundraising drives.
- Six organisations receive funding from government to carry out services in the area of natural resource management.
- Four organisations receive funding through regional intergovernmental bodies.
- Twelve organisations receive funding from international NGOs
- Seven organisations receive funding from bilateral and multilateral agencies.
- Four receive funds from other sources. Among these are two who receive funding from the private sector, either individual businesses or private sector associations. One receives funding from a national environmental foundation and one has an endowment fund.

1.19 *Diversity of the Funding Base*

The diversity of an organisation's funding base as well as the relative weight of each type of funding source are additional indicators which can demonstrate the relative stability:

Table 19	Diversity of the Funding Base			
	1	2	3-5	6 or more
Organisation	0	1	8	4
Frequency				

With regard to the diversity of the funding base;

- One organisation has two donors both of whom are international NGOs.
- The majority of organisations have between three and five donors and or sources of funding.
- Four organisations have six or more donors. Among these are two of the smaller NGOs, who have developed a diverse funding base and two of the larger NGOs who are actively involved in management of sites and protected areas on behalf of the state.

1.20 *Relative Weight of Different Funding Sources*

While donor diversification is important in terms of decreasing the vulnerability associated with a narrow funding base, most still state that they are highly vulnerable and that this impacts on their institutional stability:

Frequency of citing funding sources	Relative weight of different funding sources						
	Member Dues	Fundraising activities	Government	Regional bodies	International NGOs	International organisations	Other
Most important	0	2	1	2	5	1	2
2 nd most important	1	1	2	1	3	2	1
3 rd most important	1	1	3	0	3	4	0

Overall, the results clearly demonstrate the importance of international NGOs in providing support for programme activities.

- International NGOs represent the most important source of funding. For eleven organisations it represents one of the top three sources of funding. For four organisations it is the most important single source of funding while for the other six other organisations it is the second and third most important source of funding after funding from regional intergovernmental bodies.
- International aid is generally seen as the main source of funding for NGOs, but for the organisations surveyed, this is the second most important source of funding for seven organisations, and the single most important for only one organisation
- Governments are the third most frequently cited source of funding but are usually cited as the second or third most important source of funding. Only one organisation cited the state as it's single most important donor
- Regional structures provide an important source of funding for three organisations and for two it represents the single most important source of funding.
- Fundraising activities are the most important source of funding for two organisations, in one case it refers to user fees and in the other it refers to tombolas and raffles.
- Two organisations cite "other" as the most important source of funding- the Bahamas National Trust has an endowment fund and the JCDT has access to the Environmental Foundation of Jamaica.
- While most organisations cite member dues as one of their sources of funding, it is invariably one of the least important in terms of the amount of funds generated.

2. PROGRAMMES AND PARTNERS

2.1 *Future Programme Priorities*

This question directly addresses the issue of programme direction as distinguished from current programme activities.

Organisation	Future Programme Priorities					
	Strengthening NRM programmes	Dissemination of information and advocacy	Human resource development	Fundraising institutional development	Community development activities	Community capacity building
Frequency	8	7	5	4	3	8

- For most organisations, future programme directions are based in large part on the consolidation of existing programmes; for some consolidation refers to strengthening existing programmes or expanding the outreach of existing programmes.

- A second area of priority is developing the skills and capacities of communities to effectively participate in natural resource management.
- For one third of the organisations participating in the survey, institutional development – including both human resource development and broadening the funding base to achieve a degree of financial stability - constitutes one of the priorities for the coming years.
- One organisation specifically raised the issue of how to further develop member participation in decision-making. The focus is both on quantitative issues - the level of participation, and qualitative issues - the quality of their participation,

2.2 Programme Planning

Most organisations have a formal planning process based on a three to five year cycle. Only two organisations do not have a formal planning process:

Organisation	Planning process	Needs at the community level	Donor priorities or opportunities	Other
Frequency	11	5	3	1

- Eleven stated that programme direction is determined by internal planning processes
- Five organisations stated that the planning exercise was driven by needs identified at the community level – stakeholder driven.
- Three organisations stated that future programme directions were conditioned by donor priorities and opportunities for funding.
- One organisation stated that programme directions were conditioned by shifts in staff focus and areas of competence. With staff turnover, they were obliged to shift their programming focus to bring into conformity with the capabilities of the organisation.

2.3 Programme Areas

Organisation	Programme delivery	Public education and outreach programmes	Membership institutional development	Strengthening Collaboration with government	Developing linkages and partnership	Fundraising
Frequency	13	6	4	2	4	5

- All organisations are involved in various types of ongoing programme delivery in areas related to resource management.
- Six organisations are involved in public education and outreach programmes aimed at developing greater understanding of and support for natural resource management.
- Four organisations are focusing efforts on institutional development with an emphasis on either strengthening the membership base or building capacity within the organisation.
- Two are working toward strengthening collaboration with government

- Four are developing and or strengthening linkages with community based as well as international partners.
- Five are focused on fund raising and increasing their financial autonomy and decreasing their dependence on any single donor through fund diversification.

2.4 Programme Activities

Organisation	Protected area management	Resource monitoring	Technical assistance and training	Community development	Animation	Other
Frequency	7	4	8	3	3	4

Of the organisations participating in the survey:

- Seven are directly involved in protected area management;
- Four are involved in natural resource monitoring;
- Eight organisations are providing technical assistance and training to community based partners;
- Three are working in the area of community development;
- Three are working in the area of animation and institutional development of community based partners;
- Four are working on “other” issues.

2.5 Expected Outcomes of Current Programmes

Organisation	Increased capacity at community level	Increased programming	Improved policy environment for NRM	Improved staff capacity to carry out programmes	Increased access to financial resources
Frequency	9	7	10	6	6

With regard to expected outcomes, there is a degree of convergence despite the wide variety of actions being undertaken by participating organisations.

- For ten organisations, the goal is policy change: to create an improved policy environment for natural resource management through an increase in: community capacity, understanding of the issues at the level of policy makers and the general public, and capacity at the level of each individual organisation
- Nine organisations stated that their expected outcome was increased community capacity which is congruent with their focus on developing the capacity of civil society to actively engage in development processes
- For seven organisations, the expected outcome is expanded programming - doing more of what they already do.

- For six organisations, the focus is on providing better programme delivery - the expected outcome is improved staff capacity to deliver programmes.
- Only six organisations stated that one of their expected goals was to access increased financial resources to carry out programming.

2.6 *Tools for Monitoring and Evaluation*

One of the major questions for all organisations involved in the area of natural resource management or development work is: how do you effectively monitor your actions to ensure that you are in fact progressing toward your stated goal and how do you evaluate your actions to determine what were the outcomes and impacts of those actions?

While noting that monitoring and evaluation is an area of weakness, most organisations use a variety of methods for monitoring and evaluating their work:

Tools for Monitoring and Evaluation						
Organisation	Field visits	Staff progress reports	Biannual or annual reports	Stakeholder reviews	Internal evaluation	External evaluation
Frequency	4	9	8	3	9	6

- Nine organisations use staff progress reports to monitor results, while three organisations specifically mention the use of field visits.
- Annual reports are mentioned by eight organisations as a means of dissemination of results - really a method of information sharing rather than a means of monitoring and evaluating.
- Nine organisations use various types of internal evaluation techniques.
- Six use external consultants as part of project evaluation.
- Four organisations use field visits as one method of monitoring and evaluating their programmes.
- Three organisations directly stated that they used stakeholder reviews.

Monitoring and Evaluation identified as a need: Of the various organisations participating in the survey only four appear to have a well-developed system for monitoring and evaluation with the use of benchmarks and indicators. While it is impossible to determine to what extent these systems are used systematically, this does demonstrate a concern for developing methods and tools for monitoring processes and actions

2.7 *Advocacy*

Most organisations in the survey are actively involved in public education and some form of advocacy - only one does not engage in advocacy work. The questionnaire unfortunately does not provide information on the reasons for this, but it is suggested that the reasons are grounded in the composition of its membership and in its purely technical focus.

Of the other organisations participating in the survey, the principal areas of advocacy can be grouped into four broad thematic areas:

Table 27	Principal Areas of Advocacy			
Organisation	Natural resource and sustainable development	Community participation and/or good governance	Rights-based approach	Promotion of regional integration
Frequency	10	5	1	1

- For ten organisations, their advocacy work is focused directly on natural resource management and topics cover the range of issues covered by their work. Among these issues are the following:
 - Awareness building on habitat destruction and the impact of this on the management and sustainability of natural resources.
 - Awareness building on the need to reconcile economic development and preservation and conservation of natural resources.
 - Establishing links between land based activities such as farming and their effect on the marine environment.
 - Addressing issues of coastal water quality and the politics of waste management.
 - Promoting existing protected zones and increasing the area of protected zones.
- Five organisations state that they carry out advocacy work on promoting community or civil society participation as an element of good governance.
- One organisation used advocacy as a way of promoting a rights-based approach to development and environmental issues. This approach opens new horizons for using various legal instruments as a framework for work both on environmental issues and - more fundamentally - for citizen participation.
- One organisation does not engage in advocacy at all. Given that this organisation is a network of organisations, it can be suggested that it may be an institutional decision to leave advocacy work to its individual member organisations.
- Four organisations state that their work in the area of advocacy needs to be strengthened, better articulated, and systematised.

2.8 Advocacy Content

With regard to how the content of advocacy work is defined, the following responses were provided:

Table 28	Modalities for Definition of Advocacy Content		
Organisation	Institutional vision or mandate	Collaboration with partners	Field level experiences
Frequency	11	3	1

- Advocacy is usually closely linked to the mandate of the organisation and consequently eleven organisations say that their advocacy is grounded in their institutional vision.
- Only three organisations make reference to the role that their partners play in defining advocacy content. This would suggest that advocacy work is actively supported by these partners, both in terms of defining the content and in the implementation of an advocacy plan.
- Only one organisation stated that their advocacy work is grounded in their field experiences. While it is difficult to conclude from this that for other organisations, advocacy is divorced from field level experience, it does raise questions with regard to

how organisations make the link between practice and advocacy by using their field experience to inform and drive their advocacy and awareness building work

2.9 Partnerships – Individual Resource Users

For the most part, participating organisations are broadly linked to a network of individuals, organisations and institutions at the national, regional, and international levels. This broad network of partnerships constitutes one of the strong characteristics of the participating organisations.

At the community level, participating organisations work with both individual resource users and organised resource users:

Organisation	Land owners	Fishermen	Farmers	General population	Tours operators, diver operators and others
Frequency	5	6	5	8	4

Among individual resource users are landowners and small farmers, fisherman, tour operators, dive operators and the general population that constitutes the primary focus of public education activities and awareness building.

2.10 Partnerships – Community Based Organisations

Among organised resource users, organisations work with a broad range of partners including various types of community-based organisations, and sector specific organisations such as women’s groups and youth organisations.

- Eleven organisations work with community organisations that run the gamut from neighbourhood associations to peasant associations and co-operatives.
- Five organisations work with private sector groups building awareness on environmental issues and strategic alliances to promote improved natural resource management.
- Four organisations work with youth groups.
- Only three organisations work directly with women’s organisations.

Organisation	Youth organisations	Women’s organisations	Community organisations	Private sector groups	Other
Frequency	4	3	11	5	3

2.11 Partnerships – Community Based Organisations

- Among those working with other types of organisations, one organisation is a member of a domestic violence unit. While clearly outside the purview of its institutional mandate on environmental issues, it is an indication of the fact that the organisation is linked into various processes within civil society. It is perhaps also an indication of the fact that there are few civil society organisations within that country and thus the level of synergy is somewhat higher out of sheer necessity.

- Only one organisation evolves without linkages at the community level.

Organisations also work with a broad range of civil society organisations within their countries⁶.

- Twelve organisations maintain ties with other NGOs.
- For most organisations that have environmental issues as their primary focus, these linkages are with other environmental organisations first and secondly with other non-governmental organisations concerned by development issues. For those organisations that have a more general focus on development issues, the tendency is reversed.
- For four organisations, linkages are also maintained with private sector organisations around environmental issues and exploring the linkages and trade-offs between environment and economic development.

2.12 Partnerships – Civil Society Organisations

Organisation	Other NGOs	Private sector organisations	Universities	Other
Frequency	12	4	3	3

- Three organisations have developed collaborative relationships with universities and thus have been able to strengthen the linkages between academics and practitioners. This has enabled organisations not only to access technical assistance but also influence the discourse within universities.

2.13 Partnerships – The State and Government Institutions

Various types of linkages also exist between organisations and the state, beyond the linkages that exist among those organisations that include representatives of the state within their membership.

Organisation	President or PM Office	Environmental institutions	Planning ministries or agencies	Line ministries	Local or municipal government	Other
Frequency	2	11	3	9	5	5

- For the most part, organisations work with those branches of government directly involved in natural resource management and environmental issues. While for some this means working with the national environmental agency, for others, it may mean working with a department specifically charged with environmental issues within a line ministry.
- Most organisations also work with line ministries or technical ministries. These run the gamut from health, education, and social services to agriculture.
- Interestingly, increasingly NGOs are working with local and municipal governments, and this would seem to represent a future trend.

⁶ Note that there is an overlap in the types of organisations classified as community based organisations or grass roots organisations and those that are classified as civil society organisations. This is most apparent in the designation of private sector groups as both community based organisations and civil society organisations.

- Two organisations maintain direct linkages with either the President's or the Prime Minister's office. In one case it is directly a result of the mandate of the organisation, and in the other it would seem to be more a function of the size of the territory.
- One organisation maintains links with the national police force as one of the enforcement agencies involved in ensuring compliance with existing environmental laws.
- Finally, one organisation has no programmatic links with the state.

2.14 Partnerships - Regional Civil Society Organisations

At the regional level, most organisations have also built strong linkages with a wide variety of organisations:

Organisation	NRM Organisations	Professional associations	Other NGOs not involved in NRM	Universities	NGO Networks	None
Frequency	7	3	2	1	3	2

- Seven organisations collaborate with regional organisations involved in natural resource management such as CANARI.
- Three organisations collaborate with professional organisations involved in certain aspects of natural resource management.
- Four organisations collaborate with NGO networks specialising on environmental issues, and/or with NGO networks dealing with development issues in general.
- One organisation maintains linkages with a university at the regional level.
- Two organisations do not have any regional linkages.

2.15 Types of Collaboration

Collaboration most often takes the form of information and skills sharing, while only four organisations use regional linkages as a platform for advocacy:

Organisation	Information sharing	Skills sharing	Advocacy
Frequency	7	7	4

2.16 Institutional Affiliation and Membership

Most organisations are also members of networks and professional associations, although four are not:

Organisation	Conservation organisation or network	Professional organisations	Advocacy Organisations or networks	Socio-cultural organisations and or networks	None
Frequency	7	4	6	2	4

- Seven organisations are members of conservation organisation or networks. Among these organisations are: Caribbean Conservation Association (CCA), the Society for

Caribbean Bird Watching (SCBW) and the International Union for the Conservation of Nature (IUCN).

- Some organisations are also members of other types of networks such as World Association for Christian Communication (WACC).
- Six organisations are members of NGO advocacy networks in their own countries.
- Some organisations also have cross membership or reciprocal membership in other organisations. This is particularly the case in Saint Lucia.

3. EXPERIENCES IN NATURAL RESOURCE MANAGEMENT AND CIVIL SOCIETY PARTICIPATION

3.1 Principle Areas of Experience

The participating organisations have a wide range of experiences in the area of natural resource management and varying levels of experience with civil society participation in this field:

Organisation	Marine resource management	Land resource management	Advocacy and policy work	Training and public education	Resource monitoring	Other
Frequency	5	6	10	7	4	1

- Five organisations are involved in marine resource management and of these, three are also involved in land based natural resource management.

Among the interesting examples in this area are the following:

The Negril Coral Reef Preservation Society is responsible for the Negril Marine Park and as part of their work in this area they have developed a reef mooring buoy programme. Among its most successful programmes, it has succeeded in minimising negative impacts to the coral reef and thus protecting the natural resource base. Though there was resistance at first from fisherman, over time this was alleviated by a sustained public education and awareness campaign and finally by the fact that the fishermen themselves saw that the buoys were useful to them as well as being a convenience for the tourism industry.

The Bahamas National Trust assures the management of the Exuma Cays Land and Sea Park. Established in 1959 as one of the first protected marine areas in the region, BNT turned the 176 square mile park into a no take fisheries replenishment area. Based on the Bahamian experience, the notion of "marine fisheries reserve" as developed and has been promoted as the best method for sustaining fishery resources. Monitoring over the past years has demonstrated that this approach led to significant increases in the conch population which then served to replenish conch reserves for harvesting outside of the park, as well as increases in the crawfish and grouper population. According to BNT, this approach provides multiple benefits in terms of replenishing fisheries and creating eco tourism magnets for the local community. As a result, commercial fisherman have become strong supporters and government has doubled the acreage of the national park system; established a policy to protect 20% of the marine parks in the country; and committed to creating other no take zones. The experiences in the Bahamas have encouraged other governments within the region and elsewhere to adopt similar approaches to marine conservation.

- Six organisations are involved in land based resource management, among them:

The Jamaican Conservation and Development Trust (JCDDT) is vested with the management of the Blue and John Crow Mountains National Park, which is one of the most biologically diverse and socioculturally and economically important areas in Jamaica. Working within a co-management regime, the JCDDT works closely with both individual and organised resource users to maintain biological diversity and ecological stability while providing varied services for visitors to the park and creating employment opportunities for the surrounding communities.

Centro para la Conservacion y el Ecodesarrollo de la Bahía de Samana y su Entorno (CEBSE) focused initially on the conservation of marine resources in general with a view toward protecting migrating whales. Over the ensuing years, CEBSE has turned its attention to eco tourism and the sustainable development of natural resources in the surrounding communities. One of these community development initiatives has been the co-management of the Salto de Limon Falls. Working in collaboration with the local community, CEBSE has created a site which receives thousands of visitors annually and which provides needed income to the surrounding community.

- Ten organisations are involved in advocacy and policy work, among them:

Agency for Rural Transformation (ART) has played a key role in promoting civil society participation in the definition of a Forest Policy in Grenada. Though not directly involved in the management of natural resources, ART through its focus on sustainable development and community empowerment has contributed to developing popular education programmes targeted at raising awareness among the general public on issues related to environment and putting into place participatory structures and processes for policy formulation

The Anguilla National Trust has developed an advocacy focus around the issue of heritage tourism as a more sustainable form of diversification than large cruise ships. Using the motto "Give the beach a break", ANT has been able to provoke thought about the island's carrying capacity and to explore alternative approaches to tourism and development.

Groupe de Recherche et d'Action en Milieu Rural (GRAMIR) is a member of a national advocacy platform on food security in Haiti. The platform advocates not only for increased support for sustainable agriculture but also for an improved macro economic policy environment which will protect national production and small farmers.

- Seven organisations are involved in training and public education. As one organisation stated, "*our most important management tool has been education and awareness building*". An interesting example is:

SIBARIMAR, a non-governmental organisation based in Cuba, developed a broad based public education programme. Unlike many other education programmes which are designed to address a specific issue and are designed as intensive campaigns, over the past ten years SIBARIMAR has implemented an ongoing education programme targeting the general population and enabling them through this programme to build greater understanding of the environment and finally to build a sense of ownership on issues related to environment and natural resource management.

- Four organisations are involved in natural resource monitoring, including:

The Environmental Awareness Group based in Antigua is actively involved in species and habitat monitoring. Among their accomplishments in the area of species monitoring, is their successful

campaign to save the Antigua Racer Snake. In the area of habitat monitoring, they completed a national inventory of wetlands and trained government agents in the basic principles of wetland monitoring, thus creating capacity at the state level.

- One organisation, the Consorcio Ambiental Dominicano (CAD) is involved in community development activities in addition to activities in other areas such as training/capacity building and advocacy work. Because of the particular status of CAD as a platform of organisations, its member organisations have a very wide range of experience in natural resource management in the Dominican Republic and as such CAD cannot be classified in the same manner as the other organisations participating in this survey.

Among the fourteen projects implemented by member organisations are the following;

Through the government agencies that are members of the consortium, two projects have been implemented by NGOs, respectively Fundacion Progressio and Fundacion Loma Quita Espuela, to increase community participation in the protection of natural resources within established scientific reserves in the Dominican Republic. Results include improved levels of community participation in conservation efforts and greater dialogue between civil society organisations and state institutions around the conservation of these two protected areas.

CEBSE, one of CAD's member agencies, is implementing a project focused on the promotion of sustainable agriculture and eco tourism. Dealing with three aspects of natural resource management, CEBSE in collaboration with community based organisations, carried out an assessment of land tenure in the region and based on the outcomes of participatory assessment, formulated propositions for the legalisation of small landholdings. In addition to the action research on land tenure, CEBSE is training community animators in the basic principles of organic agriculture in order to promote more sustainable land use and to increase the productivity of small landholdings.

The government office responsible for natural resources, the Direccion General de Ordenamiento Territorial has created a national database on environmental information and natural resources. This has strengthened the ability of various stakeholders to analyse the situation and to use the information to inform their actions.

3.2 Examples of Success

The majority of organisations stated that there were examples of success in their work in the area of natural resource management:

Organisation	Improved policy environment	Recognition civil society capacity	Devolution of NRM management	Informed involved public	Concrete examples of success	Improved institutional capacity	Other
Frequency	6	5	6	6	6	3	0

The responses provided by participating organisations varied from the very general to the very specific.

- Six organisations cited an improved policy environment, which included adoption and implementation of new policies and laws related to natural resource management. Examples in this area include; adoption of a biodiversity strategy, creation of specific institutes to deal with environmental issues, development of participatory forestry policies and the adoption of new laws at the local and municipal levels.

- Six organisations cited specific examples of devolution of natural resource management to civil society. Examples include the creation of the Exuma Cayes Park, the national park system in Jamaica, and the protected area system in Saint Lucia.
- Six organisations cited a more informed public through education programmes and campaigns.
- Six organisations cited concrete but isolated examples of success, such as the conservation of the racer snake in Antigua, the successful co-management scheme of a waterfall in the Dominican Republic and successful community development activities in Jamaica and Saint Lucia.
- Five organisations stated that there was an increased recognition of the capacity of civil society to effectively and efficiently manage natural resources in various territories and countries. For these organisations, the recognition is both at the community level and the national level. For some organisations, they also stated that there is increased international recognition of the role and capacities of national civil society organisations in this area.

3.3 Factors Contributing to Success

A broad range of factors have contributed to success in natural resource management, demonstrating the various elements that contribute to creating a facilitating environment. Note that three organisations declined to answer this question as well as the following question regarding the various difficulties encountered.

	Factors which contributed to success in NRM						
Organisation	Government support	International support	Stakeholder support	Technical skills	Funding	Legislative framework	Other
Frequency	5	3	5	5	3	1	3

- Five organisations stated that one of the most important factors that contributed to the successful initiative was government support. One organisation further stated that one strategy that successfully contributed to this support was a programme targeting senior decision-makers, while another stated that the active support of local government facilitated broader state endorsement of the initiative. These responses point to the need to reach senior decision makers rather than stay in the 'environmental ghetto.'
- Five organisations stated that their technical skills were the major contributing factor to success in this area. Technical expertise enabled them to successfully implement their projects.
- Five organisations stated that stakeholder support was one of the primary factors that contributed to success.
- Three cited international support as an important element both in terms of actively promoting the initiative and in providing needed financial and or technical support.
- Three organisations also stated that the availability of funding on a timely and appropriate basis also contributed to project success.
- One organisation cited the existence of a legislative framework which facilitated successful project implementation in the area of natural resource management and which recognised the importance of citizen participation

- Three organisations also cited other elements that contributed to success. Among these elements were the following; a certain degree of financial autonomy which enabled them to have greater freedom and ensure a certain degree of stability in their programming, skills in networking which created broader support for the initiative within the NGO community and finally the demonstration that the project succeeded in decreasing the negative impacts of natural resource use by stakeholders.

3.4 Difficulties Encountered

The responses with regard to the major difficulties encountered place the constraints clearly at two levels:

Organisations	Difficulties encountered						
	Lack of political will	Lack of consensus on issues	Resistance from stakeholders	Limited staffing	Lack of funds	Inadequate legal/policy framework	Other
Frequency	1	1	4	2	4	3	5

- Lack of funding constitutes one of the major handicaps. Four organisations stated that the lack of funds constituted an important constraint in the successful implementation of natural resource management projects.
- Four organisations stated that they had to confront resistance from various stakeholders and that this was one of the major challenges that they had to deal with in the implementation of their projects. Examples were given of resistance from resource users who felt that the project would have a negative impact on their ability to generate income from these resources. Several organisations stated that this was resolved through demonstrating the relevance of their action, and demonstrating that effective management of the resource base enabled them to exploit the resource in a sustainable manner.
- Three organisations stated that one of the major constraints was the lack of an appropriate policy or legislative framework to support natural resource management initiatives. For some the existing framework for participation was too cumbersome while for others, the legal requirements were in and of themselves a constraint to community participation.
- Two organisations stated that they were limited by the small staff size and that they were confronted with the challenge of implementing ambitious programmes with a limited human resource base.
- One organisation stated that there was a lack of consensus on key issues and priorities and that until such time as there was a common understanding amongst the various stakeholders, it was difficult if not impossible to move forward.
- One organisation clearly stated that the major handicap was the lack of effective political will to address sustainable development issues.
- Five organisations also stated that there were other types of difficulties that were faced. Among them were a sense of disempowerment within the organisation itself, a lack of strong and vibrant community based organisations able to support the initiative and push it forward, and finally the difficulties of measuring changes in values and behaviour within the population.

3.5 *Factors contributing to Difficulties*

When asked which factors contributed to these difficulties, the responses illustrated that the issues are inter-related and complex:

	Factors which contributed to difficulties						
	Lack of consensus	Lack of political will	Weaknesses of civil society	Lack of financial support	Socio-economic situation	Inadequate or un-enforced legislation	Other
Frequency	4	1	2	4	1	1	3

- Four organisations cited the lack of financial support as one of the major factors that contributed to the difficulties identified. The responses are divided between those organisations who cite the lack of international funding, and those who cite lack of local financial support.
- Three organisations cited a lack of consensus as the major factor that contributed to difficulties in the implementation of effective and successful natural resource management activities. For some it referred again to the lack of understanding and consensus on the major concepts and issues in natural resource management. For others, the issue was one of a lack of consensus amongst competing stakeholders.
- Two organisations cited the weakness of civil society organisations. For these organisations, the weakness is at the level of both NGOs and community-based organisations.
- One organisation cited the lack of political will which also reflected the competing priorities amongst stakeholders
- One organisation cited the deteriorating socio-economic climate within the country which clearly placed economic considerations and short term vision at the forefront of considerations.
- Two other factors were cited: competition amongst various environmental initiatives, and the lack of public awareness on the issues in general and among key players in particular.

3.6 *Impact of Civil Society Participation*

All organisations were able to cite examples of civil society involvement in natural resource management. The examples ranged from their own projects to those implemented by other organisations and institutions in their countries.

	Impact of civil society participation in NRM			
	Positive	Negative	No effect	Other
Frequency	10	0	1	1

When asked their assessment of the impact of civil society on natural resource management:

- Ten organisations stated that it was positive;
- One organisation stated that it had had no effect;
- One organisation stated that although it was positive the initiative could not be sustained.

Of those organisations that felt that it had had a positive impact, the following reasons were cited:

- Civil society participation demonstrated that people do not have to wait for government to take action .
- Participation enables us to reach consensus on how to manage sites and provides mechanisms which enable us to effectively manage conflict.
- Participation fosters a sense of local responsibility and ownership.
- Participation is based on the recognition of the rights and opinions of communities.

3.7 Factors which Favoured Civil Society Involvement in Natural resource Management

When asked to identify contacts that facilitated civil society participation in their countries, participating organisations identified a range of factors that encourage community involvement in natural resource management:

Organisation	Socio-economic situation	State support new discourse	External support or demand	Civil society demand	New policy environment	Geographic factors	Other
Frequency	2	4	4	6	3	1	3

- Six organisations stated that one of the most important factors was the increased demand for participation from civil society organisations themselves. One element cited which contributed to success in this area was the increased level of organisation within and among members of the NGO community. The emergence of platforms and coalitions has effectively strengthened their ability to demand and to obtain greater levels of participation.
- Four organisations stated that the State supported a new discourse on civil society participation in natural resource management but also in other areas of services and programmes.
- Four organisations stated that one of the primary factors was that increasingly external agencies demand that civil society be involved in development processes in general and in natural resource management in particular. As one organisation stated “ *there was concern that the government was not doing enough and that the government was not involving people*”.
- Three organisations cited a new policy environment that favoured civil society participation. This included both a new political discourse and the implementation of legislation that facilitated participation. This response must be read in conjunction with the other two factors cited above.
- Two organisations cited the socio-economic situation as a factor that facilitated civil society participation. For one organisation, the reference was to the decreased funding available to governments and thus the need to work with civil society organisations, while for another, the focus was more on the economic potential of effective natural resource management within countries where tourism constitutes an important part of the national economy.
- One organisation stated that the small size of most island territories facilitated developing partnerships between civil society and the state around natural resource management.

- Other factors included an increasingly well-trained human resource base that can more effectively participate in decision-making processes.

3.8 *Factors which Hinder Civil Society Involvement*

Of those factors that hinder civil society participation, those organisations that responded to this question identified a number of issues that echo and which also differ from those that hinder natural resource management in general:

Organisation	Lack of political will	Centralised decision-making	Lack of support for civil society	Lack of community activism	Impact of globalisation	Limited NGO capacity	Other
Frequency	5	1	2	1	1	3	8

- Five organisations cited the lack of political will at the level of the state. For some, this was the product of partisan politics, for others it was a case of competing priorities on the national agenda, or simply an extension of the paternalism that often characterises government action.
- Three organisations stated that one of the primary factors was the limited NGO capacity to sufficiently demonstrate the relevance of civil society participation in natural resource management, and the capacity to build strong alliances around these issues.
- Two organisations stated that the lack of community cohesion and/or the lack of a strong tradition of community activism was a hindrance.
- One organisation stated that globalisation and cultural penetration has limited civil society participation in natural resource management.
- One organisation stated that the tradition of centralised decision-making effectively hindered participation in decision-making processes in general.
- Among other factors cited were: the lack of funding and/or time allocated, the lack of an adequate framework for collaboration and - in those cases where the framework exists, a lack of knowledge about the opportunities which these represent. One organisation stated that the limited financial resources at the level of the state also hindered civil society participation.

3.9 *Other Examples of Participatory Processes*

In addition to examples of civil society participation in natural resource management, participating organisations cited other examples in other sectors. An analysis of the types of examples provided are classified as follows:

Organisations	Policy formulation	Oversight & monitoring	Project implementation	Devolution
Frequency	6	5	5	5

- Six organisations cited examples that could be classified as policy formulation exercises. Of these, the majority are in the area of social policy (e.g. education, health, youth).

- Five organisations cited examples where the primary functions were oversight and monitoring. Examples include environmental monitoring and civil society participation in human rights monitoring and in an electoral review commission.
- Five organisations cited examples of project implementation on behalf of government - for the most part these are related to community development initiatives and/or the provision of social services.
- Two organisations cited examples of devolution in the area of natural resource management, where management functions were transferred to civil society.

3.10 Factors which Favour Civil Society Participation

In analysing the factors which facilitated civil society participation in policy formulation, oversight and/or project implementation, organisations identified the preponderant role of the international community in pushing for increased civil society participation:

Table 45 Factors which favour civil society participation						
Organisation	External donor pressure	Pressure from civil society organisations	Willingness of the State	Failure of traditional methods	Investment in training and education	Other
Frequency	5	4	2	3	1	3

- Five organisations stated that external donor pressure was one of the primary factors that favoured civil society participation in decision-making processes.
- Four organisations stated that one of the primary factors was increased pressure and demand from civil society organisations. This demand for inclusion encouraged state actors to create opportunities and space for civil society participation.
- Three organisations cited the failure of traditional methods of decision-making to engage public support, and therefore the need to include citizens in decision-making as a more effective and efficient method of arriving at the same objectives.
- One organisation cited the heavy investments made by NGOs in capacity building of local communities as one of the primary factors contributing to civil society participation.
- Three organisations cited other factors which included: clearly identified local needs which facilitated both stakeholder buy in and programme planning, and the deteriorating social economic climate which required effective and efficient state responses.

4. GENDER AND NATURAL RESOURCE MANAGEMENT

The decision to include gender related questions in the survey was based on the recognition that inclusion also means paying attention to the presence of women as both resource users and also as citizens in decision-making processes. It was also based on the recognition that policies, programmes and project impact differently on men and women. In order to promote sustainable development processes and sustainable and participatory natural resource management, gender must be part of the frame of analysis.

4.1 Understanding of Gender

In response to questions regarding their understanding of the notion of gender, participating organisations clearly demonstrated that while they are increasingly aware of gender as a parameter which must be taken into consideration, they are not yet sufficiently comfortable with the concept to apply it to their work:

Table 46	Understanding of Gender		
	Organisation	Gender as a biological construct	Gender as a social construct
Frequency	4	7	2

- Seven organisations stated that gender is a social construct through which roles and characteristics are attributed to men and women. Some organisations, in addition to recognising that gender is culturally ascribed, recognised the importance of power and relationships between men and women.
- Four organisations stated that gender was a synonym for the sex of the individual and thus was primarily a biological construct.
- Two organisations stated that gender was not applicable or relevant to their work in the area of natural resource management.
- While half of the organisations have a clear understanding of the notion of gender, half either do not understand it or do not feel that it is applicable.

4.2 Implications of Gender

In examining the implications of gender in the area of natural resource management:

Table 47	Implications of gender for natural resource management				
	Organisation	Differential impact of policies	Women as resource users	Equity and inclusion	Prerequisite for sustainability
Frequency	4	5	6	3	4

- Five organisations recognised the importance of including gender concerns in determining stakeholders, women as resource users being one aspect of the question. As one organisation stated, "*There is a discrepancy between who makes the decisions with regard to resource use and who actually uses the resources*".
- Six organisations raised the implications of gender in terms of ensuring equity (as a means toward achieving equality) and ensuring inclusion.
- Four organisations recognised that the way in which policies impact women is fundamentally different from the way in which they impact on men.
- Three organisations stated that taking gender into consideration was a prerequisite for ensuring the sustainability of development. For one organisation there is a need to integrate gender analysis to ensure sustainability.

4.3 Integration of Gender into Programmes

While most organisations believe that gender is important to their work in the area of natural resource management, the degree to which, and the ways in which, they integrate it into their programmes varies greatly:

Table 48				
Integration of gender into programmes				
Organisation	Gender equity within organisation	Gender perspective in project planning	Equitable representation within project	Not relevant
Frequency	5	5	3	6

- Five organisations stated that ensuring gender equity within their organisations was important. For most organisations, this entails ensuring an equal number of women within their organisations, but not necessarily looking at their position within the organisation.
- Five organisations stated that they have integrated a gender perspective into their planning process.
- Three organisations stated that they look to ensure equitable representation of women within the projects that they implement - the reference here is in regard to women as beneficiaries of natural resource management projects.
- Six organisations either stated that it was not relevant, or did not reply.

Interestingly most organisations that are beginning to address gender issues stated that they felt a need for additional training on how to effectively integrate gender issues in their institutional practices.

5. GOVERNANCE AND NATURAL RESOURCE MANAGEMENT

All organisations, with the exception of one, responded to the questions dealing with governance and natural resource management.

5.1 Understanding of Governance

Table 49				
Understanding of governance				
Organisation	Governance as the action of government	Governance as a way of decision-making	Governance as a set of democratic values and processes	Governance implies participation
Frequency	4	8	7	7

- Eight organisations defined governance as the ways in which decisions are made with regard to the allocation of power within society.
- Seven organisations also defined governance as a set of democratic values and processes including transparency and accountability.
- Seven organisations defined governance as a form of decision-making that is participatory by definition. For these organisations, good governance is based on the active participation of stakeholder/citizens in decision-making processes. As one organisation stated: *“people are empowered to act in their own best interest.”* Another organisation stated that governance was best defined as a form of decision-making where decisions are made *“with all for all.”*
- For two organisations, governance primarily referred to government, the act of governing, and to those persons in a position of authority or control.

5.2 Implications of Governance for Organisation

While most organisations considered governance relevant for their organisation, three organisations felt that it had no relevance or was not applicable:

Organisation	Relevant to internal management of organisation	Relevant to the sustainability and impact of programmes	Not relevant to organisation	Other
Frequency	5	8	3	1

- Five organisations felt that it was relevant to the sustainability and the impact of their programmes. As one organisation stated, *“Lack of good governance limits the sustainability of development programmes”*. Good governance implies that there are both clearly defined rights and responsibilities which are known to all and which are applied.
- Eight organisations stated that it was relevant to the internal management structures of their organisation, and they made the linkage between the need to *“be models of good governance in order to legitimately advocate in favour of good governance in society”*.

5.3 Implications for Participatory Natural resource Management for Governance

In asking participating organisations to examine the linkages between participatory natural resource management and governance, respondents identified the implications at various levels. As one organisation stated: *“One strengthens the other”*:

Organisation	Requirement for good NRM	Prerequisite for sustainability	Participation in NRM strengthens governance in general	Participation in NRM decreases conflict	Not relevant	Other
Frequency	3	1	6	2	2	1

- Six organisations firmly believe that civil society participation in natural resource management strengthens governance in general. One organisation stated that their work could generate models at the local level that can then have broader implications in society. Another stated that this approach creates *“greater equity in the relationship between the state and civil society”*.
- Three organisations believe that civil society participation is a requirement for good, and therefore sustainable natural resource management. *“It increases the complexity of the process but it also improves the effectiveness.”*
- Two organisations believe that it decreases conflict around resource use and allocation. As one organisation stated *“Co-management decreases conflicts through promoting collective compromise”*.
- One organisation believes that participation is a prerequisite for sustainability
- Two organisations feel that there is no relevance
- One organisation stated that participatory approaches create conditions that facilitate voluntary compliance, with primary reference to compliance among resource users.

5.4 Impact of Organisation's Work on Governance

When asked to define how their work has impacted on governance in their country, one organisation stated at the outset that it was somewhat presumptuous to think that they could actually have an impact on governance, or how decisions are made in their country.

Notwithstanding this understandable reserve, all but three organisations provided examples of how they think that their organisation's work has impacted on governance, both in theory and in practice.

Organisation	Improved natural resource management	Increased citizen involvement in governance	Increased recognition of methods and processes	Other	Not relevant
Frequency	3	8	5	4	3

- Eight organisations stated that they have contributed to increasing the level of citizens' participation in decision-making processes.
- Five organisations stated that they have contributed to gaining greater recognition of the legitimacy of the methods and processes that facilitate participation.
- Three organisations felt that they had contributed to improving natural resource management regimes in their countries.

This last question is important in terms of self-assessment of the impact on society of work accomplished in the area of natural resource management. It is therefore important to go beyond the classification and allow organisations to speak for themselves:

We have played an important role in bringing difficult issues to the table and increasingly we are gaining recognition from other actors. But we also wish that others felt so empowered.

We have been able to successfully promote community participation in development processes. We have proved that NGOs can do what government cannot- which is build relationships with communities. We have been able to help communities to overcome their suspicion of government and to work together toward a common goal.

We have brought the issue of environment to the table and this has changed not only the discourse but also brought about new policies and practice at the national and local levels.

We have contributed to improving how co-management is practised, and to promote an approach that can serve as a model for others.

We have contributed to creating an opening for NGOs to play an important role in development processes.

We have introduced interesting approaches and methods, and we have achieved a great deal albeit on a very small scale.

We have contributed to increasing civil society participation at various levels and in various fora.

We have become advocates for structures and systems at the community level which facilitate participation.

At the level of an NGO, it is very difficult to talk about the impact of our work on the governance of a country. Our contribution to this issue is exploring new paths at the micro-level that can perhaps

serve as models for participatory local development initiatives or contribute to the development of new policies which can orient programmes and projects at the regional or national level.

6. CAPACITY BUILDING

6.1 Areas of Strength

All participating organisations are willing to share their respective areas of expertise with other organisations:

Organisations	Areas of strength						
	Lobbying and negotiation	Community animation and mobilisation	Public education advocacy	Net-working	Technical expertise project management	Fund-raising	Other
Frequency	1	5	4	4	9	3	3

Most organisations identified three to four areas of strength:

- Nine organisations stated that technical expertise in project management was one of their areas of strength. Some spoke generally to their success in project implementation, while others identified specific areas of expertise: integrated management of coastal zones, reef monitoring and maintenance, buoy installation and maintenance, eco-tourism, protected area management.
- Five organisations stated that their areas of strength included community animation and mobilisation.
- Four stated that they were strong in the areas of public education and advocacy, and one organisation cited their work in the area of innovative use of the media.
- Four organisations felt that their strength lay in the area of networking or establishing linkages with other social actors around common issues and problems.
- Three stated that they were strong in the area of fundraising.
- Only one organisation felt that they were strong in the area of lobbying and negotiation.
- Three organisations stated that they were strong respectively in the areas of:
 - Linkages between the micro and macro level, between the local, national, regional and international context,
 - Participatory techniques which facilitate community participation in natural resource management
 - Monitoring and evaluation skills

6.2 Areas of Institutional Weakness

With regard to their areas of weakness, most organisations identified only one to two areas in which they felt that they needed to strengthen their skills.

Table 54		Areas of institutional weakness				
Organisation	Fundraising and donor diversification	Monitoring and evaluation	Human resource development	Lack of institutional succession	Lobby and negotiation skills	Other
Frequency	7	2	3	1	2	6

- The most frequently cited area of weakness is fundraising. This can be interpreted both as the need to increase the amount of funds available to the organisation, and the need to diversify their funding base.
- Three organisations cited that there was a need to develop the management skills and capacities of existing staff members, and to expand the staff base with the addition of more technically qualified human resources.
- Two organisations cited the need to develop their skills and capacities in the area of monitoring and evaluation.
- Two organisations cited the need to develop their skills in the areas of lobbying and negotiation with government and other civil society partners.
- Only one organisation specifically cited the need to address the issue of institutional succession. Two organisations cited the need to expand their membership base and to increase member involvement in decision-making - in fact other facets of institutional succession.
- Among the other needs identified were developing skills in the area of strategic planning, the business aspect of site conservation, marketing an institution and promoting a positive public image, and development of effective public relations campaigns.

6.3 *Impact of Areas of Weakness*

In response to the impact of these areas of weakness in their work, respondents analysed the various types of problems confronted. Only one organisation did not reply to this question:

Table 55		Impact of areas of weakness					
Organisation	High staff turnover	Lack of technical expertise	Weak monitoring and evaluation	Limited programme impact	Limited financial sustainability	Limited project sustainability	Other
Frequency	2	2	1	6	5	1	3

Most organisations stated that one of their primary areas of weakness was the lack of funding, and most of the impacts identified are a direct result of this situation. One organisation clearly stated the broad reaching impact of this situation:

“ It has limited the continuity of our programmes, it has limited our ability to refine our programmes and focus, it has limited our institutional response to needs identified at the community level and finally it has limited the growth of the organisation’s recognition and legitimacy within the community.”

- Six organisations stated that this had an impact on the sustainability of the institution and/or on its programmes. Five stated that it had an impact on the sustainability of the institution itself, while only one organisation made the link directly with project sustainability. Among the specific impacts at the institutional level were the following:

- Disproportionate amount of time spent seeking funding to the detriment of programming.
 - Dependence on donors and therefore a fundamental vulnerability.
 - Significant delays in project implementation due to delays in donor funding.
 - Lack of staff security.
- One organisation stated that the overall impact was on the sustainability of projects.
 - Five organisations stated that one of the effects of this situation was limited programme impact. For these organisations, the issue is simply put “*if we had more money we could do more*”.
 - Two organisations raised the issue of lack of in house technical skills which impacted on the quality of programming, and created dependence on other institutions for technical support.
 - Only one organisation stated that one of the impacts was less than rigorous monitoring and evaluation.
 - Two organisations raised issues which impact on the challenge of promoting civil society participation in natural resource management. The organisations stated that one of the major impacts is a situation in which NGOs are in competition with government, both for access to resources and legitimacy with the population.

6.4 **Priorities for Capacity Building**

Based on self-assessments, participating organisations identified the following priorities in terms of capacity building:

Table 56							
Priorities for capacity building							
Organisation	Small business development	Fundraising skills	Monitoring and evaluation	Conflict resolution	Training in co-management	Animation techniques	Other
Frequency	2	3	3	1	2	1	9

While for most organisations the concept of capacity building clearly referred to the development of particular skills and capacities, for three organisations this also included institutional support or core funding. This is congruent with the approach to capacity building defined by CANARI that recognises the importance of both the human and financial resource base in building organisational capacity.

Of those organisations who identified priorities in the area of capacity building as the need to develop skills and capacities:

- Three organisations would like to develop their skills in the area of fundraising;
- Three organisations would like to develop their skills in the area of monitoring and evaluation;
- Two organisations would like to develop their skills in the development of income generation activities which could support operations and site management;
- Two organisations requested training in co management and in particular developing co management schemes with local government;

- One organisation wanted to develop their skills in the area of animation;
- One organisation wanted to develop their skills in the area of conflict management.

Among other needs identified were:

- Developing curricula to train government agencies in conservation practices.
- Developing an institutional development plan with a view toward expanding the membership base of the organisation.
- Refining skills in the area of environmental monitoring.
- Training in applied environmental economics as applied to community development activities.
- Strategic planning in a volatile context.