

*Final Case Study Report*

Capacity Development for Research: Strategic Evaluation

# Developing Organizational Capacity in Cambodia:

*Organizational Case of Study of the Ministry  
of Environment*

by  
Cor Veer  
March 2008

## CONTENTS

Acronyms.....	5
Executive Summary .....	7
1. Introduction.....	15
1.1 Background.....	15
1.2 Methodology.....	15
1.3 Organization of the Report.....	17
2. Development Context .....	18
2.1 Challenges in Governance & Natural Resources .....	19
2.2 Institutional Development in Environmental and Natural Resource Management (ENRM) .....	20
2.3 Implications for Capacity Development.....	23
3. Intentions: Evolution of IDRC Support.....	24
3.1 Intents and Grants.....	24
3.2 Projects and Strategies.....	26
3.3 ENRM Institutional & MoE Organizational Development: 1992-97 .....	28
3.4 Lessons from Organizational and Institutional Development During the Early Years of IDRC Support .....	31
4. Capacity Development Through Research Projects .....	33
4.1 CBNRM Research Projects & Capacity Development Project.....	33
4.2 Participatory Management of Coastal Resources & Community Forestry Research Project.....	37
4.3 Research Capacity Development: Processes and Results .....	40
4.4 Interventions & Results .....	54
5. Performance & Continuity: Results & Prospects .....	56
5.1 Organizational Capacity and Research Competencies.....	56
5.2 Building Cambodian Capacity for Capacity Development.....	61
5.3 International Lessons - Capacity Development in Environment.....	63
5.4 Present State of IDRC Programming .....	64
5.5 Lessons.....	66

5.6 Concluding Observations .....	68
Appendix 1 - Terms of Reference .....	74
Appendix 2 - Case Study Framework .....	82
Appendix 3 – Capabilities Framework.....	84
Appendix 4 - Interviews & Meetings.....	86
Appendix 5 – Report of Feedback Session.....	88
Appendix 6 - Profiles of CBNRM Research Projects in Cambodia .....	91
Appendix 7 - ENRM Grants & Recipient Organizations 1993-2008 .....	96
Appendix 8 – Biography of Case Study Author .....	97

## ACRONYMS

ADB	Asian Development Bank
CARE	Center for American Relief Everywhere
CBCRM	Community-Based Coastal Resource Management
CBNRM	Community-Based Natural Resource Management
CBPAM	Community-Based Protected Areas Management
CDRI	Cambodian Development Resource Institute
CEMP	Cambodia Environmental Management Program
CF	Community Forestry
CFO	Community Forestry Office
CFish	Community Fisheries
CFDO	Community Fisheries Development Office
CFRP	Community Forestry Research Project
CI	Conservation International
CoRR	Coastal Resource Research Network
Danida	Danish International Development Agency
D&D	Decentralization and De-concentration
DoE	Department of Environment
DFID	Department of International Development
DNCP	Department of Nature Conservation and Protection
DoF	Department of Fisheries (later: Fisheries Administration)
DoFW	Department of Forestry and Wildlife (later: Forestry Administration)
EEPSEA	Environment & Economy Program in Southeast Asia
EIA	Environmental Impact Assessment
EIC	Economic Information Center
ENRM	Environment and Natural Resource Management
EPA	Environmental Policy Adviser
FA	Forestry Administration
FiA	Fisheries Administration
FACT	Fisheries Action Coalition Team
FAO	Food and Agricultural Organization of the United Nations
FFI	Flora and Fauna International
GDP	Gross Domestic Product
GO	Government Organization
HBF	Heinrich Boell Foundation
HDI	Human Development Index
IDRC	International Development Research Centre
IFREDI	Inland Fisheries Research and Development Institute
IFSR	Independent Forest Sector Review
IUCN	International Union for the Conservation of Nature
IIRR	International Institute of Rural Reconstruction

LeaRN	Learning and Research Network (Philippines)
LI (CBNRM)	Learning Institute
MAFF	Ministry of Agriculture Forestry and Fisheries
MBA	Master's Degree in Business Administration
MLI	Mekong Learning Initiative
MoE	Ministry of Environment
MOSAIC	Management of Strategic Areas for Integrated Conservation
MPW	Ministry of Public Works
NGO	Non-Governmental Organization
NRM	Natural Resource Management
NTFP	Non-Timber Forest Product
PA	Protected Area
PAR	Participatory Action Research
PACT	NA: US based NGO focusing on capacity building
PLG	Partnership for Local Governance
PLUP	Participatory Land Use Planning
PMCR	Participatory Management of Coastal Resources (earlier: PMMR)
PRA	Participatory Rural Appraisal
RECOFTC	Regional Community Forestry Training Center
RGC	Royal Government of Cambodia
RLNR	Rural Livelihoods and Natural Resources program
RMPR	Resource Management Policy Ratanakiri
RUA	Royal University of Agriculture
RUPP	Royal University of Phnom Penh
SL	Sustainable Livelihoods
UNDP	United Nations Development Program
VIMSED	Vietnam/Indochina/Mekong Sustainable Economic Development Program
WB	World Bank
WCS	Wildlife Conservation Society
WRI	World Resources Institute
WWF	World Wide Fund for Nature

## EXECUTIVE SUMMARY

### *BACKGROUND*

IDRC's Evaluation Unit (EU) is conducting a multi-phase strategic evaluation to investigate the Centre's contributions to the development of capacities of those with whom the Centre works. The evaluation aims to provide IDRC's own staff and managers with an intellectual framework and a useful common language to help harness the concept of capacity development and document the experiences and results the Centre has accumulated in this domain. Specifically, it focuses on the processes and results of IDRC support for the development of capacities of its southern partners: Which capacities have been enhanced? Whose? How? How effectively?

Phase 4 of the strategic evaluation focuses on the elaboration of six organizational case studies intended to help the Centre better understand how it can best plan for, implement, and evaluate support for its partners' capacity development.

### *1. RESEARCH FOR DEVELOPMENT CONTEXT*

Cambodia's emergence from two decades of civil war opened a new era marked by fresh opportunities – but also profound challenges. After the UN-supported elections of 1993 the country's economy grew considerably, poverty began to drop, and some positive outcomes were reported in health and education. There were indications, however, that short term economic growth was achieved at the expense of the natural environment – a trade-off that would ultimately damage the sustainability of the country's natural resource-based economy. Since 80% of Cambodia's 14 million citizens are rural people dependent upon agriculture, moves to ensure sustainability of the resource base would be essential to ensuring their future livelihoods.

One key obstacle to this goal has been Cambodia's political tradition of patronage, wherein economic opportunities are dispensed to the politically connected, and a culture of deference to hierarchy and authority makes public criticism of this patronage system less likely. In the natural resource sector, there was increasing evidence in the 1990s that this system was leading to consolidation of land and resource ownership by the wealthy, with the poor increasingly marginalized. Transparency International ranked Cambodia 162 out of 179 countries in its Corruption Perceptions Index. These conditions make Cambodia one of the most difficult

environments for achieving sustainable and equitable development and management of natural resources. Still, opportunities existed alongside the obstacles. After the 1993 election, reforms to decentralize and de-concentrate political power (by devolving responsibilities to the elected commune councils at the local level, a process that has continued to the present) was seen by the international community as an opportunity to empower those who had been excluded from decision-making and denied an adequate share of the resource base.

There was also a need for reform within the national bureaucracy. With government depleted by years of war and turmoil, Cambodia's environment ministry had little capacity to develop policy frameworks for environmental management. There was also uncertainty over which branches of government had control over specific environmental issues. It became clear, therefore, that fostering sustainable resource management practices locally would require significant institutional development at higher levels. For example, moving away from legislation by decree (which had been the norm) towards policy-making more informed by research would require building research capacity and fostering a *culture of research* within the MoE. There was also a need to resolve rivalries between the MoE and other ministries, such as the Ministry of Agriculture, Forestry, and Fisheries, and to define these various ministries' respective roles.

The level of international involvement and interest in ENRM issues in Cambodia has fluctuated as conditions have changed, both in Cambodia and in the policy environments of donor nations. IDRC's presence in Cambodia dates back to late 1992. Its decision "to concentrate on the environmental and social dimensions of sustainable resource management" fed into a 1993 UN-backed, multilateral effort to define the structure, mandate, and responsibilities of the new State Secretariat for Environment (precursor of the MoE), and to draw up its work plan. During this early phase, IDRC provided an Environmental Policy Advisor to the State Secretariat. Having successfully provided technical support and advice to the MoE, in 1995 IDRC moved into a new phase by taking on a leadership role in the Cambodian Environmental Management Program (CEMP), a partnership between IDRC and a consortium of NGOs that received USAID funding. However, when an armed conflict within Cambodia prompted USAID to withdraw its support for CEMP the program folded despite a successful first year. Since that time, the form and aims of IDRC participation in sustainable development initiatives in Cambodia have varied as the policy landscape and challenges within the country have shifted.

## 2. EXPECTATIONS AND CAPACITY DEVELOPMENT STRATEGIES

As noted above, IDRC's goals between 1993 and 1997 were to build organizational capacity within the MoE (for example, by helping to define a policy and legislative framework, including MoE's organizational mandate, structure, and program of work), and to support the wider institutional development of the Environment and Natural Resources Management (ENRM) sector within Cambodia.

However, changing conditions necessitated a change in IDRC's direction. In addition to the dissolution of CEMP, internal restructuring (including the closure of the Centre's country program office in Cambodia) led to a retooling of IDRC's strategy. The Centre narrowed its focus by moving away from organization-wide capacity development processes within the Ministry and towards specific "participatory action research projects" with a wider universe of ENRM actors. Four such research projects are particularly noteworthy:

- Resource Management Policy in Ratanakiri (RMPR), which was intended to secure the rights of ethnic minorities to their land and resources, and to support the decentralization and de-concentration program;
- Participatory Management of Coastal Resources (PMCR), which sought community-derived solutions to overfishing, destructive fishing methods (e.g. the use of dynamite), and the destruction of mangrove forests in Koh Kong province. (Koh Kong has experienced severe environmental pressures as an outgrowth of substantial migration in the post-conflict period);
- The Community Forestry Research Project (CFRP), which engaged two ministries and a university in developing and testing community forestry approaches;
- A fourth project to support federal and provincial offices created to establish community-based fisheries. The government embraced community fisheries in response to conflicts between large fisheries concessions and communities.

In his report, Veer offers an intensive review of two of the four projects: the coastal resources (PMCR) and community forestry (CFPR) projects. All four projects sprang not just from the importance of addressing sustainable development, but also from the country's need for political reform. In fact, the focus on community-based, participatory projects was made possible by the ongoing process aimed at decentralizing power within Cambodia. Furthermore, in terms of intended results, the involvement of MoE staff in these projects provided a *de facto* training for government officials in methods of sharing power and responsibility for implementation with local communities.



A third phase of IDRC-supported work with ENRM in Cambodia, which began in 2002 and continues to the present, involves networking and greater collaboration between ENRM advisors, leaders, and members of projects that have previously been supported by the Centre. The aim of this phase of work is to build Cambodians' capacity for further capacity development in the field of Community-Based Natural Resource Management (CBNRM). One ongoing, formal expression of this line of work was the establishment, in 2005, of the CBNRM Learning Institute. Two other initiatives established in this period were the Rural Livelihoods and Natural Resources Development Research Program (launched in 2007), and the Cambodia Development Research Forum (2008). These programs are designed to build on the successes and innovations of past projects, while disseminating and promoting best practices countrywide.

### **3. MAJOR FINDINGS**

#### **a) Developing Organizational and Institutional Capacity in the Early Years (1992–97)**

Assessments by key informants and a formal review conducted in 1995 indicate that IDRC's attempts to build organizational capacity within the MoE were successful. The ministry's information-gathering and analytic skills, as well as policy research capacity, grew during this time. Veer concludes that all three dimensions of capacity development – foundations, competencies, and capabilities – outlined by Peter Morgan (2006) were addressed by IDRC support to the MoE, with particular gains being achieved in the sphere of the more technical, or "hard" capabilities. The collaboration was broad-based, including the deployment of a senior policy adviser, contributions to multi-donor initiatives, and development of a functioning legal and organizational framework. IDRC was effective in encouraging capacity building within the Ministry, as other donors followed IDRC's lead in taking a leadership role within the new CEMP.

The creation of CEMP came in response to a realization that a bigger challenge would be to move beyond the development of organizational capabilities within the ministry, towards the creation of effective national level policy and legal frameworks that would enable sustainable development to be implemented on the ground. The MoE designated its "best and brightest" employees to work with CEMP. Despite its short duration, the initiative won praise for its design and implementation – particularly its sense of ownership by Cambodian staff, and for the effective assistance provided by external advisers. The former national coordinator referred to CEMP as "most effective in terms of delivery and impact."

## **b) Development of Research Capacity: Two CBNRM Projects (since 1997)**

Veer's report examines two community-based, participatory research projects in detail: the Participatory Management of Coastal Resources Project (operating from 1997 to the present), and the Community Forestry Research Project (operating from 1999 to 2006). It finds that the two projects followed very similar processes for capacity development, and attributes differences in project outcomes more to differences in project design and scale than to a variance in their approaches to capacity building. For example, CFRP was much more complex, being managed by three national organizations and operating in five research areas. By contrast, PMCR had one research team operating in one area, and was managed only by the MoE. As a result of these different levels of complexity, PMCR (based in one area) was found to have more and "deeper" processes and results relating to research capacity at the community level; while CFRP (with a broader focus) placed greater emphasis on policy development and achieved more in terms of developing facilitation and coaching capabilities.

Both projects used a variety of tools and approaches in seeking to develop capacities. Both were oriented towards "participatory action research," wherein participants were able to "learn from our mistakes." A central part of this process was regular review and analysis – often involving outside advisers, consultants or IDRC program officers – so that lessons could be identified and plans could be adapted for the future. The two projects also made use of a number of "learning events," notably training sessions (e.g. "What is Research?") and study tours. Mentoring was another tool for capacity development. PMCR made greater use of external advisors (who served as mentors) than CFRP. Networks also proved to be useful means of sharing ideas and bringing fresh perspectives into the projects. The presence of more external advisors appears to have contributed to a greater strength in analysis and reporting (e.g. writing studies), among the PMCR than the CFPR.

These activities led to a growth in research capacity, for both projects, in two key areas:

- capacity to conceive, generate and sustain research. The increasing complexity of research in both projects indicates an increased capacity to generate research. Several of the case studies and reports demonstrate team leaders' and team members' increased capacity to promote co-management approaches among other agencies and programs. Degree training abroad was clearly successful in this regard, since project members demonstrated increased abilities to conceive and sustain research after returning from their overseas studies;

- capacity to use research results. One indication of this capacity is both projects' history of successful contributions to workshops (on coastal management and preparation of forest management plans) organized by international agencies.

However, results are mixed on the projects' abilities to influence the formulation of government policy, to a large extent because old ways of arriving at policy decisions have proven resistant to change. A review by R.B. Oberndorf (2005) concludes that, although a lot of legislation dealing with CBNRM had been developed, there were few policy research documents accompanying them. Since research did exist at the time the legislation was drawn up, a likely explanation – one advanced by members of the two project teams – was that the primary force propelling new policies into law remains the personal convictions of the lawmakers. In recognition of this, PMCR built a strategy that centres on personal contact with influential officials. For example, special events have been organized that centre on visits by the Minister of the Environment, senior ministry officials, and others. Despite this approach, there are instances where new legislative initiatives appear to contradict recommendations that arise out of the research. Concerned by this continuing trend, donors have exerted pressure to have new consultative groups formed as an additional means of seeking to expand the influence of research within the policy development process.

### **c) Networking initiatives (2002 - present)**

While community-based projects could be seen as having a narrower focus than previous efforts in institutional capacity building, this was later offset by a new organizational pluralism that came with the emergence of new strategic partners, notably through the CBNRM Learning Institute (LI). The LI provides a means for using the experience of individual projects to widen the availability, accessibility and application of existing knowledge. One example is its case study approach, whereby CBNRM researchers, a number of whom are MoE employees, are lead through a process of analysis and reflection on individual cases – similar to the way many MBA programs are conducted. Another example is the publication of a book documenting the state of CBNRM within the country. Twenty-one of thirty-five of the book's contributing authors reported on IDRC-supported CBNRM initiatives. As noted previously, two other arrangements that have evolved from the community based projects (and which also have a mandate for exchange of knowledge and best practices) are the Natural Resources Development Research Program, and the Cambodia Development Research Forum. In both arrangements, the CBNRM Learning Institute plays a capacity development and coordinating role.

#### **4. LOOKING AHEAD**

An international review conducted by the Organization for Economic Cooperation and Development (OECD) in 2000 found that donor organizations have been less successful in capacity development in environment than in other types of development assistance and that in many countries, supporting the policy-making capacities of ministries of environment can be a challenging enterprise. The study identifies a “limited capacity to build capacity” as the main challenge in this area. Perhaps partly in response to this critique, developing the “capacity to build capacity” (for instance, through the Learning Institute) has been an increasing focus of IDRC-supported work in Cambodia in recent years. For IDRC to continue work in this area requires the active involvement of new strategic partners such as the Learning Institute and the Cambodia Development Resource Institute. Questions that remain, however, are to what extent those partners would perceive organizational capacity development as a priority within their repertoire of development support strategies, and whether the commitment to ongoing civil service reform is strong enough within government to support this program of work.

One niche area that provides significant potential to explore further expansion of organizational capacity development is that of management of protected areas – an endeavour of interest to both the MoE and other key donors that are potential partners of IDRC. For example, the World Bank has developed a participatory approach to management planning of protected areas in one specific area, and proposes to expand that approach to four other areas starting in 2008. So far, neither CFRP nor PMCR staffs have been involved in that initiative. However, it is likely that donors such as the World Bank or UNDP could become interested in contributions from team members from the CFRP or PMCR, or would welcome contributions to their capacity building efforts (in relation to the management of these protected areas), from the Learning Institute or the Cambodia Development Resource Institute. This represents a new opportunity to insert lessons learned from IDRC-supported research into a new and important context.

#### **METHODOLOGY**

This report was prepared by Cor Veer, an independent consultant in rural development and natural resource management, based in Bangkok, Thailand. The objective was to analyse whether and how IDRC assistance contributed to the development of organizational and research capacities within Cambodia’s Ministry of Environment (MoE). While the initial findings of the report were that such impacts did take place, the report also determined that rela-

tionships between MoE and other government agencies and non-governmental organizations were central in Cambodia's efforts to move towards sustainable development. As a result, a broader focus – which included consideration of the capacities of organizations and agencies that worked alongside the MoE – was required, with consequent methodological adjustments. Document reviews and interviews with key informants were essential resources for this report. Additionally, a delay in the release of the report allowed for the organization of a feedback session with many of the interviewees and key informants.

The report's conceptual framework drew from Anne Bernard's distinction between five categories of research capacity, as well as from Bernard's discussion of participatory action research. The report draws on Kirk Talbot's idea that "building a research culture" is key to creating a long-term capacity for problem solving. Peter Morgan's categorization of 'foundational elements,' 'competencies' and 'capabilities' contributing to organizational capacity, were useful in the preparation of this report.

# **1. INTRODUCTION**

## **1.1 BACKGROUND**

Building local research capacity is one of the three strategic objectives of the International Development Research Centre (IDRC). IDRC's Evaluation Unit has initiated a strategic evaluation to better understand how to develop capacities and to understand the results of its efforts in this area. Findings from initial background studies have resulted in a framework for capturing capacity changes, based on analysis of project documents and interviews with IDRC staff and other key informants (Neilson and Lusthaus, 2007).

Complementing these initial studies, six case studies were commissioned to capture the changes in capacity in different situations and to investigate how IDRC has contributed to these changes. IDRC's support for capacity development in Cambodia's Ministry of Environment (MoE) was selected as one of the case studies. It is hoped that findings from the case studies will contribute to IDRC's future programming.

## **1.2 METHODOLOGY**

### ***CASE STUDY FRAMEWORK***

A thematic framework was developed, including sub-topics by theme, data sources and methods derived from the Terms of Reference (Appendix 1) and guided the design and implementation of this case study (see Appendix 2). The five elements investigated are:

- development research context,
- intentions of IDRC and the Ministry of Environment,
- capacity development interventions and outcomes,
- effects on organizational performance and present relationship between the Ministry of Environment and IDRC,
- conclusions and outlook for continuing ENRM capacity development in Cambodia.

The author drew from the Research-into-Use framework (Bernard, 2005) to study MoE research capacity, especially the abilities:

- to conduct research, and manage research activities and organizations,
- to conceive, generate and sustain research with respect to a theme (e.g. ENRM) or country priorities (e.g. Cambodia),
- to apply research outcomes, and

- to mobilize research for policy development and programming.

In addition, Bernard's discussion of participatory action research has been useful in clarifying the nature of investigation in an organization with a mandate in public administration rather than in research. As will be discussed in more detail, the primary focus of this case study is on the "building of a 'research culture' to sustain the process of problem formulation, information collection, analysis and recommendation" (Talbot, 1995).

Another important source of ideas for better understanding organizational capacities has been Peter Morgan's categories of 'foundational elements' (finance, structure, etc.); 'competencies' of individuals; his five collective 'capabilities' (act, perform, relate, adapt and achieve coherence); and his definition of 'capacity' as the overall ability of a system to create value (Morgan 2006).<sup>1</sup> An evaluation of donor support for institutional capacity development in environment (OECD-DAC, 2000) has helped to make sense of the increasing 'institutional pluralism' that is apparent in IDRC's evolving strategy in ENRM in Cambodia.

#### *DATA SOURCES AND METHODS*

The focus of the analysis is on the Ministry of Environment (MoE) and particularly on the changes in organizational capacity that have resulted from two IDRC supported policy research projects. IDRC support in the early 1990s greatly contributed to the development of the Ministry's organizational and institutional capacity and indicated that strengthening the capacity and role of other organizations (e.g. forestry and fisheries agencies) in promoting more sustainable management of environment and natural resources, was very much a part of the Ministry's mandate. This implied that more attention than anticipated was required to assess the capacity development of other organizations, and how the MoE had contributed to their capacity.

The methodological implications for the review of environment programming from the perspective of this increased universe of actors included:

- a) More consultation and analysis of documents from early IDRC engagement in Cambodia and other IDRC-supported ENRM capacity development initiatives.

b) More participation in meetings and workshops in which key organizations and projects in ENRM beyond the MoE and the two originally selected projects in Cambodia were represented.<sup>2</sup>

c) Greater use of selected materials (including interview notes) and findings from the Review of CBNRM Projects in 2005 (Veer, Min and Marschke, 2006), particularly for the other IDRC-supported projects.

d) More interviews with key informants working in other IDRC projects.

e) Fewer interviews with people from the two selected projects than planned, as larger meetings provided some of the information expected from the interviews.

Major findings of the initial draft study were shared in a feedback session with many of the interviewees and key informants in Cambodia in July 2008 (see Appendix 5 for details).

### 1.3 ORGANIZATION OF THE REPORT

A brief description of the development context in **Chapter 2** focuses on governance as the main challenge in sustainable management of natural resources and environment.

**Chapter 3** covers IDRC support to ENRM, focusing on considerable changes in the “how”, “what” and “who” of strategies deployed.

**Chapter 4** analyses two projects aimed at building research capacity in the Ministry of Environment (as well as other organizations). The focus is on processes and results from conducting, managing, conception, application, and use of research.

**Chapter 5** assesses the effects of IDRC capacity-building strategies on MoE’s overall ability to create value in environment and natural resource management. It also describes the current state of IDRC capacity development efforts in the environment sector in Cambodia. The MoE’s role in creating these strategies is described, as are prospects for the Ministry’s capacity in the future. Lessons and concluding remarks complete this chapter and the study as a whole.

---

<sup>1</sup> A summary of Morgan’s capabilities framework and results of its use in Cambodia is included in Appendix 3.

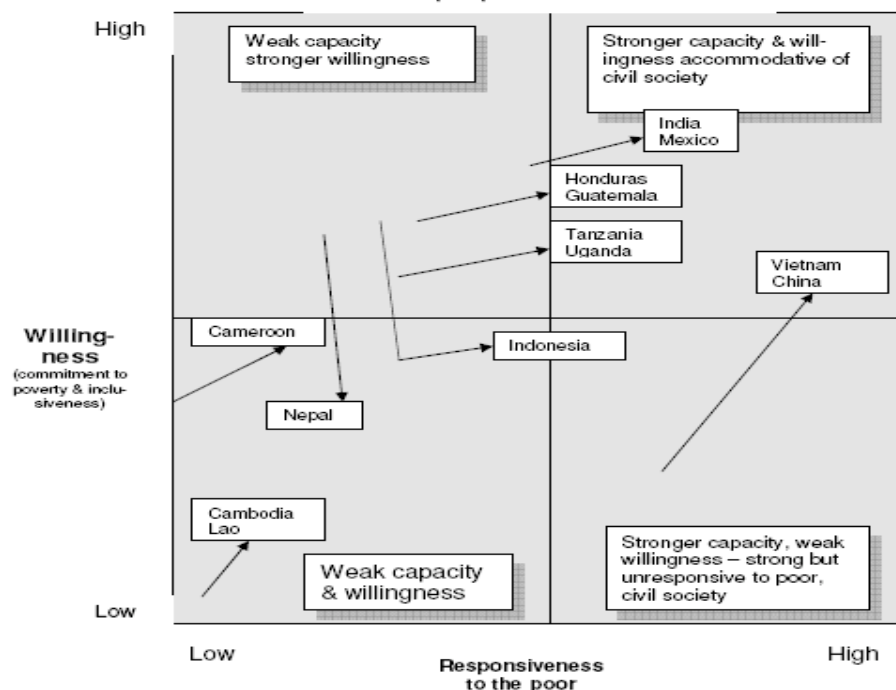
<sup>2</sup> For details of the four multi-partner meetings between July and November 2007, see Appendix 4.



## 2. DEVELOPMENT CONTEXT

Eighty per cent of Cambodia's population of 14 million live in rural areas and depend on agriculture and natural resources (e.g. forests and fish) (SCW, 2006, McKenney, 2002, Turton, 2004). After two decades of civil war, in 1993 Cambodia entered a more peaceful period with the organisation of elections by the UN. Political stability contributed to considerable economic development, accompanied by a modest decline in poverty (over 40% in the early 1990s to 35% today). Other positive developments have been reported in health and education, albeit not in all respects. Primary school enrolment has risen to over 90%, but less than half of the students complete their schooling (Ministry of Planning and UNDP, 2007). Income inequality is growing. There is also concern about the narrow basis of economic development, largely deriving from three sectors: the garment industry, tourism and construction (Murshid and Ballard, 2005).

Figure 1 - Cambodia's Responsiveness to Poverty (Hobley, 2007)



Compared to other countries, Cambodia scores rather low on willingness and capacity to respond to the needs of the poor (Figure 1). The reasons for this low score include: political leadership style, the predominance of patron-client networks, political competition for high-

value resources, and lack of judicial recourse for the poor. In addition, donor policies and strategies have not been very effective in correcting this state of affairs (Hobley, 2007).

Donors provide most of the budget for development planning and implementation, estimated in 2004 to be over US\$500 million per year (EIC, 2004). The most commonly mentioned development challenges in Cambodia refer to a wide range of governance issues, all of which contribute to problems in access to and management of natural resources (see e.g. Murshid and Ballard, 2005; Ear, 2006).

## **2.1 CHALLENGES IN GOVERNANCE & NATURAL RESOURCES**

All levels of Cambodia's political economy are dominated by a patronage system, in which loyalty to a patron is rewarded by granting protection and favours. This phenomenon is reinforced by the respect of hierarchy as a core social value.<sup>3</sup>

Much of the corruption (Cambodia is at position 162 of 179 on the Transparency International scale) is related to this patronage system (Transparency International, 2007). Patronage pervades the political system, including the ruling Cambodia's People's Party, founded during the Vietnamese occupation and liberation from the Khmer Rouge in the 1980s. Natural resource governance (including land tenure) is seen by some as a grey economy (Murshid and Ballard, 2005). For others, it is a systemic rape of natural resources by a "kleptocracy" (Global Witness, 2007). Petty corruption (by lower-ranking bureaucrats) and grand corruption (usually involving high-ranking officials) depend on each other to generate rents, although low-ranking bureaucrats (the clients) receive a much smaller share of the proceeds. Rich businessmen try to build connections with people in the government, providing financial support in exchange for favourable treatment. For land and natural resource management, such arrangements can include ownership rights, though these are not publicly recorded (Pak Kimchoeun, et. al. 2007). Since the judiciary system does not function well, there is little or no recourse to violations of poor people's rights by the powerful (Hobley, 2007).

However, it is not all doom and gloom, as there has been progress. One knowledgeable observer points out that "assessments of Cambodia's economic, social and political performance during the 1990s should bear in mind the difficulties faced by the state in performing even the most basic functions of government in the 1980s" (Hughes, 2004). Also, some of the many institutional reform efforts (e.g. in public finance, public health and education) are having an effect and GDP has continued to grow, leading some to question whether "gov-

ernance really matters as long as performance is there” (Keynote speaker - IDRC All Partner Forum, referring to some government officials’ views). Other opportunities, of particular relevance to sustainable development of environment and natural resources are related to the decentralization and de-concentration reforms undertaken by the government with support from international donors. These reforms are to some extent reflected in legal and administrative reforms in the ENRM sectors (see Oberndorf, 2005).

## **2.2 INSTITUTIONAL DEVELOPMENT IN ENVIRONMENTAL AND NATURAL RESOURCE MANAGEMENT (ENRM)**

*“Cambodia has made significant efforts in building institutions to promote sustainable development. In 1993, the ministry of Environment was established with a broad mandate of promoting environmental protection and conservation of the national natural resources. Cambodia started establishing comprehensive legal, policy, and institutional frameworks aimed at promoting sustainable development ... The new Constitution required the state to ensure a rational use of natural resources and environmental protection. ... (important) legislation, decrees, and sub-decrees have been enacted. Others are under preparation. The 1993 Royal Decree on the Creation of Protected Areas established 23 protected zones with a total area of approximately 18% of the country’s surface area in the kingdom of Cambodia, one of the largest percentages in the region ...” (Prime Minister Hun Sen, 2001)*

According to a major study undertaken by the OECD-DAC, one of the greatest challenges to mainstreaming capacity development into the environment sector can be attributed to the fact that both ‘environment’ and ‘capacity development’ are poorly defined concepts, a fact that makes their fusion even more problematic (OECD-DAC, 2000, p.15). In addition, the multi-sectoral nature of ‘environment’ has thrown up additional challenges for Cambodia’s Ministry of Environment, mandated to establish and maintain effective working relationships with a wide range of relevant agencies and actors. In Cambodia, the MoE must interact with governmental actors responsible for forests, fisheries, water resources, mineral resources, land management, defence, transport, and local government.

In the early 1990s, IDRC’s initial support to the MoE covered the full range of functions and issues in the ‘green, blue and brown’ environment. As will be discussed later, in the late 1990s IDRC focus shifted to green (forests and protected areas) and blue (fisheries) issues. Working in the green sector is particularly complex given that there are “unclear and conflictual relationships between major resource ministries – land, agriculture (including

---

<sup>3</sup> For village level, see Legerwood and Vijghen, 2002; for national level Pak Kimchoeun et al., 2007.

forestry and fisheries) and environment” (IFSR, 2004). Informants interviewed also referred to the lack of, and/or declining influence of the Ministry of Environment.

#### **Functions of the Ministry of the Environment**

- a. Policy development: for sustainable economic development; education and dissemination; EIA; pollution control and related to international agreements;
- b. Implementation functions: PA’s management; environmental quality control; EIA of projects; public participation; legal action; investment promotion in environment; research and implement donor projects;
- c. Management functions: baseline information and information management systems; financial management systems; HRM & D; official document management;
- d. Coordination functions: cooperation with other organizations; national and international project support; expertise in environmental law.

The multiple functions defined in 1997 as the Ministry of Environment’s mandate – policy development in addition to implementation, management and coordination functions - also reflect the importance of collaboration and coordination.

Over the years, the MoE has faced a number of challenges in the implementation of its far-reaching mandate. For example, in the case of coordinating efforts in Protected Area Management, functions are in fact atomized amongst different actors; the MoE’s Department of Nature Conservation and Protection is the nodal agency responsible for biodiversity conservation, while the Forestry Administration within MAFF is responsible for enforcing wildlife protection regulations (World Bank, 2003, 12). In some cases, split jurisdiction is necessary and this has “caused some confusion on roles and responsibilities and has led to institutional rivalries in the past” (World Bank, 2003, p.12).

The confusion arising from overlapping mandates of the various agencies, lead the Independent Forest Sector Review to recommend that rather than developing policy separately for protected and production areas “there should be a single overriding policy and policy process for the forest sector, ideally managed by a single Ministry/agency” (IFSR, 2004, p. 17). While there is presently no clear intention to implement this recommendation, it does constrain some donors from providing support to the MoE in the management of the protected areas. Other actors, particularly some conservation NGOs, have reservations about the recommendation for fear that conservation will lose out to production objectives and/or become part of the grey economy in natural resource management (Lacerda, et al., 2004).

There are also other challenges in the implementation of MoE's mandate, such as the need for donor support. According to the World Bank:

*"One of the biggest impediments to successful management of a national system of Protected Areas is the fact that the MoE is essentially bankrupt and does not have sufficient funding to carry out its mandated functions. Securing sustainable financing for the country's PA system will remain a major problem. Virtually all operational budgets for PA work in the MoE come from external donors in the form of grants and loans" (World Bank, 2003, p.12).*

Despite these challenges, there are important institutional reform initiatives that represent opportunities for the Ministry of Environment. Specifically, the nation's decentralization and de-concentration policy purports to give more power and authority to local levels of government. While the elected commune councils are the lowest level of government, they are envisaged to become the main actors in local (rural) development. Commune development plans are developed and implemented by these councils, with technical assistance from the provincial and local units of central government agencies. ENRM is mentioned as one of the legally mandated functions of the commune council.

#### **Communes in Cambodia**

Cambodia is organised into 20 provinces, 4 municipalities and 1,621 communes, of which 1510 are rural communes. In 1998, there were an average 8000 persons per commune.

Duties of commune councils are legally defined as:

- Maintain security and public order.
- Arrange necessary public services and be responsible for the good process of these affairs.
- Encourage the creation of contentment and well being of the citizens
- *Promote social and economic development and upgrade the living standards of the citizens.*
- *Protect and conserve the environment, natural resources and national cultural heritage.*
- Reconcile concepts of citizens to have mutual understanding and tolerance.
- Perform general affairs to meet the needs of citizens

*Source: Blunt and Turner, 2005, and NEC, 2007 (emphasis added by author).*

The potential of natural resources to contribute to local empowerment may be illustrated by the educated guess mentioned by the Independent Forest Sector Review that an 'average commune', with 5000 ha of forest in good condition, could earn US\$250,000 per year from sustainable forest management, if they were given necessary permissions and technical support (IFSR, 2004). This amount would far surpass what commune development funds presently receive. Unfortunately, the reluctance to realize such opportunities highlight the many historical, cultural, institutional and governance constraints to decentralization in Cambodia

(Blunt and Turner, 2005). Despite constraints, there are also serious efforts to assist commune councils in making a positive difference to the lives of the majority of Cambodians (Danida - DfID, 2006). For example, there exists an effective multi-donor support program with reforms being lead by the influential Ministry of Interior.

Over the years, all the MoE functions have been addressed at all levels (national, provincial, commune and village). One of the most important effects from IDRC-supported ENRM projects is the development and promotion of 'mainstreaming ENRM' into the commune development planning process.

## **2.3 IMPLICATIONS FOR CAPACITY DEVELOPMENT**

As this contextual analysis illustrates, there are many good reasons to focus on environment and natural resource management in Cambodia. The main justification would seem to be the opportunity natural resources provide for contributing to improving the livelihoods of many rural Cambodians. Access to land and natural resources continues to be increasingly contested, with evidence that the better off and better connected are winning and the poor majority is losing. In addition, many of the problems in environment and natural resource management (ENRM) in Cambodia are related to weaknesses in the wider political and governance system. For this reason, capacity development in ENRM will need to be linked to governance reform initiatives, supported by national political will and underwritten by international resources. There are many agencies and organizations involved in ENRM, in addition to the MoE. The capacity of the MoE to coordinate and collaborate with them, as well as the appropriateness of other entry points and actors for ENRM development will need to be considered.

### 3. INTENTIONS: EVOLUTION OF IDRC SUPPORT

*“The key underlying principles of the Capacity Development in Environment concept are that it integrates environment and development concerns at all levels, aims to strengthen institutional pluralism, belongs to, and is driven by, the community in which it is based and involves a variety of management techniques, analytical tools, incentives and organizational structures in order to achieve a given policy objective” (OECD-DAC, 2000).*

#### 3.1 INTENTS AND GRANTS

IDRC’s focus in Cambodia in the early 1990s was to “concentrate on the environmental and social dimensions of sustainable resource management” (IDRC - Countries in Transition Study, 2005). The justification of this intent was articulated in terms of the overwhelming agricultural base of the Cambodian economy, the grave risks that extreme poverty posed to the environment, the need for rapid economic growth, and the Agenda 21 focus of IDRC programming. While development initiatives in other areas were also supported, 75% of IDRC’s funding in Cambodia was allocated to Environment and Natural Resource Management. Predominant amongst the non-ENRM activities has been the support to a Cambodian research forum in the late 1990s, and later support for ICT (Information and Communication Technologies) development.

#### **Cambodia's Institutional Landscape**

“There was complete uncertainty as to what the overall institutional landscape was, especially with respect to how institutions were developing in Cambodia. This was due to a large extent to the genuine political and institutional instability and rapid change occurring in the country.”  
(IDRC - Countries in Transition Study, 2005)

Some informants in the IDRC Countries in Transition Study contested the justification for the focus on ENRM and indicated that preferences of IDRC Cambodia staff influenced the ENRM focus. Other questions were raised regarding the best entry point for development in ENRM. This uncertainty led to different assessments of the choice of the Ministry of Environment as the main focus of IDRC’s development support and was characterized by some as “a strategic mistake of situating the program focus inside the Ministry of Environment as opposed to the Ministry of Agriculture, Forestry and Fisheries, where control over natural resources resided” (Ibid). Others see greater MoE interest and aptitude for participatory re-

search. IDRC has supported a number of organisations through its ENRM focused activities. Until recently, the Ministry of Environment played a key role in most of these projects.

Between 1993 and 2008 about half of the grants were received and managed by the Ministry of Environment. The Ministry of Agriculture, Forests and Fisheries acted as grant recipient in about 20% of the grants, with WWF/LI accounting for another 20% and UNDP accounting for 10% of the 30 remaining grants of varying sizes (see Appendix 7 - ENRM Grants & Recipient Organizations 1993-2008).

**Figure 2 - ENRM Grant Recipients: Shares of MoE and Others**

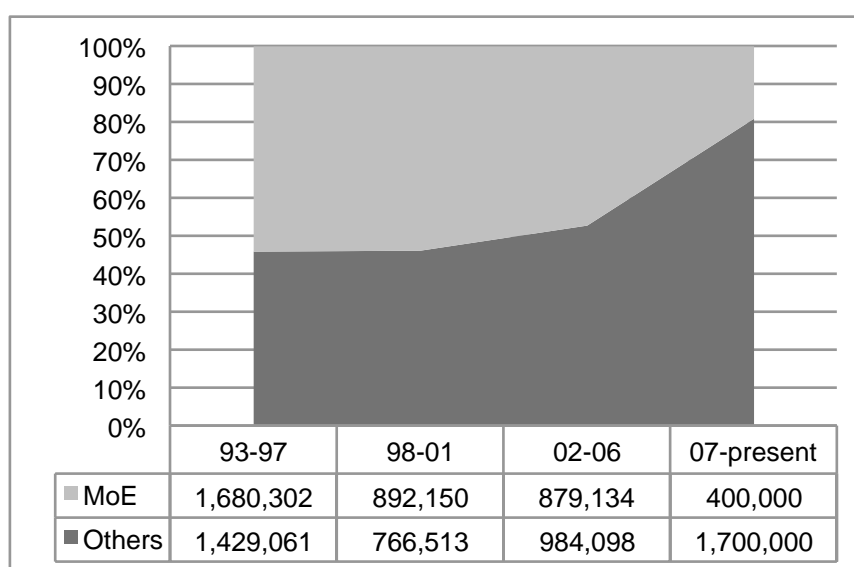


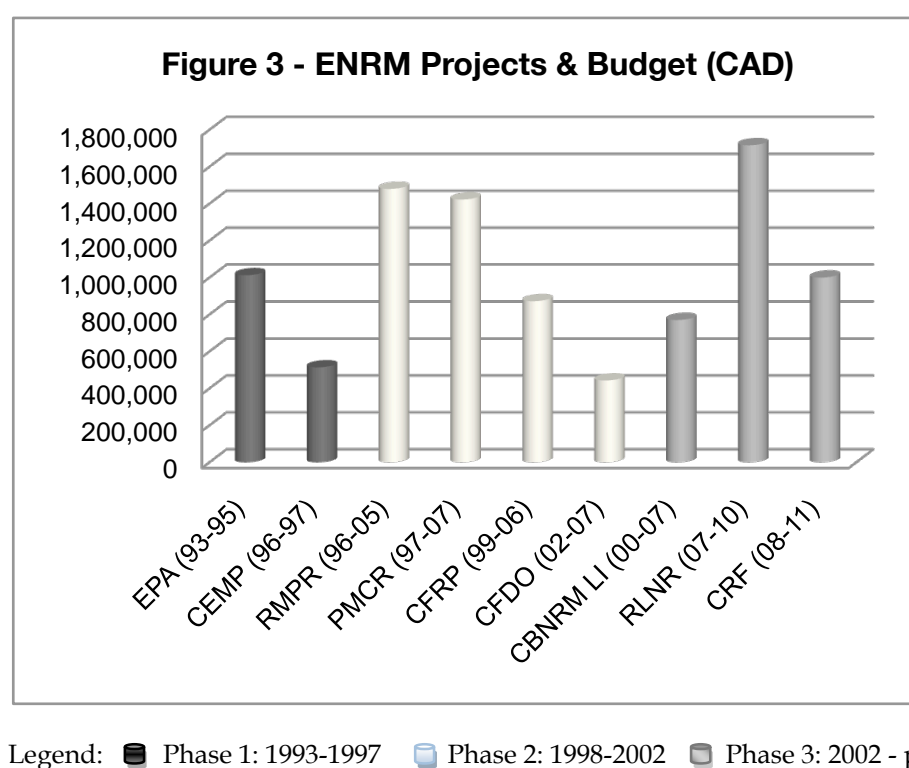
Figure 2 illustrates a 50-50 distribution of grants managed by the MoE and other organizations and applies not only to a number of grants, but also to their financial value. Until 2006, the Ministry of Environment managed about 50% of IDRC ENRM grants to Cambodia.

Data on recipients and funding levels (Appendix 7) offer an overall understanding of both the constants and changes in IDRC's programming strategy in ENRM in Cambodia. Participatory development and policy research projects have been the constant element in IDRC's support strategy. The main changes have been related to other strategic elements. During the first five years of IDRC support, the MoE's organizational and program development were addressed through specific activities and resources, in some cases in collaboration with other donors. After 1997, when some donors revised their policies, the focus of IDRC activities in ENRM remained on the 'programming constant', i.e., participatory research projects.



This was accompanied by a more deliberate focus on community-based environment and natural resource management (CBNRM). Building on the experiences and capacity developed in CBNRM projects, new arrangements for sharing and learning evolved after 2000, leading to a greater emphasis on networking and enabling the development of a more collaborative and programmatic approach involving a range of relevant organizations.

Figure 3 illustrates the evolution of IDRC's ENRM programming with support to nine main projects (30 grants). In addition, there were a number of regional or international IDRC projects and programs in ENRM (covered later in this report).



### 3.2 PROJECTS AND STRATEGIES

Considering the nine projects as the main elements in an overall strategy for IDRC support to ENRM development in Cambodia, three phases in IDRC's strategy are apparent:

Phase 1, 1993-97: **MoE organizational & ENRM institutional** development, five key strategic elements:

- i) Organizational development of the Ministry of Environment;

- ii) Policy research (including development of research capacity), to support development of a policy/legislative framework;
- iii) Provision of technical expertise/role models for mid-level MoE staff;
- iv) A broad-based program addressing a wide range of ENRM issues; and
- v) Donor coordination and collaboration.

*Main projects:* Environmental Policy Advise(r) (EPA) and Cambodia Environmental Management Program (CEMP).

Phase 2, 1998-2002: **CBNRM participatory/policy research and development projects**, with project-based support and capacity development in four key aspects of ENRM:

- i) Indigenous land and resource rights; local government role securing rights;
- ii) Arresting and reversing degradation of coastal resources through development of co-management arrangements with migrants, residents and local government;
- iii) Strengthening community forestry approaches, legal arrangements and capacities in three key agencies;
- iv) Strengthening community fisheries approaches and capacities in one nodal agency.

*Main Projects:* Two participatory research and local capacity-building projects: Resource Management Policy in Ratanakiri (RMPPR), and Participatory Management of Coastal Resources (PMCR); and two national capacity building and participatory research projects: Community Forestry Research Project (CFRP) and Community Fisheries Development Office (CFDO).

Phase 3, 2002 - present: **Building Cambodian Capacity for Capacity Development in CBNRM.** Increasing collaboration among advisers, leaders and members from the four IDRC-supported projects lead to a capacity building project to complement and/or replace capacity development initiatives provided through international arrangements and advisers. In 2002, IDRC supported a scoping exercise to explore capacity building through case studies. This was followed by training and the implementation of further case studies of innovations in ENRM development, in addition to a range of other networking activities. A group of MoE staff and advisers involved in the IDRC-supported projects formed the core of the CBNRM Case Study Initiative and related network activities. The case study initiative was institutionalized in 2005 with the formation of the CBNRM Learning Institute.

In 2007, new plans for CBNRM research projects were designed based on a common programmatic framework. The focus was on enhancing rural livelihoods through natural resource management, with a shared research capacity development program, based in the CBNRM Learning Institute: the Rural Livelihoods and Natural Resources Development Re-

search Program (RLNR). In 2008, a development research program was added, comprising 23 projects and organizations, supported by the CBNRM Learning Institute and the Cambodia Development Resource Institute: the Cambodia Development Research Forum.

*Main projects:* Case Studies and Networking Initiative, leading to the CBNRM Learning Institute, the Rural Livelihoods and Natural Resources Development Research Program and the Cambodia Development Research Forum.

These shifts in IDRC's overall strategy are also reflected in different approaches to organizational development with the Ministry of Environment and with different outcomes. This chapter will discuss the first of these strategies (Phase 1 of IDRC support which had the clearest approach and focus on MoE organizational development). Chapter 4 examines the processes and results in the development of research and organizational capacities, with a focus on two research projects managed by MoE under Phase 2 (PMCR and CFRP). Chapter 5 explores the effects of the strategies employed in all three phases.

### **3.3 ENRM INSTITUTIONAL & MOE ORGANIZATIONAL DEVELOPMENT: 1992-97**

IDRC began to work in Cambodia in late 1992, when a national workshop on environment and integrated pest management was organized, in collaboration with the Food and Agriculture Organization (FAO) and the International Rice Research Institute (IRRI). The consultant hired to coordinate the workshop was later seconded to the Wildlife Protection Office of the Ministry of Agriculture, the most environmentally oriented government agency at the time. In May of 1993, the State Secretariat for Environment (the precursor to MoE) was formed. IDRC agreed to assign the environmental consultant to this new agency, coinciding with the start-up of the second phase of the Environmental Policy Advisor (EPA) program.

The EPA's mission was to help the State Secretariat for Environment to meet its critical organizational needs. It was to assist in defining the new agency's structure, determining its overall mandate and responsibilities, and devising its first organizational work plan. Coordinating with international donors was key. The Environmental Policy Advisor was also charged with developing IDRC's environmental program in Cambodia. This was envisaged as a series of strategic, project-level activities, focused on building capacity to carry out policy-oriented research (Talbot, 1995). The challenges facing the State Secretariat and the Environmental Policy Adviser in the early 1990s were considerable, including low government capacity to develop a policy or institutional framework for natural resource and environmental management. The Secretariat's lack of experience in inter-ministerial collabor-

ation and the paucity of relevant information for policy-making also needed to be addressed.

A further challenge was the need to bolster government research culture to sustain the process of problem formulation, information collection, analysis and issuing of recommendations. This challenge has traditionally been greater in Cambodia because of the tendency to deal with environmental or resource management problems through legislation or decrees, without a basis in a clear policy framework.

IDRC tried to support the MoE to meet these challenges in three strategic ways:

- Providing substance to an evolving policy framework by linking the policy-making process to lessons learned from the field, through operational projects designed as “scoping” research linked to specific components of the MoE mandate. It was anticipated that project-level activities would also build research and technical capacities within the Ministry;
- Structuring of a mixed bag or broad-based program that simultaneously addressed a wide range of issues associated with the development of an environmental policy and management framework;
- Making external expertise available to the Ministry staff on a daily basis over the long term with a view to addressing the MoE’s relatively low absorptive capacity. External advisors (often relatively junior personnel, e.g. graduate students) functioned as team leaders and role models for mid-level MoE staff.

An assessment of the IDRC environmental program in 1995, found that considerable progress was made in the organizational development of the new Ministry of Environment, and that the program had been quite effective in the development of information gathering and analytic skills, as well as policy research capacities within the Ministry. However, it was also noted in the assessment report, that:

*“It is one thing to begin to develop information management systems, institutional capacities, and a technical training program. It is a much more difficult task to establish the foundations on which an effective national-level policy and legal framework can be devised. It is only over the next two to three years that real success for this program can be realized. While there is a positive foundation to build on, the greater challenge lies ahead” (Talbot, 1995).*

Success in meeting these challenges was thought to depend on improved collaboration with other key donors in the environment and natural resources management sector, including USAID and UNDP, the two major international agencies committed to large levels of financial assistance for environmental policy and research at that time.

Based on the program’s achievements, the experience that it had accumulated, and the mutual respect fostered between the MoE and IDRC program staff, it was recommended that

IDRC continue to play a leadership role in the environmental policy arena in Cambodia (Talbot, 1995). Donors such as the Asian Development Bank also recognized early IDRC leadership in the environment sector:

#### **ADB's View of IDRC EPA**

“The International Development Research Centre (IDRC) has provided a long-term adviser on environmental policy and has established an office at the Environment Secretariat, which serves as an effective focal point for aid coordination on the environment. The IDRC environmental assistance includes a commitment to provide long-term advisory assistance on environmental policy and legislation. IDRC has also taken the lead in aid coordination for environmental assistance and provides routine advice to the Secretary of Environment on liaison and coordination matters, both national and international”. (ADB, 1994)

In 1996, IDRC's leadership role was reflected in the creation of the Cambodia Environmental Management Program (CEMP), a multi-agency collaborative effort to support the development of MoE involving USAID funded NGOs and IDRC. In this long-term effort to develop the Ministry's organization, policy and programs, international partners addressed major parts of the MoE's mandate, with each of the development partners taking responsibility for a component under a programmatic and management framework. The IDRC-supported Environmental Policy Advisor managed the Cambodia Environmental Management Programme (CEMP) until he had to leave Cambodia for personal reasons.

The MoE agreed to designate the 'best and brightest' of its staff to work with CEMP. CEMP began in early 1996 and was terminated prematurely in August 1997, after an armed conflict between the followers of Cambodia's two prime ministers. Despite its short duration (the program operated for about one year), a number of key informants interviewed expressed much praise for CEMP's design and implementation. The former national coordinator referred to it as “most effective in terms of delivery and impact” (Interview). The deliberate strategy to foster program ownership by Cambodian Ministry staff was praised, with the external advisers providing effective assistance to their counterparts (Interview - former CEMP program staff). In the IDRC supported CBNRM component of CEMP, much attention was paid to the development of two community forestry units (in MoE and DFW/MAFF respectively), and the 'building of a constituency' for community participation in environmental management. IDRC also supported a community forestry network with participation from the Department of Forestry and Wildlife, a community forestry training team, and activities in participatory land use planning.

In reaction to the political events of July 1997, USAID terminated its contribution to CEMP, ending joint donor support for MoE institutional and organizational development. For IDRC, the turbulence created by the unexpected termination of CEMP had been preceded by more internal turbulence related to changes in its mode of program planning and delivery. In 1994, in response to internal policy changes in IDRC, recognition of the strategic importance of Cambodia, and the opportunity to make a difference before other donors became involved, the Centre set up a country program office. It was expected that revenues from other donors could be more easily leveraged through this office. However, the IDRC country program office and the Cambodia Environmental Management Program (CEMP) were both terminated in 1997. One reason was the lack of resources raised from other donors (Countries in Transition Study, 2005).

### **3.4 LESSONS FROM ORGANIZATIONAL AND INSTITUTIONAL DEVELOPMENT DURING THE EARLY YEARS OF IDRC SUPPORT**

Findings from an evaluation report (Talbot, 1995) and key informants involved in the first phase of IDRC engagement in Cambodia indicate a high degree of efficacy in the initial capacity development support to the Ministry of Environment. This efficacy is also evident in the recognition from other donors (i.e. USAID) of IDRC's initial leadership in CEMP.

Some of the reasons for IDRC's success in this early phase include:

**1. Recognition that building organizational capacity requires different resources and approaches from building research capacity.** The senior policy adviser and his acceptance as a mentor to the head of the organization (initially the secretary of state, later to become the minister) played a key organizational development role (Interview - former program leader). In addition, the political support to environmental issues (from the then second Prime Minister), coordination with other donors, and support to the development and management of other program components (such as the research projects) was facilitated by the existence of the IDRC country program headed by a well-connected senior program officer.

**2. Context, timing and nature of the development challenge matter.** In the optimism generated by the effects of Cambodia's peace dividend in the early nineties (Hughes, 2004), there was considerable commitment amongst both donors and government personnel to meet new challenges such as the development of a new public agency for environment and sustainable development. As IDRC was one of the first 'donor agencies' to become involved in the development of this public agency, its legitimacy in capacity development in environment was considerable, and this formed a strong basis for its role in supporting organizational, network and policy development as well its participation in donor coordination initiatives.

Unfortunately, the general climate of optimism and commitment of the early nineties was weakened by the clash between the two main political parties in 1997, and the manner in

which one of the parties had secured victory. Some observers believe that this may also have contributed to a decrease in government commitment to environment and sustainable development (Hughes, 2004). Changes in the political environment were matched by changes in IDRC organizational arrangements: the unexpected departure of the Environmental Policy Adviser, the closing of the Cambodia Country office, and the emergence of the CBNRM Program Initiative. The effect of these changes on IDRC's capacity-building strategy in environment was a shift in focus from the organizational and program development approach to the building of research capacities through participatory research projects and projects, from 1997 onwards.

## **4. CAPACITY DEVELOPMENT THROUGH RESEARCH PROJECTS**

### **4.1 CBNRM RESEARCH PROJECTS & CAPACITY DEVELOPMENT PROJECT**

By 1997, considerable progress had been made in laying the organizational foundations (structure, mandate and work plan) of the Ministry of Environment. In 1996, key pieces of environmental legislation had been drafted and passed (see also World Bank, 2003). The emphasis during CEMP had shifted towards implementation of a broad-based program underpinned by the organizational and institutional arrangements that had been put in place. With the sudden withdrawal of USAID (affecting four of the CEMP program partners), IDRC program officers had to adjust their programming strategy. In view of the widespread concern amongst donors about the political situation in Cambodia, multi-donor, broad-based environmental program development would need to be replaced by a strategy in which there would be less dependence on other donors.

Two IDRC ENRM policy research projects were operating in 1997: the Resource Management Policy in Ratanakiri (RMPR) Project and the Participatory Management of Coastal Resources Project (PMCR) in Koh Kong province. Both began as part of the wider EPA/CEMP approach to provide substance to an evolving policy framework by linking the policy-making process to lessons learned from the building of field-level research skills and technical capacities within the Ministry. These two projects marked the beginning of a new approach to supporting capacities in ENRM in Cambodia.

#### ***Resource Management Policy in Ratanakiri (RMPR) Project***

The Resource Management Policy in Ratanakiri project attempted to investigate and develop ways to secure the rights of ethnic minorities to their land and natural resources. These were under increasing pressure from development initiatives by people from other parts of Cambodia (Bann, 1997a). The provincial government (including the Provincial Department of Environment) was the main partner in this project. In 1996, IDRC and UNDP jointly formulated RMPR Phase I.

ENRM action research, supported by IDRC, became part of UNDP's support to strengthen local government at the provincial and commune level. The development of commune development planning processes, in which land tenure and ENRM issues would be addressed, was one of the main components of the RMPR project (John, 2005). The process developed in Ratanakiri was taken by UNDP as the basis for its country-wide "mainstreaming of ENRM into decentralization" support program (Nhem, 2005 and for an



assessment of RMPR: Kinakin, 2005).<sup>4</sup> Ratanakiri is the province in the Northeastern high-land edge of Cambodia (bordering Laos and Vietnam); Koh Kong province is its geographical opposite on the Southwestern edge of Cambodia bordering the sea and Thailand.

### *Participatory Management of Coastal Resources (PMCR) Project*

The Ministry of Environment manages PMCR, a project that began in 1997 and continues today. As in Ratanakiri,<sup>5</sup> the focus of research is on local resources, management practices, and institutional arrangements. The project centres on options for improved management and governance with local groups and government agencies. Experiments with new institutional arrangements and management practices have also been supported. PMCR is one of two projects explored in more depth for this case study; details are presented below.

### *Community Forestry Research Projects (CFRP)*

In the aftermath of the withdrawal of the CEMP partners, the CEMP adviser for community forestry together with colleagues from the Community Forestry Unit of the MoE, were requested by IDRC to prepare a policy options study, so as to assist in the design of strategies building on some of the achievements of CEMP. The outcome of this study was the start-up of a new project in which the two community forestry units, one under the Ministry of Environment and the other under the Ministry of Agriculture, Forestry and Fisheries, would collaborate in the testing and development of community forestry approaches. The idea was to provide the empirical basis for new legislation that was announced or expected in response to the increasingly contested granting of commercial forestry concessions. The study also recommended involving the Faculty of Forestry of the Royal University of Agriculture, to provide opportunities to staff and student to develop their research capacity and curriculum to train future foresters.

Thus in 1999, a third CBNRM project was designed, building on the experiences and arrangements developed under CEMP: the Community Forestry Research Project (CFRP). The Ministry of Environment, in collaboration with the Forestry Administration and the Faculty of Forestry, managed the Community Forestry Research Project (CFRP). One major difference between this project and the two earlier projects (RMPR and PMCR) was the greater focus on collaboration and sharing between three national level organizations (Ministries of

34 34

34

<sup>4</sup> See also Suzuki (2005) for a critical assessment of the outcomes of the decentralization program in Ratanakiri.

Environment and Agriculture, as well as the University of Agriculture). Another difference was its emphasis on a sector concern (forestry) whereas the other two projects focused on a range of aspects in environment and natural resources management.

### *Community Fisheries Development Office (CFDO)*

In 2002, a drastic and unexpected change in fisheries policies resulted in a fourth project. While visiting the Tonle Sap area in 2000, the Prime Minister was informed of the conflicts between large fisheries concessions and local communities.<sup>6</sup> He announced that the 'fishing lot' system was to be reformed and that a policy of community fisheries' development would be developed. The Department of Fisheries created a Community Fisheries Development Office at the national level, and Community Fisheries Development Units in the provinces. These offices were staffed by people previously involved in commercial fisheries, including many who were fishery inspectors and informal revenue collectors.

Given IDRC/MoE's successful work in community fisheries in Koh Kong province (through PMCR), and the relationships it had built with other like-minded community fisheries initiatives (Chiy, 2002 and Evans, 2004) this looked like a strategic opportunity to institutionalize its project work. The chief of the Community Fisheries Development Office (CFDO) was interested in the capacity-building assistance IDRC could provide to develop a strategic plan, program and organization. It was thought that these measures would enable him to manage the flood of projects that were being offered by many donors. The resulting IDRC project was managed by the Department of Fisheries (forerunner of the Fisheries Administration) of the Ministry of Agriculture, Forestry and Fisheries. The project focused on capacity development in program planning and implementation, rather than on development research, with an increasingly important role for the CBNRM Learning Institute to provide and coordinate capacity development support (Ly, 2006).

---

<sup>5</sup> An influx of migrants to this province, in search of better opportunities, turned mangrove forests into charcoal (Bann, 1997b), and participated in over-fishing and destructive fishing practices.

<sup>6</sup> In 2001, over 50% of all commercial large-scale fishing lots (concessions) were abolished. This resulted in a rush to fish in the areas to which open access had been provided, leading to more conflicts and less fish (Ratner, 2006).

### *Case Study Initiative – Learning Institute (CBNRM LI)*

In 2001, a fifth CBNRM project evolved building on the capacity development experiences accumulated through the four projects described earlier. This initiative was based on one of the more successful research capacity building strategies that IDRC had piloted in Cambodia, namely a case study approach in which groups of CBNRM researchers were taken through a process of reflection, analysis and documentation, akin to the approach that has been pursued in many MBA programs. One source of inspiration for this approach was the Dalhousie University-managed Coastal Resources Research (CoRR) network introducing the approach through the above-mentioned PMCR (Participatory Management of Coastal Resources) project and its two advisers. The regional LeaRN (Learning and Research Networking) initiative evolving out of CoRR further applied and developed the approach with its partners in the region. PMCR advisers developed an active interest in this effort, and further refined and adapted the approach first in other areas of Cambodia and later in a regional training course offered by the Regional Community Forestry Training Centre, with the advisor(s) in the role of lead trainer.

One of the PMCR advisors also perceived this approach as a good basis for the further development of research capacities and networking activities amongst CBNRM practitioners working in a wide range of organizations in Cambodia. To access this range of actors and experiences and provide a neutral ground for bringing both GO and NGO practitioners together, WWF (one of the former partners in the CEMP) offered to host the initiative and IDRC provided funding support. These networking efforts culminated in a publication documenting the state of community-based natural resource management in Cambodia. Twenty-one of 35 contributing authors reported on IDRC-supported CBNRM initiatives and 14 of the 20 chapters of the collection were based on IDRC-supported projects and initiatives (CBNRM LI, 2005). It appears that this networking approach represents a successful effort to implement the recommendation made in the 1995 assessment that “IDRC should consider what kinds of approaches and groundwork should be initiated to begin to build viable bridges between the public and private sector (including the rapidly developing business community) in information sharing, policy research, and project execution” (Talbott, 1995).

Though the core of this community of CBNRM practitioners consisted of people affiliated with IDRC initiatives, many others were involved in different networking and collaborative activities focusing on more specific issues or resources. The perceived need for and apparent initial success in providing a range of support activities to sustain these networks and com-

munities of practice was one of the underlying motivations for forming the CBNRM Learning Institute in 2005.

### *Changes in Strategy*

As compared to the earlier phase in IDRC support to Cambodia, IDRC's post-1997 capacity support became more focused both in terms of the 'what' and in terms of the 'how'. The focus of the 'what' had moved from environmental management and natural resources (including environmental impact assessment, urban waste management, environmental database development, etc.) to management of natural resources by rural communities, (including land, forests and protected areas, and aquatic resources).

In terms of the 'how', 'participatory' or 'action- research' became the predominant mode and earlier IDRC support/facilities to organizational development and policy advice were ended or taken up by other donors (e.g. UNDP) after the collapse of the multi donor Cambodia Environmental Management Program (CEMP). Though the 'specialization' could be interpreted as reduction in effectiveness of supporting the MoE in implementing its mandate, the MoE's development priorities for 2002-04 indicate that the five IDRC projects operating at the time did address five of the MoE's six objectives. Additional policy research support was provided by EEPSEA in the one subject area that most ENRM projects (with the exception of PMCR) did not address: 'urban pollution' (see Muong, 2004 and Muong, 2006).

In addition, IDRC's emphasis on capacity development in participatory approaches to research appears to be entirely in line with the government's stated priorities:

*"A high priority of the RGC is to strengthen the capacity of MoE to plan and implement policies and projects, monitor, enforce, and strengthen compliance according to existing environmental legislation. The MoE will be promoting public participation in environmental protection and natural resources management so that people are able to provide information and to participate in the decision-making process concerning the environment." (CDC-CRDB, 2002)*

The 'specialization' (what and how) was complemented by a greater degree of 'organizational pluralism' for IDRC's strategic partners (grant recipients and project managers).

## **4.2 PARTICIPATORY MANAGEMENT OF COASTAL RESOURCES & COMMUNITY FORESTRY RESEARCH PROJECT**

Coming back to the focus of this case study – the organizational development of the Ministry of Environment – we now return to an in-depth discussion of two IDRC-supported pro-

jects focused on building MoE capacity: Participatory Management of Coastal Resources Project (PMCR) and Community Forestry Research Project (CFRP).

### ***STATED PROJECT OBJECTIVES***

Objectives of both projects refer to local resource management and capacity building. Some differences in emphasis may also be inferred from the way the objectives were phrased. Systematic attention was paid to livelihoods research in PMCR. In the case of CFRP, the intentions leaned toward influencing policy development. Common elements in both projects included development and testing participatory planning and management approaches, organizational capacity building, and the promotion of community participation in ENRM.

#### **CFRP Objectives**

- understanding how to build local natural resource management & governance;
- use of research results to influence or even change policy;
- (inter-) organizational learning & capacity development (local & other organizations) (*Gonsalves, 2005*).

### ***PROJECT DESIGNS***

The main differences between the projects are more clearly expressed in other design elements such as the size and composition of project teams, organizational arrangements, development research frameworks and approaches the nature and intensity of external advice offered and the overall the duration of each project.

#### ***PROJECT TEAMS: SIZE AND COMPOSITION***

In PMCR, a relatively small team of eight researchers (four based in MoE Phnom Penh and 4 in Koh Kong Provincial Government) planned and implemented the project, mostly on a full-time basis. All national team members were from the MoE, with provincial team members drawn from different agencies (Provincial Department of Environment; Department of Fisheries; Department of Women Affairs; Department of Rural Development). In contrast, the Community Forestry Research Project (CFRP) was more complex. It included five research teams, working in five different areas, with five different sets of partner organizations (GO and/or NGO). National project members came from the Ministry of Environment (MoE), the Department of Forestry and Wildlife (DFW), <sup>7</sup> and the Faculty of Forestry of the

Royal University of Agriculture (RAU). In 2003, CFRP's national-level project members totalled twenty (seven MoE; seven FA; six RUA) with six provincial members and additional participation in local project activities from local NGO personnel. The greater organizational complexity of CFRP was also expressed in its steering committee, management committee and executive committee, all with different representatives from the three organizations.

### **RESEARCH AREA AND FOCUS**

PMCR focused on one research area in one province (with one provincial government and other local authorities), and considered a range of natural resources (fish and other aquatic resources, forest, waste management and their interactions) whereas CFRP worked in five areas, with five different local NGOs and five different sets of local authorities, with a narrower focus on forest resources.

#### **PMCR Objectives**

- development of participatory planning and management approaches
- local organizational development
- development of livelihood options
- promotion of participation of communities in ENRM
- capacity building of research team, local people and relevant organizations. *(Kim, 2004)*

### **DEVELOPMENT RESEARCH FRAMEWORK AND APPROACH**

Both projects referred to participatory/action research as their overall approach. In PMCR there was more research to identify and analyze key issues and develop effective solutions with stakeholders in the area. In CFRP, there was 'less research' in the sense described above. The focus was more on developing and testing an operational model for participatory planning of community-based forest management under diverse conditions. At the time there seemed to be a political window of opportunity for legal recognition of community-based approaches in forest policy, hence the urgency for a tried and tested model.

### **TECHNICAL ADVICE**

There was also an inverse relationship between the complexity of the project designs and the intensity of technical advice available. A part-time adviser, focusing on assistance in capacity building, project management and coordination between the various organizations,

---

<sup>7</sup> Later known as the Forestry Administration (FA) of the Ministry of Agriculture, Forestry and Fisheries (MAFF)

and less on research advice, supported the more complex CFRP. The simpler PMCR was supported by a full-time project adviser (concentrating on research and networking), as well as international and regional part-time advisors (focusing on research). Another important difference is that in CFRP local organizations contributed to much of the fieldwork. Members of these organizations were less intensively involved in the planning and review of activities. In PMCR, all field activities were planned and implemented by team members.

### ***PROJECT DURATION***

PMCR lasted much longer than CFRP. PMCR started in 1997 and is presently still continuing in its fourth phase and as a component of the wider Rural Livelihoods and Natural Resources program while CFRP started in 1999 and ended in 2006. However, aspects of the CFRP have been incorporated into the RLNR program.

### ***IMPLICATIONS OF CHANGING CONTEXTS***

The change in context that had occurred between 1997 (when PMCR was conceptualized and initiated) and 1998/1999 (when planning for CRRP started) is one likely explanation for the differences in project design. When PMCR was conceptualized and designed, the multi-donor CEMP program, which included activities to support, and coordinate with other coastal development initiatives and agencies was still operating. CFRP thus represents the 'first generation' type of policy research projects (like its counterpart in Ratanakiri), whereas CFRP was designed in reaction to the demise of CEMP. As will be discussed in more detail, in many ways CFRP is a 'program disguised as a project', with its multiple owners, complex organizational arrangements, and ambitious objectives. Its budget, however, did not reflect these programmatic ambitions, and was actually similar or even lower than PMCR's. From these differences in project design, one would expect more and 'deeper' processes and results in research capacity in PMCR than in CFRP.

As the next section demonstrates there is some evidence that this has indeed been the case. However, in terms of numbers, there is also considerable evidence that the research capacity of at least as many CFRP staff may have been enhanced as PMCR staff. Differences in effects on organizational capacity are even harder to establish. This will be discussed further on.

## **4.3 RESEARCH CAPACITY DEVELOPMENT: PROCESSES AND RESULTS**

Using the five capacity development categories proposed by the Research-into-Use framework developed for this IDRC strategic evaluation, we compare below how, and with what

results, capacities were developed in the two projects. First, we look at how the projects recruited their teams and the implications for the strengthening of research capacities.

## ***RECRUITMENT AND INITIAL RESEARCH CAPACITIES***

### **PROJECT LEADERS**

Leaders of both projects had been involved in earlier IDRC-supported activities and in the initial research activity in which the projects were identified. The original CFRP leader involved in the design of the project had to be replaced by another MoE staff member and former CEMP program officer, after the first year of operations. This early transition in leadership created considerable challenges for the new project leader, as it was his predecessor who had negotiated the design and roles with representatives from the other two organizations co-managing the CFRP project. These negotiations had been facilitated by the personal relationships the former project leader had been able to establish under CEMP. The new project leader had earlier been involved in a more agricultural type of project and had built different relationships with other people outside of CFRP.

#### **Research-into-Use Framework**

- a. Conduct participatory research: analyze community issues in context; communication with stakeholders, facilitate learning;
- b. Manage research: design and negotiation; planning; team management; coordination; financial management, reporting;
- c. Conceive, generate and sustain research: comprehensive expertise coupled with field-based knowledge, appropriate to generate new research;
- d. Use research results: in policies, programs and other research; communication and adoption of innovations;
- e. Promote systems and policy change: networking and communication.

*Source: Bernard, 2005*

There have been no such complications in PMCR, where the original project leader continues to oversee the project. During interviews with IDRC personnel and consultants, the continuity (and quality) of project leadership was often mentioned as one reason for IDRC's continued interest for supporting the PMCR project.



## **OTHER LEADERS AND TEAM MEMBERS**

Many of the national and some of the provincial team members in PMCR were identified during the project identification research support activity. Most of the initial national team members were reportedly very dedicated and interested in participatory research. At least one of the provincial team members had previous exposure to more participatory styles of working with villagers. Other provincial team members had to learn not just the skills, but also had to acquire a more 'participatory' attitude towards villagers.

In the case of CFRP, the greater 'turbulence' in project leadership, was exacerbated by greater turbulence in national project members and in local partners. This led to changes in research sites and new organizational arrangements, to deal with the greater complexity. Identification of national team members was complicated by their affiliation to three different organizations and the need to involve the leadership from these organizations in the identification process.

Despite these challenges, the project leadership managed to have two of the three original CFRP research teams managed by people with prior experience in participatory rural research or appraisal. More experienced researchers accompanied inexperienced (national and local) members, taking notes and participating in the analysis of findings (Interview - CFRP Management Committee).

During the course of both projects, there was a need to recruit replacements for people who left to study abroad, who had been offered better opportunities in other projects, or who left for other reasons. In the case of CFRP, it appears that this transition was relatively easy, possibly because of the greater number of recruiters. There were three sets of three representatives (nine senior people) from the three organizations involved in different aspects of CFRP management, and a larger human resource pool compared to PMCR.

There may also have been differences in the type of knowledge and higher level of responsibilities assumed by the less numerous PMCR project staff, as compared to the greater number of CFRP staff and the more diverse roles and responsibilities they assumed. Informants reported more difficulties in finding good replacements for PMCR staff than for CFRP staff.

## **INITIAL CAPACITIES FOR PARTICIPATORY RESEARCH**

A greater number of people were trained in participatory research approaches in the CFRP project. However, in both projects, most participants had very limited (if any) experience in

participatory research (i.e. participatory rural appraisal). As a result, the level of individual capacities for participatory research did not differ much at the start-up of both projects.

## **ENHANCING THE CAPACITY TO CONDUCT RESEARCH**

### **PARTICIPATORY ACTION RESEARCH**

Both projects were designed for learning. The national PMCR project leader indicated that the scoping study had been most useful in identifying many of the key issues and questions, as well as some of the key team members. Given that researchers were not sure how to address these issues and questions, and particularly how to conduct 'participatory research', they decided to proceed gradually from the simple to the more complex (PMCR interview).

#### **Challenging Mentors**

*"We proposed starting our activities in the villages that were better-organized and did not have too many big resource degradation problems. After we learned to do that we would gradually move to more problematic villages. However, the advisor challenged us by asking: 'If we succeeded in working in the easy villages would that help to address the big problems in the area? Would we be more satisfied with greater success in an easy village or less success in a difficult village?' We discussed this extensively and decided that we wanted to tackle the real problems."*

(Interview - PMCR Provincial Team Member)

#### **Training that works**

*"Then I joined the workshop 'What is Research?' organized by CFRP. We learned how to define a research problem, to make a plan, and what methods to use. For me, that was all new knowledge and I did not have much experience to relate to. I had done some interviewing during my thesis research, and had done a 30-hour course on rural development methods, including interviewing. However, that did not help much during my thesis work. Also, teachers focused on technical things, and not much on research methods. The second CFRP training I joined was much better. It focused on data collection methods and the use of PRA tools: mapping, transects, SSI, ranking, etc. In addition to classroom exercises we did some field exercises".*

(Interview - CFRP research team member)

The case study approach discussed below is an example of this type of analysis and documentation, which was often externally facilitated.

## LEARNING EVENTS

In both projects, there were also similarities in how new concepts and research methods were introduced and practiced through a series of 'learning events'.

### **Learning to do Research**

- "we learned from new things/ideas/ concepts that were introduced, such as the whole concept of CBNRM,
- we learned also much from mistakes we made. Most projects do not allow for this. You are not supposed to make mistakes, and if you make them, you are not supposed to analyze them too much (you try to ignore them). This includes the whole idea of recognizing local capacity, many people think that villagers have no capacity, or that what they think is not right.
- and then there is learning by doing; even if you don't know exactly how to carry out an activity, it is important to make a plan and try to carry it out.
- In my view, "research" is the art of combining all 3 types of learning".

*(Interview - PMCR Project Leader)*

One of the first learning events in both projects was a training course in participatory rural appraisal. In the case of PMCR, the participants in this course included the project team members (province and national) as well as representatives from provincial and local government and a few selected villagers. The trainers were from the CoRR (later LEaRN) network from the Philippines, with a course tailored to coastal resources, based on their experiences in the Philippines and elsewhere.

In the CFRP, the PRA course was preceded by a workshop called "What is Research?" lead by a Khmer-speaking expatriate facilitator with extensive experience in village research. The main purpose was to expose participants to more informal research approaches and methods, as opposed to the formal academic research that most participants thought of as 'research' and considered to be beyond their capacity. For CFRP, the PRA course followed later and was designed to equip participants with the usual range of methods and tools.

In the PMCR case, it was felt that the PRA course had been very useful, creating a shared understanding amongst all stakeholders of project objectives and methods. The participation of a range of stakeholders, including villagers and local authorities, was felt to have contributed greatly to the success of the event. In the case of CFRP, the PRA course was also useful. However, for some students, the introduction to "What is Research?" was too abstract.

This type of 'formal' training, was just one of many of such exercises. In the case of PMCR, team members participated in twenty-three training courses and study tours (from December 1997 to February 2000) held at many different levels (international, regional, national and local) with about half of these at local level involving villagers and/or local/provincial officials. This was complemented by informal exchanges and meetings with similar projects to plan and implement joint activities and exchange experiences. One of the provincial team members characterized the value of such exposure to relevant experiences by others as:

*"I used to be like a frog in a deep well, all I could see where the walls and a small piece of blue sky. When I was dragged out of the well, I suddenly realized how big the sky was and how many different things were happening in that wider world, things that helped me to think about doing things differently".*

CFRP organised similar activities in which more people were involved, but in a less intensive manner and on a part-time basis.

Scheduling project activities and harmonization with 'regular work' in three different organizations was a challenge (Interview - CFRP Project Team Leader). Developing research capacity depended more on 'internal' resources, learning by doing, and group reflection.

One special learning event in which four CFRP members (including the project leader) participated was an EEPSEA-organized training course. Knowledge gained through EEPSEA was incorporated into CFRP as part of its action research approach, and was evident in improved studies of forest product use. For example, there was increased awareness of the costs involved in the collection of different forest products, including costs resulting from disease (such as malaria) and the differences in costs of informal revenue collection (check-points) for different products (Interview - Project Team Leader).

#### *Different events for different stakeholders*

The PMCR team has attempted to assess the effectiveness of different types of learning events for different categories of actors and stakeholders in the project (see Kim & Davy).

For provincial and national project team members, study tours, training sessions and fieldwork were rated as effective capacity development mechanisms, together with encouragement to make their own decisions in planning and implementation of project activities. Members from village management committees felt that study tours, training and fieldwork, as well as encouragement of community planning and learning by doing, had been most effective for them. Also effective were face-to-face meetings and assistance in improving community livelihoods, as well as the use of participatory monitoring and evaluation tools.

## **MENTORING**

A notable difference between the two projects was the greater intensity of external advisors mentoring researchers. The contributions from advisors (graduate or graduated students) as co-researchers in PMCR were very important for the development of research capacity (Interviews - PMCR Team Leader and former PMCR adviser). This active involvement of the advisor(s) in field research enabled them to assist the project team to identify and design capacity development activities, as well as to analyze and prepare research reports.

In the case of CFRP, the part-time external advisor was not perceived as a part of the research teams. His involvement in the five different research site areas was much less intensive as compared to involvement by the full time PMCR advisor in the one PMCR research area. The research support role played by the international advisors in PMCR was assumed in CFRP (with increasing effectiveness) by the national field research coordinator, and some of the research team leaders.

The differences in outcomes between the projects may be partly attributed to this difference in 'advisor density'. The most obvious difference is in the range and quality of outputs in the form of research reports, papers and other publications. However, there are also outcome differences in terms of depth (what, why) of knowledge, likely related to the differences in deployment of research advisors between the two projects.

## **NETWORKING**

Both research projects established and maintained a wide range of different types of relationships at different levels. In CFRP, these relationships were built into the project with three national and a range of local organizations. PMCR's experience demonstrates a wide range of international, regional, national, provincial, and local partnerships. IDRC partnerships aimed to develop PMCR's capacity. With the regional and national partnerships, PMCR would contribute to the capacity development of partners in these networks. Building on and strengthening these networks has become increasingly important for IDRC support to ENRM in Cambodia. This support seems to be paying off. The number of professionals working in ENRM in Cambodia has grown considerably. Many are interested in development and promotion of CBNRM in Cambodia and are keen to collaborate for that purpose. To facilitate and support this collaboration, members and advisers from IDRC-supported projects have developed a variety of arrangements, ultimately leading (in 2005) to the creation of a 'network support/capacity building institute' (the CBNRM Learning Insti-

tute). In addition, a collaborative research program (RLNR) was launched in 2007, and a national development research forum (CDRF) started in early 2008.

### **ANALYSIS AND REPORTING**

The wider range and larger number of reports in PMCR is in part illustrated through pieces that have been authored or co-authored by the project advisor. In contrast, the need for additional assistance in analysis and reporting has been well recognized by the CFRP team.

Various potential candidates (usually graduate students) were identified, but it proved difficult to find people available for longer times to alleviate, rather than increase, the reporting workload of project leaders and teams (Interview - Project Leader). The difficulty was addressed in part by an IDRC PO who helped to identify consultants to assist in the preparation of documents later in the project cycle.<sup>8</sup>

As is apparent from the list of project documents, there are a greater number of topical case studies in PMCR than in CFRP. This reflects not only the difference in capable resources between the projects, but also the difference in opportunities or incentives to share experiences and lessons. PMCR was part of an international (CoRR), and later regional (LeaRN), research network with many opportunities for knowledge exchange (workshops, joint publications, newsletters, etc.). Even if CFRP had had similar opportunities, capable project members would have been too busy to manage and support the wide range of project activities. Unfortunately, the need for 'external' assistance in analysis and reporting in PMCR did not diminish over time as had been expected. As experienced project members left PMCR to work for other projects, the project team leader was left with the responsibility for the preparation of many of the reports.

### ***CAPACITY TO MANAGE RESEARCH***

The main strategies used to enhance the capacity to manage research have included discussions and negotiations to prepare project proposals (including budgets); review and planning meetings with project teams and program officers during project implementation; and regular assistance from external advisors in daily management activities. Much of this type of capacity is not specific to research and refers to general project management skills, as the initial management problems in CFRP demonstrate. During CFRP's first year, two of three research sites had to be abandoned. This was due to the fact that local partners were either not interested, or could not allocate the time and resources to work on project activities.

This gave rise to the need to identify new local partners and design new research activities in new sites. The change in sites was accompanied by the formation of new, more simply composed research teams. In addition, the composition of teams was aligned with the jurisdiction of the MoE (in two sites) and the Forestry Administration (in three others).

Other changes in research teams occurred as a result of changes in internal organizational arrangements. This occurred when members were promoted to the executive committee or management team, both of which had been created to enhance ownership and shared management of the project by the three participating organizations. Such changes in project organization required much attention in the initial stages of CFRP and affected 'development research activities', particularly at new research sites (Gum, 2001; Gonsalves, 2005). In PMCR, major organizational changes resulted from skilled project personnel finding more attractive employment elsewhere, requiring recruitment and training of new people.

A strategy used in both projects to manage complexity, and allow for iterative learning and the gradual development of capacities, was the incremental move from more traditional research to action research. In the first three years of both projects, initial activities focused on:

- building the research team (in the case of PMCR), and research teams and project organization (in the case of CFRP);
- learning about the resource conditions and basic ecology of the research areas, and understanding resource use patterns and socio-economic conditions; and
- investigating local institutions and relevant national legislation (CFRP Management Team, 2003 and Marschke, 2000).

By the end of the first phase, both projects demonstrated:

- a greater and shared understanding of the key issues involved;
- a clearer idea of the strategies to be considered to address these issues;
- a greater capacity amongst team members to plan and implement these strategies;
- more effective organizational arrangements for planning, implementation, and documentation of action research activities (CFRP Management Team, 2003 and Marschke, 2000).

A foundation was built for activities in the second phase of the projects, aimed at:

- community organizing and supporting local partnerships;
- development of natural resource management plans;

---

<sup>8</sup> Such as the December 2005 synthesis of collective CFRP experiences (Kim and Sy, 2005).

- policy advocacy: getting policy support and influencing emerging legislation;
- establishing and strengthening partnerships and collaborative activities with similar projects and organizations (CFRP Management Team, 2003 and Marschke, 2000).

For PMCR, there was a third phase in which the main emphasis was on more systematic attempts to institutionalize the CBNRM approach in other initiatives and with partners in Koh Kong. This phase also offered an opportunity to improve documentation and sharing of experiences with other CBNRM projects and organizations in Cambodia, and in the region. One specific additional activity at the research site was the effort to support the development of resource governance and management institutions beyond the village level. The formation of a fisheries federation to govern coastal resources in a larger area was supported, as were attempts to incorporate CBNRM in commune council development plans.

The role of program officers and advisors in planning and management of research activities was of crucial importance in both projects, particularly in the preparation of documents.

In PMCR, one of the roles of the advisor(s) was characterized as follows: “He always asked questions, he never gave answers. He started with big questions, and then he broke those down into smaller ones. That helped us a lot in the planning of activities, because then we could think of the big question as our objective and the smaller questions as outputs, and then we would think of how to produce those outputs and then we had half of our plan already” (Interview - Provincial Team Member).

IDRC program officers pursued a similar strategy. Based on the lessons in the first phase of the PMCR project, the team decided to improve planning in phase II. Project objectives were exhaustively reviewed. Semi-annual plans were prepared to facilitate the long-term thinking required for the preparation of a three-year plan (Kim, N. and PMMR Research Team, 2004).

Similarly for CFRP:

*“In preparing the project document for the second phase I spent days (or weeks?) e-mailing back and forth with the IDRC PO who kept on refining the research questions. I would come up with a set of questions, formulated together with team members and then send them off, thinking that we would almost be finished with the project document. The PO always replied by asking questions about our questions and then we had to answer those (again with some of the team members) and then send them off, every time thinking: ‘OK, this is it’. But no, another round and another one ... I forget how many. But I do remember that after a few rounds we almost started to like it, as we started to understand much better what it is that we wanted to do, and particularly why we wanted to do it”. (Interview - CFRP Management Team)*



However, there were also other attempts in assisting in the management of the project that were less appreciated:

*"The adviser often tries to come up with his own ideas, which are sometimes better than what we had in mind, but it is not helpful if it happens when we are already implementing something else, and cannot easily change things" (Gum, 2001). On these occasions I felt that he was violating the participatory principles that we were promoting, both in our teams and in our work with villagers". (Ibid.)*

Another important aspect of the management capacity relates to the preparation of transparent budgets and to financial management. In both projects, there had been extensive and intensive negotiations with IDRC program officers. This was accompanied by the clarification of budget lines through exchanges with the IDRC regional administrative assistant. Expenditures were checked on a monthly basis by the national financial controller (hired by IDRC). Annual expenses were checked by the regional financial controller. Both project managers observed that this type of rigorous control virtually excluded the possibility of 'cheating' and greatly enhanced the transparency of financial transactions. This also instilled confidence within the teams that budgets were used wisely and for agreed purposes. The downside of this system was that changes in activities and budget allocations required correspondence. This downside was outweighed by the obvious advantages, including enhanced trust from both team members and office supervisors.

#### ***CAPACITY TO CONCEIVE, GENERATE AND SUSTAIN RESEARCH***

The increasing complexity of the research undertaken in both projects is one indication of an improved capacity to conceive research. In the case of PMCR, the expansion of the scope of research from village to larger (physical and institutional) landscapes also reflects an enhanced capacity. Progress is also reflected in the improved quality of project documents for the various phases, and particularly in the greater attention paid to the articulation of research questions in later project phases.

The comparative and collaborative research in other sites (the FAO project in Siem Reap and the RMPPR project in Ratanakiri), by the PMCR advisor and team members, provide further examples of an enhanced capacity to conceive and generate research (Marschke 2004 and Marschke 2005). Many of the case studies and reports building on this type of comparative research demonstrate contributions to the capacity of the project leader and team members to promote CBNRM (co-management) approaches in other national agencies and programs, particularly in fisheries and protected-area management.

Enhanced capacity in sustaining research is illustrated by the planning and initiation of activities in the new Livelihoods in Protected Area Research Component of the RLNR program in 2006 and 2007, as one part of the follow-up from CFRP. The idea was to put in place a research advisor to help the team create a research and work plan, and to provide training for the initiation of research activities. The advisor was delayed, and the project leader and research coordinator (both of whom earlier held the same position in CFRP) elaborated their own work plan. They initiated sound research activities in the new component, in consultation with national and local team members and partners (DReST, 2007).

Degree training abroad has been another effective strategy for enhancing the capacity to sustain research. Those who went for degree training (both old and new project leaders of CFRP, the CFRP team leader, a CFRP senior research team member, and a PMCR provincial team member) all demonstrated their capacity to conceive and sustain research in new jobs after their return. More important than the enhanced capacity at individual and team levels, is the enhanced institutional capacity to conceive and sustain CBNRM research, as shown in the RLNR program and the CBNRM Learning Institute.

### *THE CAPACITY TO USE RESEARCH RESULTS*

In the design of all IDRC-supported projects, the use of research results has been a predominant preoccupation. The strategic selection of researchers has constituted one major strategy for enhancing use. In both projects, researchers (and/or their supervisors) have been the intended users of research results: i.e. middle management and technical staff from provincial and national government agencies. In each case, various arrangements were put in place to ensure that senior management were involved in the research and that research outcomes were regularly shared with them.

A second aspect influencing the adoption of research results was the focus on development of methodology or (operational models) for participatory planning and implementation. This is most explicit in the case of CFRP, but also clearly evident in the two rounds of developing an approach to land use planning to enhance tenure security in RMPPR.

The same approach was evident in the development of organizational arrangements, livelihood options, and management arrangements, in the second and third phases of PMCR. There are two types of research results here. The first refers to the development and 'tooling' of participatory development methodologies in different areas. The second pertains to the capacity to facilitate participatory planning processes under different conditions.

To build on participatory methodology development and increase the involvement of relevant users/agencies (often as co-researchers) in both projects, much time and effort was expended engaging a wide range of like-minded organizations on: maintaining linkages, designing collaborative arrangements, organizing meetings and workshops, hosting and participating in field visits, and participating in networks and joint training activities.

In PMCR, there were a range of meetings, open forums, field visits, and other joint training and learning events with the Danida-supported Coastal Zone Management project, the UNDP supported Ream NP project, the FAO-supported Community Forestry and Fisheries project in Tonle Sap, and with the other IDRC-supported projects. In CFRP, one of many examples of the usefulness of such meetings can be noted in a workshop organized jointly with FAO and other community forestry projects on 'Preparation of Management Plans' in community forestry. Experiences from a range of community forestry projects in the development and adaptation of methods for forest resource assessment by villagers were shared, as well as the facilitation of multi-stakeholder involvement in setting management objectives. This led to a common framework for management planning, which was further tested and adapted in some of the CFRP sites. A similar approach was used to develop principles, criteria, and indicators for sustainable community forestry, for use in the joint monitoring of community forestry development by communities and government agencies.

### **ENHANCING LINKS TO SYSTEMIC POLICY FORMATION**

Talbott's observations on the state of 'public policy' formation in Cambodia in the mid-1990s provide useful insights into the difficulties of this enterprise. He describes it as:

*"...a dysfunctional process in which law-making precedes policy-making. Legislation and regulations are the first responses to a problem, in the absence of a broader policy that defines the government's position and intentions. The policy is not defined because the information is not at hand. The legislation becomes the vehicle to define or expand the agency's authority, not to address comprehensively the problem at hand". (Talbot, 1995)*

Another observer (Oberndorf, 2005) reminds us that ENRM policies have not changed much over the last decade. While noting that properly written policy documents should complement legislative documents, he points out that "in instances where there is no written policy on a subject matter, then the legislative documents are often referred to as the government's policy; this is considered a very poor form of policy development, and in such cases clear policy should be written and adopted by the government". His review of the policy and legal framework related to CBNRM in 2005 demonstrates that while much legislation had been developed, few or no relevant policy documents were in existence. By then, the information basis for policy for-

mulation had increased considerably, pointing to the need to explore reasons other than lack of information for the paucity of clear policy statements.

In this scenario, the differences in strategies employed to influence policy in PMCR and CFRP are of considerable interest. PMCR pursued a more informal strategy, whereas CFRP attempted to influence more formal policy formation processes. These different strategies provide some clues for better understanding some of the other possible reasons behind the static state of policy formation in ENRM. In interviews, the PMCR project leader explained that things work differently in Cambodia and that policy is more about the personal convictions of government leaders, which cannot always be expressed (or much less implemented) depending on what powerful people think or feel forced to do.

Accordingly, PMCR's strategy has been very much geared towards creating or exploiting opportunities to share their lessons and experiences with provincial and national leaders. As concerns provincial leaders, the main strategy has been to involve them as much as possible in as many appropriate activities as possible. For national leaders, special learning events were created. Annual visits of the Minister of Environment were organized, in which the minister would meet with villagers and their leaders to discuss progress and problems and would learn from project-team members about what had worked and what had not worked.

The Minister was usually accompanied by senior Ministry staff, as well as the provincial Governor and his staff. If policy can be defined as 'what organizations do' (or, more formally, the 'settled course of action' they pursue) the importance of this type of visit for both provincial and national support to sustainable development cannot be underestimated. Other important visits included the study tour of a delegation of members of parliament (from a committee involved in drafting legislation for protected areas) and of the Director of the Fisheries Administration (Kim and Davy, *in press*; Interview, PMCR team leader).

PMCR used a variety of strategies to share research results with senior officials, including the Minister of Environment. The Minister indicated that field visits and briefings by project personnel were more effective than reports and invitations to be the guest of honour at events. Senior Ministry officials and the provincial governor agreed with the Minister, but felt that invitations to be the guest of honour at project events had also been quite effective in enhancing their understanding (Kim and Davy, *in press*).

In CFRP, the importance of such visits was also recognized and exploited as much as possible. However, there was also an attempt to take a leading role in more formal policy (read:

legislative) initiatives. During the national community forestry workshop in 2001, the Minister of agriculture, forestry and fisheries invited contributions from the audience (community forestry practitioners) to develop the community forestry sub-decree. CFRP, together with many other partners, took the initiative to propose a consultative process in which communities with experience in community forestry development were invited to comment on the first draft of the sub-decree. A process of provincial consultations, involving national meetings and workshops, was organized and facilitated. The outputs from these meetings were analyzed, documented, and synthesized with recommendations submitted to the inter-ministerial committee responsible for the drafting of the sub-decree. Participants and organizers in the consultative process felt that the final draft prepared by the committee not only failed to recognize their recommendations, and contradicted those in a number of critical aspects (Peterson, 2003). It is to be noted that a similar consultative process had been pursued in the drafting of the community fisheries sub-decree, with remarkably similar outcomes (Levinson, 2002).

Other consultative arrangements have been put in place as a result of more recent pressure from donors. Some twenty sectoral Technical Working Groups (TWG) were formed over the past few years. It is expected that these groups will provide a more structured forum for regular consultation between key donor representatives, government agencies and non-government organizations. These working groups are to set priorities and monitor the implementation of priority action plans. This includes the TWG on Forestry and Environment, coordinated by the Forestry Administration, with some representation from the Ministry of Environment, and other relevant ministries. The recent initiation of a National Forestry Program process by a Task Force of the TWG Forestry and Environment is a promising example of policy implementation based on public participation and multi stakeholder processes.

#### **4.4 INTERVENTIONS & RESULTS**

The two policy research projects reviewed in more depth demonstrate the effectiveness of participatory action research to explore, develop and test arrangements and practices for CBNRM, and develop the research competencies of a range of stakeholders.

The development of research competencies was more important in the two projects initiated in the mid-1990s (RMPP and PMCR), whereas in the later projects (CFRP and CFDO), contributions to on-going legislative initiatives became predominant. It appears that the more research-oriented contributions lead to greater and 'deeper' competencies and capabilities than the focus on testing of administrative guidelines. It also needs to be recognized that

there is considerable variation in the development of competencies and capabilities amongst team members in both projects. For example, for CFRP, the assessment from project leaders was that from the eighteen researchers assessed, five were rated as people who had learned enough from CFRP to be able to replicate the community forestry research and facilitation process in other areas, without assistance from others. Nine were thought to be able to do this only with considerable support from others. Four project members were assessed as having acquired little knowledge and skills; they “did not get much out of CFRP” (Interview - Project Manager and Field Coordinator). In the case of PMCR, it was felt that two of four members from the provincial team had learned a lot less than their colleagues (Interview - Provincial Team Member). The main reasons identified for these differences in outcomes would appear to be related to differences in interest and motivation.

The active involvement of external advisors as mentors in research activities was effective in improving the research capacity of team members, the quality of publications, and the sharing of lessons with other development organizations.

Both projects claim to have made contributions to the development and adoption of more sustainable and equitable legislative and administrative arrangements, including the community forestry sub-decree and guidelines, the community fisheries sub-decree and the guidelines for community protected areas, as well as the mainstreaming of ENRM in the decentralization program. Often considerable effort was expended, but the effectiveness of these contributions varied considerably, and appears to have depended less on the nature of the projects’ contributions, and more on the commitment of policymakers to equitable and sustainable development.

Developing the capacities of key personnel strengthened individual research capacities as well as team capabilities in two MoE departments, in one office of the Forestry Administration, and in the Forestry Faculty of RUA. It is, however, less clear whether or how these enhanced team capabilities have contributed to MoE’s overall ability to create value. Participants in the feedback meeting organized by the author of this report in July 2008 reported that in the ongoing re-organization of the Ministry of Environment, staff involved in IDRC projects had been given greater responsibilities. As this re-organization has only just started, it is too early to comment upon the extent to which this may contribute to enhancing the MoE’s organizational capacity. It does, however, highlight the need for clarity and a shared understanding of what we mean by ‘organizational capacity’.

## 5. PERFORMANCE & CONTINUITY: RESULTS & PROSPECTS

*Identifying primary organizations that play the main role in carrying out the given task, secondary organizations that complement the work of primary organizations, and supporting organizations that provide essential services to facilitate the task, and the ways and means by which they can interact to achieve specific task objectives, is an important step toward ensuring the success of the whole endeavour. (Lusthaus, 1998)*

### 5.1 ORGANIZATIONAL CAPACITY AND RESEARCH COMPETENCIES

#### Categories of Organizational Capacity

- 'foundational components or elements' such as financial resources, structure, information, culture, location, values, etc.
- 'competencies' when we focus on the energy, skills, behaviors, motivations, influence and abilities of individuals.
- 'capabilities' refer to a broad range of collective skills that can be both technical and logistical or 'harder' (e.g. policy analysis, marine resources assessment, financial management) and generative or 'softer' (e.g. the ability to earn legitimacy, to adapt, to create meaning and identity).
- 'capacity' refers to the overall ability of a system to create value.

*Source: Morgan, 2006*

In reviewing Peter Morgan's categories of organizational capacity, IDRC's institutional and organizational development phase (1993-97) certainly contributed to the development of all of the categories of the MoE's organizational capacity. In terms of *foundational elements*, IDRC assisted in generating financial resources through donor coordination, in developing an organizational structure and legal framework, and in developing a research culture within the MoE. Development of individual *competencies* was supported through mentoring of research activities, training, and provision of advice to the leadership of the organization. IDRC's efforts to develop collective *capabilities* focused on technical capabilities (information management, environmental impact assessment, etc.), and the initiation of more generative capabilities, related to systems change and bridging perspectives and organizations.

It is the range of actors involved (from the central top to the local field officers and communities), the wide focus (all aspects of the Ministry's mandate), and the mobilization of resources matching these challenges that explains the success of IDRC's initial activities to

support the MoE's *capacity*, as much as the Ministry's overall ability to create conditions and support arrangements more conducive for sustainable and equitable development.

The resources and support arrangements IDRC mobilized for this purpose included:

- Two full time senior advisers (one heading the IDRC country program office and one Environmental Policy advisor located within the MoE's ministerial cabinet), both with direct access to senior government officials (including Prime Minister);
- Functional linkages to other actors in ENRM, through the Environmental sector co-ordination committee;
- Mobilization of other donors and coordination of coherent activities and support program; and
- Junior advisers, program officers, and international advisers and linkages to support and mentor research activities and projects.

Building on these foundations, but also forced by political developments beyond its control and influenced by organizational changes within the Centre, from about 1998 onward, IDRC shifted its focus to the development of competencies and capabilities of a more limited audience within the MoE and with a narrower focus on community based natural resource management (CBNRM). The nature of the 'development research' agenda is also reflected in the types of resources that IDRC made available at that time. The first three types of resources (senior advisers, country program office, coordination committee and joint donor activities) disappeared or were scaled back. Junior advisers, program officers and international advisers were maintained at more or less the same levels until around 2002 when new arrangements for more concentrated development research support were initiated.

As discussed in considerable detail in the preceding chapter, problem-focused research projects did contribute to the development of research competencies among many of the team members involved in these projects. The research projects (and their wide range of learning events and resources) also contributed to strengthening the 'collective capabilities' of the project teams. But the impact of the project teams' enhanced capabilities on the MoE's overall ability to create value (enhance the sustainability of development activities) was more limited than in the preceding phase, when both objectives and resources were more explicitly geared towards organizational development of the Ministry of Environment.

The greater organizational differentiation in terms of grant and project management (with two of the projects managed by non-MoE organizations), also indicates the reduced focus on the organizational development of one agency (MoE). Moreover, in a third project (CFRP), resources needed to be shared with two other organizations so as to achieve desired results.



The complication is that these outcomes can be traced to a MoE managed project, at a time when the MoE's objectives included 'forest management/policy' and 'capacity building of other core organizations in environmental planning' (as discussed in the previous chapter). This points to the need to be more explicit about how capabilities are defined and how success in developing capabilities would be measured.

*"I have learned a lot from the field experiences of CFRP and it has been very useful in formulating policy related to community forestry such as the Community Forestry Sub-Decree and Community Forestry Guidelines. It is expected that in the near future, it will play a role in formulating draft community forest agreements, community forestry guidelines, draft forest community management plans and other important documents."* - CFRP member & Deputy Chief of the Community Forestry Office of the FA (Phan, 2006)

In this regard, it may be useful for IDRC to adopt and, where necessary, adapt the five capabilities or collective skills that Morgan (2006) has identified as the 'building blocks' of the capacity of a system to create value.

The first of these is the capability to act and self-organize, based on commitment, space, confidence, values and identity. Conflicting mandates, limited resources, and weak leadership are some of the threats to this capability.

IDRC's initial contributions to this capability include support to the development and mobilization of effective human, institutional and financial resources, and the development of a legal framework providing a clear mandate for the ministry as well as a functional organizational structure. The integrity of MoE's leadership and staff had been one of IDRC's considerations in the decisions to provide support to the ministry.

Later contributions (after 1998) were less effective at the level of the overall organization, but did contribute to greater operational autonomy of project teams, as well as enhancing their action orientation. Individuals and teams with greatly enhanced competencies, left the organization to work with donor agencies, projects, and in one case formed their own support organization, (the CBNRM Learning Institute) nominally independent from the Ministry of Environment, but with many functional ties to the Ministry in general and to IDRC projects in particular. The shared values and identity are related to participatory approaches, promotion of community based arrangements and professional integrity. These have also become the basis of the recent RLNR research program comprising individuals and teams from the two major ministries responsible for ENRM, with research capacity development support provided by the CBNRM Learning Institute. More recently, this institute also assists MoE units to plan activities and mobilize resources.

## **FIVE COLLECTIVE CAPABILITIES**

To act and self organize:

- implementation of decisions
- use of operational autonomy
- action orientation
- integrity
- resource mobilization

To generate (hard and soft) development results:

- institutions and services
- substantive outcomes
- sustainability

To relate to other actors in context:

- legitimacy
- protect core interests
- operational autonomy

To adapt and self renew:

- adaptive management
- learning ability
- confidence to change
- balance stability and change

To achieve coherence:

- integrating structures
- rules governing operations
- leadership
- shared vision

*Source: Morgan, 2006*

Generating development results (both more technical hard capabilities and more generative soft ones) has received increasing emphasis from IDRC over the years. Early training and research covered a wide range of topics in ENRM, with increasing emphasis on CBNRM, and the support of new enabling legislation and administrative guidelines. Some of the earlier environmental topics such as pollution control continued to be supported by IDRC through regional programs such as EEPSEA.

The participatory action research projects supported by IDRC have made significant contributions to the development of legislative arrangements, enabling more sustainable and equitable arrangements for the management of natural resources, and examples of improved socio-economic and environmental conditions for wider replication.

The case studies, along with critical analysis and reflection on these projects, contributed to enhancing the sustainability of this capability. Regarding the capability to relate to other ac-

tors, the emphasis from the first to the second phase of IDRC support shifted from high policy-level relationships towards more operational, lower (provincial/local) -level relationships, with corresponding shifts in effects on:

- *Legitimacy*: from enhancing the legitimacy of environment and the Ministry to participatory approaches, community-based organizations and decentralization;
- *Core interests*: from environmental protection to environmental management and recognition of diversity of environmental managers;
- *Operational autonomy*: from establishing environmental rules and legislation, to influencing others to implement the legislation, and build their capacity in integrating environmental concerns into sectoral plans.

Many of these shifts took place at the project or corresponding unit level (such as the Community Protected Area Development Office) and some of these could not be implemented at the level of the ministry as an organization.<sup>9</sup>

To a certain extent, the effectiveness of the MoE is integrally linked to the performance of other actors in the ENRM system. IDRC needs to address the question of how to 'assist' other autonomous agencies in developing their capabilities to adapt and self-renew, in addition to enhancing the MoE's own capability in this respect.

Here, comparison with the experiences of other donor organizations could be instructive. The World Bank has developed a participatory approach to management planning of protected areas in one specific area, and proposes to expand that approach to four other areas starting in 2008 (World Bank, 2007). It is envisaged that in time this approach will be applied to all protected areas in Cambodia. None of the CFRP or PMCR staff has reportedly been involved in this effort. This highlights the limitations of a project approach, and how such an approach may circumscribe efforts to contribute to the organization's capability for adaptation and self-renewal.

This suggests weaknesses in MoE's capability to achieve coherence, despite its strong reputation in terms of leadership, shared vision, and organizational integrity. It may be illustra-

60 60

60 60

60

<sup>9</sup> As the quote from the Minister of Environment may remind us, with the move from 'environment' to 'natural resources', other agencies are more likely to exercise their 'operational autonomy':

"I would like all local communities (in community forestry, community fisheries, community protected area management) to have full rights in decision making in natural resource management in their own community, e.g., have some right to fine illegal activities in their local community area. But most other ministries do not sup-

tive to compare the first phase of IDRC's support to the MoE (and the limited number of actors involved) to present day arrangements in which IDRC is part of a consortium of more than twenty donors and INGOs that are supporting the MoE in developing its capacity in one aspect of its mandate (protected area management) using a range of different approaches. We cannot discard the possibility that MoE's weakness in this respect may be reinforced by these multiple capacity building efforts, however well intentioned.

Reflecting on these achievements, a close-knit group of MoE middle-level managers (involved in many IDRC-supported activities described above), decided it was time to act and self-organize. By creating the CBNRM Learning Institute, they are building on their capability to relate to other actors in ENRM, enhancing their legitimacy by inviting some of those actors to join them, and developing and applying an approach to build the capability for adaptation and self-renewal in all key actors in ENRM (including MoE). The emphasis of these activities is on the softer side of the generation of development results, including 'enhanced capacity' of communities, local authorities and national agencies.

For the purposes of this case study it is important to emphasize that the initiative to establish the Learning Institute as an organization to provide essential services for facilitating the promotion of sustainable development (Lusthaus, 1998) was taken "by the Ministry of Environment", based on competencies and capabilities, most of which were developed with IDRC support, as discussed above. 'Undertaken by the Ministry of Environment' means by a group of middle level managers in MoE (including one long-term expatriate adviser) with the active support of senior management and leadership of the ministry.

## **5.2 BUILDING CAMBODIAN CAPACITY FOR CAPACITY DEVELOPMENT**

By 2005, IDRC was supporting five projects in CBNRM development, namely the four research projects and one capacity building project, described in the preceding chapter.

The first step towards strengthening the synergy between these initiatives was the formation and formalization of the case study project/learning initiative, evolving into the CBNRM Learning Institute. Building on the established relationships amongst the IDRC projects, networking support became one of CBNRM LIs four strategies. Other strategies included human resource development (training), knowledge building and sharing (research), and

---

port my ideas during the Council of Ministers meeting. They complain that local communities do not have necessary legal support, nor the capacities, to undertake this work, and it causes a loss of potential revenues for the government" (Kim and Davy, *in press*).

institutional and policy support (policy and institutions). Various options for the organizational identity of the new institute were actively explored, including as a unit of the Ministry of Environment. Bearing in mind the intention to create a neutral, multi-actor forum for learning and exchange, a more independent status was ultimately considered to be very important. The dearth of (affordable) advisers in organizational development became apparent in the planning and implementation of the organizational design activities. As no 'proper' organizational adviser could be identified, a study tour to similar organizations in Southwest China was organized with the assistance of a regional training institute (Interview - LI program staff).

In many ways, the Institute is an important indicator of the impact from earlier IDRC projects, both in terms of individual competencies and in terms of the project teams' collective capabilities that are demonstrated in the rapid evolution and effectiveness of the Institute. The constraints in the Ministry of Environment to turn the individual and team competencies into collective capabilities, as earlier indicated for PMCR, are also illustrated by this initiative to build a new organization. The core personnel of the CBNRM Learning Institute include the vice director of MoE's Department of Nature Conservation and Protection, the Chief and Deputy Chief of one of DNCP's four offices, and the former expatriate adviser to PMCR. The project leader of PMCR acts as one of the project officers and so do other staff from IDRC supported projects through various arrangements.

The question arises whether and to what extent this shift of key (and highly competent) personnel from MoE to LI represents an organizational weakening of MoE. In answering this question, present project driven employment practices in MoE would have to be considered, as well as the large numbers of competent personnel in MoE that have left the organization over the years (Interview - former MoE staff, presently employed by donor agency).

Also of note is the fact that most of the LI employees have not resigned from their MoE posts. They still provide support in addition to the LI programmatic support to MoE activities. Most interviewees indicated that MoE personnel working with the Learning Institute strengthened (rather than weakened) the Ministry, not only through capacity-building support, but also by helping to implement part of MoE's mandate. The Learning Institute contributed particularly to "building environmental planning capacity in core institutions", "protected area management", "forest management", "Tonle Sap ecosystem management" and "coastal zone management" (CDC-CRDB, 2002). This points to another aspect of enhanced capacity of MoE. Paraphrasing one of our key informants: 'Recognition of the need

and role for other organizations, and active support of their development is an indicator of MoE's enhanced capacity ' (Interview - former IDRC program leader).

In cross-sectoral fields such as environment, recognizing the important contributions of secondary organizations such as the LI is of critical importance. Of equal importance is the recognition that designations such as primary and secondary will be contested, particularly if the Ministry of Environment were to claim the primary role for itself.

### **5.3 INTERNATIONAL LESSONS - CAPACITY DEVELOPMENT IN ENVIRONMENT**

International lessons from capacity development in environment confirm the importance of institutional (including organizational) pluralism in this field. The international review of capacity development in environment by OECD-DAC found that donor organizations had been less effective in capacity development in environment (CDE) than in other types of development assistance (OECD-DAC, 2000). The limited integration of environmental policy with economic development concerns at all levels of government and civil society in many developing countries tends to undercut effectiveness (OECD, 2000). Capacity development in environment is often a lower priority than overall macro-economic performance and the maintenance of basic social services. As noted, this observation also applies to Cambodia, with the added complication of natural resources playing a key role in the grey economy for the sustenance of the 'shadow state'.

The OECD-DAC study also found that most developing countries now have public sector environmental institutions. However, as we have seen for Cambodia, there is in general limited capacity to implement or monitor environmental or sectoral programs. For example, although the MoE has been able to produce environmental policies and plans, environmental laws, EIA guidelines and procedures, environmental databases, and numerous environmental publications, less effort has been made to improve environmental conditions and the underlying economic and social conditions of environmental resource users. From the beginning, the importance of both these aspects has been emphasized in IDRC support. There is a bit of an issue as to whether this has been more than a 'little effort', because of IDRC's limited resources. However, as the collaboration with USAID and UNDP in CEMP, with UNDP in the Resource Management Policy project in Ratanakiri and more recently the multi-donor support to CBNRM LI demonstrates, where IDRC has been successful in linking its 'little effort' and few resources with larger efforts and more resources, it has succeeded in making a difference.

Another observation that also applies to Cambodia is that in many countries, environmental management is highly sectionalized due to administrative efficiency and convenience, and modelled on command and control approaches. The lesson from the OECD review for the selection of organizational partners emphasizes the need to consider a wider range of organizations and work with a select number, depending on the context. IDRC's support to organizations in Cambodia closely matches the variety of organisation recommended in the OECD review including: regional organizations or initiatives (i.e. LEARN, EEPSEA); national policy research institutes (i.e. Cambodia Development Resources Institute); national sectoral ministries (i.e. Forestry and Fisheries Administrations under MAFF); specialized national environmental institutes (i.e. CBNRM Learning Institute); sub-national organizations (i.e. Provincial Rural Development Committees); NGOs and Community-based organizations (i.e. a variety of NGOs and CBOs across IDRC-supported research projects).

The OECD study identifies the "limited capacity to build capacity" as the main challenge to be addressed in developing capacity for environment and development. The shift in IDRC's strategy towards this aspect from 2002 onwards could thus be interpreted as an attempt to meet this challenge. A review of ENRM development projects, initiatives and actors in Cambodia, organized by IDRC in 2005 lead to the proposal for a 'rural livelihoods and natural resources development research program' (RLNR), in which research capacity building, and joint sharing and learning activities were planned to bring greater synergy and enhance the likelihood of impact from the various CBNRM projects (Veer, Min and Marschke, 2006).

## **5.4 PRESENT STATE OF IDRC PROGRAMMING**

The emergence of the RLNR program is the result of both 'bottom up' programming by Cambodian project staff and their networking initiatives and the 'top down' changes in programming strategy within IDRC. As detailed earlier, operational linkages between IDRC projects have always existed. The case study initiative in 2001 further strengthened these linkages, as did a range of training activities for IDRC projects, such as the workshop in Outcome Mapping in which all IDRC project teams participated. These initiatives complemented the emphasis on a more programmatic approach that emerged in the new Program Initiative on Rural Poverty and Environment, starting in 2005.

A review of the five IDRC-supported CBNRM projects (Veer, et. al., 2006) recommended:

- improving the alignment of projects with the administrative mandates of the implementing agencies;

- improving linkages between development research projects and national programs and action plans in community forestry, fisheries, and protected area management, in response to the new policies and administrative arrangements adopted;
- improving the efficiency and relevance of research capacity development, through the creation of a 'development research support team', with an IDRC-recruited research advisor (hosted by the Cambodia Development Resource Institute) and research capacity builders/mentors hosted by the CBNRM Learning Institute;
- networking (joint learning and sharing activities) and joint program governance by representatives from participating organizations and projects (ibid).

All of these recommendations have been implemented. Four research projects operated by four departments (or 'administrations', in the case of the Fisheries and Forestry Administrations) in the two main ENRM ministries in Cambodia, form the core of the joint program governance strategy with research capacity development support to all provided by the Learning Institute. One of the main challenges is to link the two MoE-managed research projects to other initiatives in protected area management (e.g. those operated by international conservation organizations and the World Bank in their plans for support to the development of participatory management of PAs in five protected areas). This type of support to a more coherent program for protected area management could be RLNR's most important contribution to MoE's organizational capacity.

During the All Partners Forum organized by IDRC in September of 2007, the need for support to the wider development research community in Cambodia was identified. Representatives from the Cambodia Development Resource Institute proposed a national research council, with sector- (or issue-) based national research forums. Supporting the development of a national research council is ambitious at this stage, but a forum for development research seems feasible.

Building on the outcomes from the all-partner forum, Cambodia Development Resource Institute and CBNRM LI have developed a proposal for a jointly managed forum in Cambodia to contribute to thinking about development research priorities at the national and local levels, and would involve government, private sector, civil society and research organizations. In both the new program and the new forum initiative, the Ministry of Environment remains an important participant and partner. However, from an IDRC perspective, its earlier prominence and role as a boundary partner is increasingly replaced by the MoE as a strategic partner for specific aspects of ENRM, particularly for protected area management.

The role of boundary partners is now being played by CBNRM LI, and to a lesser extent by CDRI for the development research forum. Continuation of support to the development of



capabilities of specific groups from MoE to generate development results, relating to other actors, adaptation, and self-renewal, is promising with present and future program initiatives. Support for action, self-organization, and coherence is less likely, and if needed would require mobilization of additional resources by the strategic partners (LI and/or CDRI).

## **5.5 LESSONS**

### **COUNTRY PROGRAMMING**

The perceived uniqueness of the situation in Cambodia in the early nineties led to a style of programming that differs from IDRC's mode of operations in most other countries. The experiment with an IDRC country program, and the deployment of a senior policy adviser, at a time when many other donor organizations were not yet present on the ground, contributed to the development of a multi-faceted support program. Moreover, the focus of the support was on 'environment', a relatively new field of activity at the time. In drawing lessons from the IDRC experiences in Cambodia, these and other typical characteristics of the context of IDRC's evolving set of activities in ENRM need to be taken into account. For example, in most other countries resources may not allow for an ENRM 'sector' or 'program' approach with more than one organization involved, as has been the case in Cambodia.

### **DEVELOPMENT OF ORGANIZATIONAL CAPACITY**

IDRC supported the development of a ministry of environment when it seemed like a good idea to most people involved, and was actively supported by both the Government of Cambodia and other donors. IDRC was able to mobilize a range of resources to enable a credible support strategy: senior policy and OD adviser(s) /mentors to the Ministry's leadership, a country programming facility, junior advisers in field/policy research activities, supported by dedicated regional program officers. This enhanced IDRC's legitimacy in the eyes of the government, but also in the eyes of other donor agencies. IDRC's initial lead role in a joint donor support program was based on this perceived legitimacy.

Evidence presented earlier indicates that IDRC may claim important contributions to the existence of a Ministry of Environment in Cambodia, with a legislative framework, an organizational structure, a competent core staff, a coherent program and effective linkages with other relevant agencies by the late 1990s. The multi-faceted support strategy was abandoned in 1997/1998, largely for reasons beyond IDRC's control (donor reactions to political events), but also for reasons of changing conditions and policies in IDRC (departure of senior adviser, closing of country program, emergence of program initiatives). This contributed to the

shift towards development of ‘research capacity for policy development’ as the predominant strategy in the next phase of IDRC’s support in ENRM in Cambodia.

### **DEVELOPMENT OF RESEARCH COMPETENCIES AND CAPABILITIES**

Building capacity in participatory action research has proven to be a highly effective strategy to improve the process of problem formulation, information collection, analysis and recommendation. It has also been successful in assisting local staff, authorities and village groups to develop their capabilities in planning and implementing more effective and sustainable practices in natural resource management.

Major factors contributing to success in building research capabilities have been the active promotion of ownership and partner-driven programming, between all stakeholders: Between IDRC and project teams, between national project management teams and local research teams, and between projects and villagers. The role and contributions of external (international and expatriate) advisers have been crucial in orchestrating the wide range of learning events at different levels, mentoring of ‘research for development’, linking with other relevant national and international initiatives, and particularly in analysis and documentation of project experiences and lessons.

Regarding MoE organizational capacity, project experiences demonstrate the need for additional development in the capabilities ‘to act and self renew’ and ‘to achieve greater coherence’. Strengthening these capabilities requires greater commitment to civil service reform, including performance-based incentive systems.

The organizational constraints in the ministry as part of the wider governmental system are also illustrated by the rapid evolution of the CBNRM Learning Institute, with organizational arrangements that allow for performance-based incentives. The rapid evolution of the LI also demonstrates the effectiveness of the IDRC supported capacity building projects, expressed in greatly enhanced individual competencies and team capabilities, that have been successfully mobilized in a relatively short time. Leadership qualities are reflected in the development of the Learning Institute.

### **BUILDING ON CAMBODIAN CAPACITY FOR CAPACITY DEVELOPMENT**

The emergence of the CBNRM Learning Institute, and the collaborative arrangements in the Rural Livelihoods and Natural Resources research development program, imply that more of the capacity development is now governed, planned and implemented through Cambo-

dian organizations. This reinforces the partner-driven programming that had earlier been promoted by the international and expatriate advisors as well as IDRC program officers.

The IDRC country program office, from the early years of capacity development in environment in Cambodia, has now been replaced by a Cambodian organization governed by representatives from key agencies in ENRM. It provides capacity development services to a research program governed by the two key agencies in ENRM. More recently, this organization and the development research program have been complemented by a forum comprising a wider range of actors in development research, facilitated by the Cambodia Development Resource Institute and the CBNRM Learning Institute.

Various persons and groups from the Ministry of Environment are involved in all three initiatives: in the CBNRM LI (as key personnel and in its board of directors), the Rural Livelihoods and Natural Resources development research program (managing two of the 5 research projects/components) and in the Cambodia Development Research Forum also through informal research groups from MoE personnel beyond the ones involved in RLNR.

## **5.6 CONCLUDING OBSERVATIONS**

IDRC's contributions to the capacity development of the Ministry of Environment have over time become more focused on three of Morgan's five core capabilities, with the capability to act, self-organize, and achieve coherence receiving less attention after 1997. The focus of MoE's mandate has become narrower (coastal zone and protected area management) and the audience more limited (staff from two of six MoE departments).

One expression of the successful development of individual competencies and group capabilities in MoE is the CBNRM Learning Institute. It takes on important parts of the MoE mandate, is staffed by key Ministry employees, and is actively supported by senior officers and MoE leadership. The Institute can also relate to other key ENRM actors, in both the government and non-government sectors.

New IDRC programming initiatives built on the strength in capacity development of the Learning Institute, as well as on the research capacity of the Cambodia Development Resource Institute. The increasing organizational pluralism reflected in IDRC's programming over time, and the shift in strategic partnerships, are in line with experiences in other countries in environmental capacity development.

## REFERENCES

- ADB. (1994). Technical Assistance to the Kingdom of Cambodia for Strengthening Environmental Impact Assessment Procedures and Capabilities. Manila: Asian Development Bank.
- Bann, Camille. 1997a. An Economic Analysis of Tropical Land-use Options, Ratanakiri Province, Cambodia. Ottawa, Canada: Economic and Environment Program for Southeast Asia, International Development Research Centre.
- Bann, C. 1997b. An Economic Analysis of Alternative Mangrove Management Strategies in Koh Kong Province, Cambodia. Ottawa, Canada: Economic and Environment Program for Southeast Asia, International Development Research Centre.
- Bernard, A. 2005. Mapping Capacity Development in IDRC. Ottawa: Evaluation Unit, IDRC
- Blunt, P., and Turner, M. 2005. Decentralisation, Democracy and Development in a Post-Conflict Society: Commune councils in Cambodia. *Public Administration and Development*, 25: 75-87.
- Carson, T., Kim Nong and Nin Vannthana, 1997. Coastal Communities Cambodia Research Support Activity, CCC RSA, March-October, 1997. Final Report. MoE-IDRC, Phnom Penh
- CBNRM LI, 2004. Project Proposal and Strategic Paper – Towards a CBNRM Learning Institute, Phnom Penh, January, 2004
- CBNRM LI. 2005. The Development of Community Based Natural Resource Management in Cambodia. Selected Papers on Concepts and Experiences. CBNRM Learning Initiative. Phnom Penh.
- CBNRM LI. 2007. Impact Assessment for 2006. Phnom Penh.
- CBNRM LI & CDRI, 2008. Concept Proposal FoDRCam: A Forum for Development Research in Cambodia (or Cambodian Development Research Forum – CDRF) January 2008. Phnom Penh
- CDC-CDRB, 2002. Socio-Economic Development Priorities and the Official Development Assistance Needs. Phnom Penh: Royal Government of Cambodia.
- CFRP Management Team. 2003. Community Forestry Research Project: Final Technical Report. Phase I, September 1999 – March 2003. Phnom Penh: MoE, RUA and DFW.
- CFRP Management Team and Field Research Teams. 2006. Cambodia's Community Forestry Research Project: Selected Experiences and Lessons Learned. Phnom Penh.
- Chey Pichrathna, Som Chea, Suy Thea and Leng Somath. 2002. Community-based Coastal Resources Management (CBCRM) – A Case Study from Preah Shihanouk "Ream" National Park (PRNP) in Kompong Som Province and Peam Krasaop Wildlife Sanctuary (PKWS) in Koh Kong Province, Kingdom of Cambodia. WWF, Phnom Penh.
- Chiy, P. S. (2002). Comparisons on Community Fisheries Management in Ream National Park, Shihanoukville and Peam Krasaop Wildlife Sanctuary, Koh Kong Province. Phnom Penh: WWF/CBNRM Case Study and Networking Initiative.
- Danida-FA. 2005. Capacity Needs Assessment of the Natural Resource Sector in Cambodia. Phnom Penh: FA/Danida.
- Danida-DfID, 2006. Natural Resource Management and Livelihoods Programme, Cambodia (2006-2010); Sector and policy development Component; Forest and Environment sector Sub-component. Phnom Penh, April 2006.
- DReST, 2007. Review and Sharing Workshop. Rural Livelihoods and Natural Resources (RLNR) Program. 24-26 August, 2008. Siem Reap. CBNRM-LI, Phnom Penh.

Ear, Sophal. 2006. The Political Economy of Aid, Governance, and Policy -Making: Cambodia in Global, National and Sectoral Perspectives. Dissertation UCLA, Berkeley.

EIC, 2004. Cambodia Economic Report, Issue 1. Economic Institute of Cambodia, October 2004. Phnom Penh.

Evans, P., Marschke, M. and Paudyal, K. 2004. Flood forests, fish, and fishing villages, Tonle Sap, Cambodia : community forest management trends in southeast Asia, Research Network Report No. 12. Asia Forest Network.

Fuchs, R. and D. Said. 2007. IDRC Cambodia All Partners Forum. Draft Evaluation Report. IDRC, Singapore.

Global Witness, 2007. Cambodia's Family Trees: Illegal Logging and the Stripping of Public Assets by Cambodia's Elite. London.

Gonsalves, J.F. 2005. Community Forestry Research Project. Mid-Term Evaluation Report. Unpublished Draft. IDRC.

Gum, W. 2001. Mid Term Evaluation Report Community Forestry Research Project. IDRC, Ottawa.

Hobley, M. 2007. Where in the world is there pro-poor forest policy and tenure reform? Rights and Resources Initiative, Washington.

Hughes, C. 2004. Cambodia's Performance. Retrieved May 20, 2008 from <http://www.phnom.penh.um.dk/NR/rdonlyres/>

Hun Sen, 2001. Address by PM of the RCG to the Inaugural High level Regional meeting for the World Summit on Sustainable Development. Retrieved April 8, 2008, from <http://www.camnet.com.kh/moe/New.htm>

IDRC, 2005. Corporate Strategy and Program Framework 2005-2010. IDRC, Ottawa.

IDRC - Countries in Transition Study, 2005. Understanding Local Realities in Transition – Case Study 3: Cambodia. Ottawa.

IDRC-ASRO, 2007. Summary of IDRC Projects in Cambodia. Overview presented at Cambodia All Partners Forum, held in Phnom Penh, September 12-13, 2007. Singapore.

IFSR, 2004. The Forest Sector in Cambodia - Part I: Policy Choices, issues and options. Phnom Penh.

John, A. 2005. Linking CBNRM to local planning processes. In: CB NRM LI, 2005. The Development of Community-Based Natural Resource Management in Cambodia. Selected Papers on Concepts and Experiences. CBNRM Learning Initiative. Phnom Penh, Cambodia: pp. 223-240.

Kim S. and Sy R., 2005. Community Forestry Research Project; Collective Experiences of Action Research and Facilitation on Community Forestry and Community Protected Area. Phnom Penh.

Kim, N., and PMMR Research Team, 2004. Learning CBNRM in Action to Improve Local Livelihoods and Coastal Ecosystem. Phase 2 Technical Report on Participatory Management of Mangrove Resources. MoE, Cambodia and IDRC, Phnom Penh.

Kim, N. and Marschke, M., 2006. Building networks of support for community based coastal resource management in Cambodia. In: Tyler, S. Ed. CBNRM In Action. Ottawa: IDRC.

Kim and Davy, *in press*. Building partnerships and networks to change behaviours to involving the locals'. Draft. MoE and IDRC.

Kinakin, R. (ed) 2005. Balancing the change: experiences in natural resource management decentralization in Ratanakiri, Cambodia. Phnom Penh: CBNRM Learning Institute.

Lacerda, L., Schmitt, K., Cutter P. and Meas, S. 2004. Management Effectiveness Assessment of the System of Protected Areas in Cambodia using WWF's RAPPAM Methodology. Ministry of Environment, Biodiversity and Protected Areas Management Project, Phnom Penh, Cambodia.

Legerwood, J. and Vijghen, J. 2002. Decision Making in Khmer Villages. In: Legerwood, J. Ed. Cambodia Emerges from the Past: Eight essays. DeKalb, IL: Southeast Asia Publications, pp. 109-150.

Levinson, J. 2002. An Examination of the Community Fisheries Sub-Decree in Cambodia: Changes and Developments during the Drafting Process. Bangkok: NACA-STREAM.

Lusthaus, C., 1998. Capacity Development: Rethinking the Issues of an Evolving Concept. Universalis Occasional Paper No. 30.

Lusthaus, C., Adrien, M-H, Anderson, G. and Montalvan, G. P. 2002. Organizational Assessment: A framework for Improving Performance. Inter-American Development Bank, Washington, D.C. and International Development Research Centre, Ottawa, Canada.

Ly, V. S. (2006). Key Factors that Influence Success of Community Fisheries Management. Phnom Penh: CBNRM Learning Institute.

McKenney, B. and P. Tola. 2002. Natural resources and rural livelihoods in Cambodia: A baseline assessment. CDRI Working Paper 23. Phnom Penh, Cambodia.

McKenney, B., Y. Chea, P. Tola and T. Evans. 2004. Focusing on Cambodia's High Value Forests: Livelihoods and Management. CDRI / WCS Special Report. Phnom Penh, Cambodia.

Marschke, M. (ed.) 2000. Mangrove Meanderings: Learning about Life in Peam Krasaop Wildlife Sanctuary. Participatory Management of Mangrove Resources (PMMR) Phase I: Final Report. Ministry of Environment. Phnom Penh.

Marschke, M. 2004. Analysis: Mainstreaming ENRM into commune councils and PLUP tools. Technical Report for Seila. Phnom Penh, Cambodia: Cambodia Development Council.

Marschke, M. 2005. Livelihood in Context: Learning with Cambodian fishers. PhD thesis. University of Manitoba.

Marschke, M. and Kim, N. 2003. Adaptive co-management: lessons from coastal Cambodia. Canadian Journal of Development Studies, (24)3: 369-383.

Meas Sothun Vathanak and San Socheat Leakhena, 2005. Community protected area development in Cambodia. In: CB NRM LI, 2005. The Development of Community Based Natural Resource Management in Cambodia. Selected Papers on Concepts and Experiences. CBNRM Learning Initiative. Phnom Penh, Cambodia.

Ministry of Planning and UNDP Cambodia, 2007. Expanding Choices for Rural People. Cambodia Human Development Report 2007. Phnom Penh.

MoE, 2003. Strategic Plan (2004-2008). Department of Planning and Legal Affairs. Ministry of Environment. Phnom Penh.

MoP. 2003. Cambodia Millenium Development Goals Report. Ministry of Planning/UNDP/SIDA.

Morgan, P. 2006. The Concept of Capacity – Draft version. Maastricht: European Centre for Development Policy Management.

Muong, S. (2004). Avoiding Adverse Health Impacts from Contaminated Vegetables: Options for Three Wetlands in Phnom Penh, Cambodia. Singapore: Research Reports 2004-5.

Muong, S. (2006). The Implementation of Effluent Taxes for Cambodian Industry: An Assessment of Pollutant Levies. Singapore: Research Report 2006-1, EEPSEA-IDRC.

- Murshid, K.A.S. and B.M. Ballard, 2005. Annual Development Review. Cambodia Development Resource Institute. Phnom Penh
- NEC, 2007. Official Results of the 2007 Commune Councils Election. Retrieved May 12, 2008, from: <http://www.ncelect.org>
- Neilson, S. 2001. Knowledge Utilization and Public Policy Process: A Literature Review. IDRC Evaluation Unit. ([www.idrc.ca/evaluation/](http://www.idrc.ca/evaluation/))
- Neilson, S. and C. Lusthaus, 2007. IDRC-Supported Capacity Building: Developing a Framework for Capturing Capacity Changes. Universalia, Canada.
- Nhem S. 2005. Mainstreaming natural resource and environmental management: the Seila decentralization programme. In: CBNRM LI, 2005. The development of Community Based Natural Resource Management in Cambodia. Selected Papers on Concepts and Experiences. CBNRM Learning Initiative. Phnom Penh, Cambodia: pp. 73-88.
- Oberndorf, R.B. 2004. Law Harmonisation in Relation to the Decentralization Process in Cambodia. CDRI Working Paper 31. Phnom Penh.
- Oberndorf, R.B. 2005. Overview of the policy and legal framework related to CBNRM. In: CBNRM LI, 2005. The development of Community-Based Natural Resource Management in Cambodia. Selected Papers on Concepts and Experiences. CBNRM Learning Initiative. Phnom Penh, Cambodia: pp. 59-72.
- OECD-DAC, 2005. Donor Support for Institutional Capacity Development in Environment: Lessons Learned. Evaluation and Effectiveness report No. 3. Paris
- Pak Kimchoeun, Horng Vuthy, Eng Netra, Ann Sovatha, Kim Sedara, J. Knowles and D. Craig, 2007. Accountability and Neo-patrimonialism in Cambodia: A Critical Literature Review – CDRI Working Paper 34. Phnom Penh, Cambodia.
- Peterson, R. 2003. Letter to H.E. Sok An, Re: Draft Sub-Decree on Community Forestry under review by the Inter-Ministerial Technical Committee of the Council of Ministers. Phnom Penh.
- Phan, K., and Sy, R. 2006. Strengthening local voices to inform national policy: community forestry in Cambodia. In: Tyler, S. (ed.) Communities, livelihoods and natural resources. Action research and policy change in Asia (p. 209-230). Ottawa, ITP and IDRC.
- Ratner, B. 2006. Community Management by Decree? Lessons from Cambodia's Fisheries Reform. Policy Review. Society and Natural Resources, 19: 79-86.
- SCW, 2006. Atlas of Cambodia: National Poverty and Environment Maps. Save Cambodia's Wildlife, Phnom Penh, Cambodia.
- Sok, M. 2005. Case study 1: Challenges to Finding National-level Support for Field-based Research. In: CBNRM LI, 2005. Balancing the change: Experiences in natural resource management decentralization in Ratanakiri, Cambodia. CBNRM Learning Initiative. Phnom Penh, Cambodia: pp. 27-34.
- Sophal, C. and Acharya, S. 2002. Facing the Challenge of Rural Livelihoods: A perspective from nine villages in Cambodia, Cambodian Development Research Institute (CDRI) Working Paper 25, Phnom Penh, Cambodia.
- Suzuki, R. (2005). The Intersection of Decentralization and Conflict in Natural Resource Management. Ottawa: Working Paper 17, Rural Poverty and the Environment Working Paper Series. International Development Research Centre.
- Sy R., Hou K., Chay C. and Meas S. 2002. Forest Use and Product Flow in Chumkiri District, Kampot Province, Cambodia. In: McKenney, B. (ed.). Economy and Environment: Case Studies in Cambodia. EEPSEA Research Report, No. 2002-RR4. Singapore.

- Talbott, K. 1995. International Development Research Centre's Environment Program in Cambodia: An Assessment of the First Two Years. World Resources Institute, Washington.
- Tola, P. and B. McKenney. 2003. Trading Forest Products in Cambodia: Challenges, Threats, and Opportunities for Resin. CDRI Working Paper 28. Phnom Penh, Cambodia.
- Transparency International, 2007. Corruption Perceptions Index 2007. ([http://www.transparency.org/policy\\_research/surveys\\_indices/cpi/2007](http://www.transparency.org/policy_research/surveys_indices/cpi/2007); accessed 15 Nov. 2007)
- Turton, C. 2004. Sustainable Livelihoods in Cambodia. Independent Forest Sector Review. World Bank.
- UNDP, 2007. Realizing Development. UNDP Cambodia 2006 Annual Report. Phnom Penh: UNDP.
- Veer, C., Min M., and M. Marschke, 2006. Community-Based Natural Resource Management in Cambodia – Review of IDRC Supported Initiatives and Ideas for Future Programming. IDRC Singapore.
- Vincent, J.R. 2005. Evaluation of Economy and Environment Program for Southeast Asia (EEPSEA); January 1, 2000 to December 31, 2004. University of California. La Jolla, USA.
- Williamson, A. 2007. Impact Assessment for 2006 – Ready for take-off... Phnom Penh: CBNRM Learning Institute.
- World Bank. 2003. Cambodia Environment Monitor. Washington and Phnom Penh: The World Bank.
- World Bank. 2007. Cambodia Environment and Protected Areas Management Project – Project Information Document – Concept Stage. Washington: World Bank.



## APPENDIX 1 - TERMS OF REFERENCE

### Strategic Evaluation on Capacity Development: Terms of Reference for Organizational Case Studies

#### *1. Background*

Over the past several decades, IDRC in line with many development agencies, organizations and donors, has grappled with the issue of how to assess capacity building initiatives. Many of these agencies have struggled with how to articulate and document the complex array of results of their capacity building activities. Part of this difficulty lies in the fact that there are few systematic reviews of how development agencies construct the concept of capacity building in order that they may systematically look at how this construction leads to results. While there is a great deal of information regarding development projects that have attempted to build capacity, there is a dearth of information regarding how development agencies approach the concept of capacity building.

In response to the above considerations, IDRC's Evaluation Unit (EU) is conducting a strategic evaluation to investigate the Centre's contributions to the development of capacities of those with whom the Centre works. The evaluation aims to provide IDRC's own staff and managers with an intellectual framework and a useful common language to help harness the concept and document the experiences and results that the Centre has accumulated in this domain. Specifically, the strategic evaluation focuses on the processes and results of IDRC support for the development of capacities of its southern partners – what capacities have been enhanced, whose, how, and how effectively.

Assisted by the consultant firm Universal Management Group, during the first three phases of this strategic evaluation, significant progress has been made in (1) defining what IDRC means by 'building' or 'developing capacities and in sharpening understanding of how IDRC supports capacities and with whom; (2) developing an initial set of typologies that will assist IDRC staff and partners in conceptualizing, planning, monitoring and evaluating capacity development and (3) elaborating a list of 'good practices' that capture some of the elements of IDRC's support that staff and partners view as being critical to building research organizations and systems.

Initial conceptual work developed in the first phases of the strategic evaluation indicates that "for IDRC staff, capacity building is an essential variable in their approach to development. With a focus on process and on learning-by-doing, and especially on sustaining long-term personal relationships, IDRC is fixed on the value of the individual partner (the researcher or group of researchers) as the key component in capacity building."

IDRC's approach to capacity building was found to be normally instrumental or functional in nature, and focused on tangibles, such as professional competencies, capabilities, and the tools needed to conduct research. These skills included the ability to identify research problems, to design and implement projects, to monitor and evaluate, to achieve good financial management, to link with other researchers and with donors, to publicize results, and so on. For IDRC therefore, capacity building means working with partners to conduct better research in a specific field and that any change that occurs as a result of this capacity building is at the problem or research area level rather than at the institutional or systems level. And yet, analysis undertaken during the first three phases of the strategic evaluation also indicates that IDRC partners are always connected to others within the research problématique or system. As such, at IDRC, capacity development often takes a systems approach. In other words, it not only addresses the individual(s) directly involved in the project(s) or program, but also looks at how these individuals are connected to others: other individuals, organizations, and/or networks.

It is clear that it is only through examining the dynamics and evolution of how all the involved parties and communities work together to solve the development challenge that we will better under-

stand how IDRC supports the capacity to do research-related activities. In light of these findings, IDRC has a growing interest in understanding how its capacity support (through projects or other activities) at the individual level – individuals and/or teams/groups is able (or not able) to influence change within their organization or network. IDRC would also like to have a deeper understanding of how individuals have the capacity to build or establish relationships and partnerships to influence change through research, and how these partnerships and relationships interact within the various settings (organizations, networks).

With a view to increasing the Centre's ability to capture and track capacity changes in terms of the dynamics and interactions between individuals, organizations and networks and to understanding if and how IDRC contributes to capacity changes, phase 4 of the strategic evaluation will focus on the development of six organizational case studies. Case studies will better ground the findings of phases 1 to 3 of in specific, in-depth experiences.

## *2. Case study scope and methodology*

The case study work consists of a purposeful sample of six (6) organizational case studies, chosen on the basis of maximum variation. Maximum variation sampling aims to capture and describe the central themes that cut across a great deal of variation. For small samples, it turns the apparent weakness of heterogeneity into a strength by applying the logic that "any common patterns that emerge from great variation are of particular interest and value in capturing the core experiences and central, shared dimensions of a setting or phenomenon" (Patton, 2002, 234-235). In this strategic evaluation, it is expected that this approach will bring to the fore important learning on IDRC's experiences and abilities for supporting research capacity in different types of organisations and research environments.

Organisational case studies have been chosen in order to capture how, over time, IDRC's sustained support contributes to capacity development at the individual/group, organizational and network levels in the field. The organizational case studies will examine different types of organizations in different geographic regions and with diverse sectoral concentration, which have received significant IDRC support over the last ten years.

All of the case studies selected for this strategic evaluation have been chosen on the basis of being within the top fifty (50) southern-based recipient organizations of IDRC financial support since 1996. Being longitudinal in nature, the case studies will examine the cumulative results of IDRC's significant investment in capacity development support (more than \$ 2 million in each case) extended through a number of projects or capacity support interventions, by different IDRC programs over a significant period of time. The organizational case studies will examine both the processes and the results of capacity development with Southern partner organizations.

The case studies will present rich narratives of different capacity development processes.

In IDRC's view of complete capacity, there is a need to pay attention to and fund multiple functions to enhance the capacity to do research-related activities, including how to conduct, manage, and communicate research. For IDRC, communicating research goes beyond simple presentation of results; it involves dissemination strategies that include effective approaches so that research can be taken up and used by policymakers, communities, private sector, NGOs, governments, other researchers, etc. to find solutions to their development problems. Analyzing complete capacity will bring the evaluator into contact with the multiple IDRC areas that provide capacity development support including Programs Branch, the Evaluation Unit, the Partnership and Business Development Division, Research Information Management Services and the Grants Administration Division

These narratives will be developed through (1) A review of documents including organizational assessments (Institutional Risk Profile), project design documents, monitoring documents (inter alia, technical reports, trip reports, correspondence) and project reports; and where they can be located; (2) Interviews with project leaders, project participants and other key informants in the organisations being evaluated; (3) Interviews with relevant IDRC staff from programs, grant administration and financial management (GAD, regional comptrollers) and units involved in capacity development work with the organizations being evaluated (e.g. responsible program staff, senior IDRC managers, Evalu-

ation Unit, Library, PBDD, etc.) Additional research components (e.g. internet or academic literature reviews, focus groups, surveys, etc.) can be added as needed by the case study author to answer the evaluation questions.

The case studies will need to explore what collaborative efforts were established and achieved throughout the projects/interventions being examined and determine whether these collaborations were established to achieve particular development tasks: to do research, to manage research or to communicate/disseminate research to others to use and/or apply in policy and/or practice. Since our understanding of capacity is that it changes and shifts over time, the case studies will also need to illustrate how these collaborative efforts evolved and shifted over time, and if and how the research problem also evolved or shifted over time.

Each of the case studies will cover a range of projects and activities in the same organisation in order to demonstrate the rich diversity of capacity support interventions that are employed by different IDRC programs and units. This diversity will assist IDRC to look back at its collective work with the organisation in question and to evaluate – in its own terms – the Centre’s ability to apply what has come to be seen as its own tacit list of “good practices” for capacity development.

By collecting data at the lowest level of analysis (the project or capacity development intervention), the case study authors will need to layer or ‘nest’ these units in order to aggregate their data analysis upwards to come up with findings at the organizational level. The end goal is not to measure the partners’ performance per se; rather, it is to explore what links can be made between partners’ performance and the level/type of capacity development support received from IDRC. In framing the case studies around the five data clusters mentioned below (environment, intention, description, performance and recommendations), findings will test key corporate assumptions and should provide information and insights into what and how we are doing under different working conditions, how we understand the concept of capacity development, how we can do better. In all cases, the focus of the analysis should be centred on capacities related to research for development as this is IDRC’s mandate.

### *3. Use of organizational case studies*

As a central piece of this strategic evaluation, the case studies will be used by IDRC staff to support the design, implementation, monitoring and evaluation of capacity development projects and activities. The case studies will also be used by IDRC Senior managers to better understand IDRC’s particular approach to capacity development, as a key corporate result area.

### *4. Case study data collection areas:*

#### **Examination of the research for development context**

Lead questions:

How has/does the overall legal, political, social/cultural and economic environment influence the partner organization’s ability to engage in research for development?

What have been the factors that have most inhibited or enabled the uptake of capacity support for research?

Sub-questions:

How has/is the organization affected by the administrative/legal environment? (Does it have a clearly defined legal framework? Is it affected by bureaucracy?)

Has/is the organization considered influential by others in its external environment?

How is the organization affected by the political environment? (stability, corruption, links to government, links to civil society)

Does the organization take into account the effect of culture on possibilities for access to and participation in capacity development initiatives? (e.g. religious/ethnic/gender/class customs and biases; nepotism; violence and crime)

Does the organization have access to a predictable pool of capable human resources?

Does economic policy support the organization's ability to acquire technologies and financial resources for research capacity building?

Are there other partnerships have been formed with other donors, researchers and civil society stakeholders? For what purpose?

Is there adequate physical and technological infrastructure to enable the partner organization to make the best use of capacity development support?

### **Intention at the outset of the IDRC-partner organization relationship:**

Lead questions:

What were the intentions/expectations of IDRC and the partner organization in terms of capacity development at the outset? How were these intentions/ expectations developed and to be accomplished?

To what extent were the intentions explicit, logical (i.e., based on a theory of change), coherent, appropriate, and connected to the research context and problematique?

Sub-questions:

What lead IDRC and the partner organization to become involved with each other through the project/activity?

What did each one hope to achieve?

If appropriate, did these intentions/how did these intentions change over time?

If there was an explicit objective to build capacity, how was this determined and formulated? If there was no explicit or implicit objective, why not?

Who is/was involved in the building of capacities – individuals, organizations, networks?

What is/was the overall understanding of how capacity changes?

How was the approach to capacity designed? Was there a set approach or was it a 'mixed bag' of approaches?

Did it fit with any conception of "complete capacity" – or was conducting the research considered good enough?

### **Description of the capacity development intervention(s)**

Lead questions:

What capacity development strategies were employed and how were they implemented? Why were they chosen?

How relevant, strategic and effective were the capacity development strategies?

How did the strategies evolve over time? Why?

Sub-questions:

What actually happened? Why did it happen this way?

What kinds of capacity were addressed? (e.g. to do research, to manage research, to communicate/disseminate research?) Using what type(s) of interventions?

How relevant, appropriate and effective were these interventions to the capacity problem or research problem being addressed?

Did/how did the approach to capacity in the project/intervention evolve over time? What results were achieved?

What outputs were produced by the project/intervention? At what level? (individual, organizational, network?)

What (if any) collaborations (partnerships, relationships) were achieved by the partner through the project / activity? What roles did people involved play? How did these change over time? Did the relationship with IDRC lead to other/new collaborations with others?

### **Performance and continuity of the IDRC-partner organization relationship**

Lead questions:

What are the outcomes of the IDRC support in terms of individual and organizational capacities and the conduct and uptake of the research?

What factors helped/hindered the achievement of the outcomes? (related to IDRC and beyond)?

How has IDRC been influenced by the relationship with the partner organization?

What is the ongoing nature of IDRC's relationship with the partner organization?

Sub-questions:

What capacity changes/outcomes have occurred in the partner organization? (improving/expanding research capacities, generating new knowledge, affecting policy and/or practice? Other?)

What changes (if any) have occurred in IDRC as a result of the capacity support relationship between the two?

Did/how did the partner organisation's perception of a research or development problem shift or change over time? To what extent were IDRC interventions a factor in this change of perception?

Are there any significant cases in which the building of capacities at the researcher level has led to macro change at the organisational level? Are there any significant cases in which the opposite has been true?

Has IDRC capacity development support allowed researchers to take on a leadership role in their organisation?

How has/has the building of capacities (individual, organisational, network) contributed to the ability of an IDRC partner organisation to fulfill its mandate?

How has/has the partner's definition of capacity changed over time?

Did/how did IDRC staff collaborate and consult with one another in their dealings with this organization?

What other factors affected the capacity development results with this organisation? (internal context of IDRC, IDRC program objectives, other initiatives in place, including those of IDRC as well as other donors).

Has IDRC capacity building support contributed to effecting systemic change within the research environment? Has it played a role in “influencing established (and often firmly held) paradigms, practices, attitudes and behaviours?” (Adamo) How??

### **Concluding remarks and outlook**

Lead questions:

What are the strengths and weaknesses of IDRC’s approach to capacity development?

How can IDRC improve its capacity support in the future to this organization?

Sub-questions:

How can IDRC best support organizations to respond to challenges and shifts in the external research environment?

How can/can IDRC target the capacity needs of organizations – while continuing to support individual researchers and research groups?

What changes (if any) should IDRC consider incorporating into its plans for capacity development support to the partner organization?

### *5. Responsibilities and Tasks*

The case study authors will complete the following tasks:

Case Study Design and Management:

a) Review of documents including organisational assessments (Institutional Risk Profile), project design documents (Project Approval Documents, correspondence between IDRC and partners), monitoring documents (inter alia, technical reports, trip reports, correspondence) and project reports (technical reports and Project Completion Reports); any other documentation relevant to evolution and status of IDRC’s organisational relationship on issues of capacity development with the case study organisation.

b) Travel to Ottawa and participate in a two day methodology workshop being organized by IDRC’s Evaluation Unit on 3, 4 and 5 July 2007. The objective of the methodology workshop is two-fold: First, to brief case study authors on IDRC’s objectives and rationale for this strategic evaluation and ground the authors’ understanding and development of the case studies on the knowledge base of progress (in both conceptual and in practical terms) achieved under the first phases of the evaluation. Second, by addressing any unanswered questions or doubts that the authors might have, the methodology workshop will provide a space for collective author feedback to IDRC on the direction of the case studies and generate a common understanding of IDRC expectations around case study objectives, questions, content and analysis.

c) Based on the Terms of Reference (TORs) including the lead questions noted under the data clusters outlined above, the reading of the organizational case study file, and discussions at the methodology workshop, the consultant will develop a case study work plan (one for each case study) for submission and approval by IDRC, prior to beginning data collection in the field. The work plan should include a description of the proposed case study methodology and data collection instruments, a work timeline and should flag any outstanding questions requiring attention of clarification from IDRC’s Evaluation Unit.

Collection of Data:

d) Compile a list of key case study informants including, but not limited to: project leaders, project participants and other key informants in the organisations being evaluated; relevant IDRC staff from programs branch, grant administration and financial management (in Ottawa and regional comptrollers) and units involved in capacity development work with the organisations being evaluated (e.g.

senior IDRC managers, Evaluation Unit, Library, PBDD, etc.); external actors including other donors and stakeholders who have interacted with the case study organisation in a capacity development capacity.

e) Using the qualitative and/or quantitative collection methods of preference, collect any additional data (either insider or outside of IDRC), that the case study author deems appropriate and necessary for answering the evaluation questions being posed by IDRC.

f) Travel to the field in order to interview key informants (varies according to case study). Interviews should normally move out from those most directly affiliated with the project to those purported to have been affected by or to have used the results in some way. Because there is inherent bias in interviewees to present findings in the best possible light, triangulation of data sources is crucial. Every effort should be made to ensure that interviews are conducted with representatives of at least three of the main groups involved: project implementers in the organisation, beneficiaries, IDRC and where applicable related project participants (other funded or departmental studies which have been linked to the project). The consultant will normally have an opportunity for follow-up visits for data verification or further data collection where warranted;

g) Participate in a validation workshop in a location to be determined (most likely Ottawa), the consultant will make a brief presentation, describing the case and indicating preliminary findings. The consultant may be asked to facilitate the data analysis or may be asked to be an active participant in the process. Following the workshop, the team may determine that it is advantageous to follow up the findings with further data collection in the field, either for the introduction of new respondents or to gather data in areas not yet addressed in the case; and

h) Finalize the case report based on inputs and any further verification carried out, and submit final satisfactory reports in hard copy and electronic format by in accordance with the schedules outlined for each case study. Upon completion of all the case studies, the Evaluation Unit may invite the consultant to participate in a cross comparative case study analysis of the data.

## 6. Timeline

Timeline varies for different case studies due to variations in authors' abilities to travel to the field and/or IDRC regional office abilities to accommodate author visits. Overall, first drafts of the case studies are expected in November 2007. The Evaluation Unit plans to hold a validation workshop with case study authors, IDRC staff, select partners and other interested stakeholders in the first months of 2008. Final drafts are expected by the end of first quarter in 2008.

### **ANNEX 1: Good Practices that Contribute to IDRC's Capacity Development (adapted from DAC, 2003 and IDRC's Corporate Assessment Framework, 2006)**

Good Practices That Contribute to Capacity Development	Manifested in IDRC through:
IDRC characteristics	
Persistence	Sustained mentoring Continuity, prolonged engagement Iterative learning process Aim to build legitimacy, credibility and trust
Flexibility	Funding arrangements Location within Canadian government system

Good Practices That Contribute to Capacity Development	Manifested in IDRC through:
	Agility to respond to developing country needs
Resilience	Stay engaged under difficult circumstances Provide legitimacy, credibility and trust
Building Partnerships	
Relationships	Networks of individuals and organizations/institutions Inter-organizational linkages Face-to-face interactions between/among IDRC staff and researchers Providing legitimacy and credibility to partners and beneficiaries
Good Practices That Contribute to Capacity Development	Manifested in IDRC through:
Harnessing Existing Capacities	
Strategic Intelligence	Scan locally and globally, reinvent locally – regional presence to determine existing capacities Staff knowledge of regions
Build on existing capacities	Sustained mentoring – provide long-term support beyond “one-off training” sessions Regional presence – to determine existing capacities Use local, existing capacities rather than creating parallel systems
Relevance of the Problem	
Locally-driven agenda	Local ownership Local and global participation in determining the agenda Programs continually evolving to meet developing country demands Bring southern perspectives and voices to the analysis of development challenges Support devolvement of major research initiatives when appropriate



## APPENDIX 2 - CASE STUDY FRAMEWORK

Theme	Topics	Sub-topics	Data Sources & Methods
1. Development Research Context	<p>Influence of the (political, legal, social and economic) environment on MoE's ability to engage in research for development</p> <p>Factors affecting the uptake of capacity development support in environment and sustainable development</p>	<ul style="list-style-type: none"> <li>-Effects on MoE of administrative/legal environment; its mandate and its mode of operations</li> <li>-MoE's influence and reputation</li> <li>-Effects of political environment</li> <li>-Major changes in development environment</li> <li>-Consideration of cultural aspects in capacity development</li> <li>-Access to human and financial resources</li> <li>-Partnerships with donors and other stakeholders</li> <li>-Infrastructure for uptake of capacity development support</li> </ul>	<p>*Background documents on political economy in Cambodia, evaluation reports, etc. (see references)</p> <p>*Key informants from donor/development agencies, IDRC, and MoE (interviews)</p> <p>*Findings and selected sources from 2005 project review</p> <p>*IDRC -All Partners and LI Forestry round table meetings</p>
2. Intentions of IDRC and MoE	<p>Expectations of IDRC and MoE in capacity development, including development of intentions and strategies</p> <p>Linkages of expectations with development context and problematique</p>	<ul style="list-style-type: none"> <li>-Reasons for IDRC and MoE to work together</li> <li>-Expectations, roles in articulation and changes in expectations</li> <li>-Focus: individuals, organizations, networks</li> <li>-Understanding of capacity development</li> <li>-Design of capacity development approach</li> <li>-'Complete' capacity?</li> </ul>	<p>*Project documents and reports</p> <p>*Key informants projects, MoE, IDRC, advisors (interviews)</p>
3. Capacity development interventions	<p>Rationale, design and implementation of capacity development strategies</p> <p>Relevance, and effectiveness of strategies</p>	<ul style="list-style-type: none"> <li>-Description and analysis</li> <li>-Types of capacity (to do, manage, etc. research) and what types of interventions</li> <li>-Relevance and effectiveness of interventions</li> <li>-Evolution of interventions and</li> </ul>	<p>*Two projects in depth: interviews with range of project team members and advisors /technical and research reports</p> <p>*LI-PMCR final re-</p>

	Evolution and reasons for change	<p>results</p> <ul style="list-style-type: none"> <li>-Outputs at individual, organizational, network level</li> <li>-Collaboration, roles, changes because of relationship with IDRC</li> </ul>	<p>port workshop</p> <ul style="list-style-type: none"> <li>*Additional interviews with KIs from 2 other projects and research reports</li> </ul>
4. Performance and continuity	<p>Individual and organizational capacity outcomes, and outcomes in conduct and uptake of research</p> <p>Factors affecting outcomes</p> <p>Influence on IDRC</p> <p>Present relationship IDRC - MoE</p>	<ul style="list-style-type: none"> <li>-Capacity outcomes in MoE (research capacity, new knowledge, new policy/practice.)</li> <li>- Changes in IDRC</li> <li>-Change in perception of development problem, IDRC's contribution to that</li> <li>-Link between researcher level capacity change and organizational change; and: organizational change leading to individual capacity change</li> <li>-Leadership and capacity building</li> <li>-Leadership and organizational mandate</li> <li>-Change in definition of capacity over time</li> <li>-IDRC staff collaboration and consultation</li> <li>-Other factors affecting organization's capacity</li> <li>-Contributions to systemic changes in environment (paradigm, practices, attitudes and behaviour)</li> </ul>	<ul style="list-style-type: none"> <li>*Two projects in depth: interviews with range of project team members and advisors/technical and research reports</li> <li>*LI-PMCR final report workshop</li> <li>*Additional interviews with KIs from 2 other projects and research reports</li> <li>*Findings and selected sources from 2005 project review</li> <li>*RLNR program planning (2006) and program review and planning meeting (July 2006)</li> </ul>
5. Recommendations	<p>Strengths and weaknesses</p> <p>Improvements in capacity support to MoE in future</p>	<ul style="list-style-type: none"> <li>-IDRC support to MoE to respond to challenges and changes in environment</li> <li>-IDRC strategy for capacity needs of MoE – while continuing to support individuals and teams</li> <li>-Changes in capacity development support to MoE</li> </ul>	<p>Summary &amp; conclusions from all of above</p>

## APPENDIX 3 – CAPABILITIES FRAMEWORK

Capabilities	Issues or Criteria	IDRC Contributions/ Achievements re. MoE capacity development		
		First Phase (93-97): Inst & Org Dev	Second phase (98-2002): Research Projects	Third phase (2002-present): Cambodian Capacity Developers
To act: and self organize: based on commitment, space, confidence, values and identity. Constraints: conflicting mandates, ltd resources, protection, contributing to satisfactory under performance	<p>Degree to which decisions are implemented</p> <p>Degree and use of operational autonomy</p> <p>Action orientation within the system</p> <p>Integrity of organization, leadership and staff</p> <p>Effective human, institutional and financial resource mobilization</p>	<p>-development of foundational elements: organization structure, policy and legal framework</p> <p>-HR recruitment, training and research agenda</p> <p>-leadership of MoE with reputed integrity</p> <p>-dedicated advisors, donor coordination</p>	<p>-recruitment of committed individuals of demonstrated integrity to lead projects and select team members</p> <p>-recruitment of advisers committed and able to strengthen Cambodian ownership of projects</p> <p>-participatory planning and management of projects</p> <p>-effective support and monitoring by program officers</p> <p>-financial resources enabling participants to dedicate time to agreed activities</p>	<p>-creation of new support organization with new identity, lead by people sharing commitment, value and identity (CBNRM),</p> <p>-new source of support to assist individuals and groups in MoE to get better organized</p> <p>-program governed by project/ organizational reps</p>
To generate development results: functional and more generative (systems change, linking and bridging). Linkages between this capability and 4 others.	<p>Strengthened public institutions and services</p> <p>Substantive outcomes: better environment</p> <p>Improving sustainability of development results</p>	<p>-information management, EIA, other technical training</p> <p>-policy research projects</p> <p>-participatory research approaches</p> <p>-involvement of 'secondary' organizations</p>	<p>-development of operational models for coastal zone mgmt, community forestry, community fisheries,</p> <p>-participatory research and facilitation competencies, including in strengthening of local organizations</p> <p>-contributions to legal frameworks in forestry, PA mgmt, decentralization</p>	<p>-technical support from LI and sharing to research projects</p> <p>-introduction of more thorough reflection/M&amp;E through case studies and later through:</p> <p>-shared research capacity development support</p> <p>-incorporating 'research capacity development capacity'</p>
To relate: to other actors within its context, to gain support and protection/legitimacy. Informal approaches and political dimension important.	<p>Degree of legitimacy in eyes of supporters and stakeholders</p> <p>Ability to protect the core interests of the system</p>	<p>-inter-ministerial linkages, national environment steering committee</p> <p>-donor coordination and later collaboration</p> <p>- generating political support (involvement</p>	<p>-inter-organizational project management (CFRP)</p> <p>-linkages with provincial and other local authorities</p> <p>-sharing of project ex-</p>	<p>-through new organization, program, and network governed by representatives of key actors in environment and natural resources</p> <p>-enhanced understanding and legitimacy of CBNRM</p>

	Operational autonomy	of PM)	periences with other agencies  -operational autonomy of project teams enhanced through enhancing project leader/team ownership	
To adapt and self-renew: to master change and adopt new ideas	Adaptive management culture  Ability, opportunity and discipline to learn  Confidence to change  Ability to balance stability and change	-technical advise  -research projects  -training and study tours	-changes in project plans based on findings from the field/ change in conditions  -learning events and technical advice  -recurrent review and reporting, and adaptation of plans	-at project level as earlier  - at organizational level through support of support organization, program and network
To achieve coherence: tension between need to specialize and achieve coherence; to combine results with being a political system	Integrating structures within the system; A well defined set of simple rules that govern operations; A leadership intent on achieving coherence; A shared vision of the intent of the organization	- preparation of strategic plan and national environmental action plan; - introduction of program approach (CEMP); - multi-donor support to plan and program	- negotiated project plans; - monthly and planning meetings; - learning events  -project-based approach does not help to achieve coherence at system or program level	-to mobilize other organizations to achieve coherence with other key organizations in ENRM

## APPENDIX 4 - INTERVIEWS & MEETINGS

Name	Position	Relationship to MoE Capacity Building	Method
IDRC			
Brian Davy	Former Senior Program Officer	PMCR and LI	Interview
Stephen Tyler	Former Program Leader CBNRM	CBNRM and EIA/EPA	Email and informal interview
Richard Fuchs	Regional Director	CRDF	Email comments on draft and briefing/ discussion
Hein Mallee	Senior Program Officer	RPE/ENRM Cambodia	Email comments on draft and interview
Advisers			
Tobias Carson	LI Program Adviser	All 5 IDRC projects in CBNRM	3 interviews and discussions
Rebecca Guieb	Consultant	PMCR, CFDO, LI and LeARN	interview
Melissa Marschke	Fmr. PMCR Adviser	PMCR, LI and D&D	Email feedback (planned: future critique)
Tony Nooyens	Fmr. UNDP/CARERE project leader	Resource Management Policy Ratanakiri	interview
Ashish John	Fmr. IDRC research project leader	Resource Management Policy Ratanakiri & DNCP/MoE	interview
Noelle O'Brien	Manager Capacity Building RECOFTC	Fmr. Consultant CEMP and other environmental initiatives	interview
(Gary Newkirk)	Fmr. PMCR adviser	PMCR	2005 interview notes
MoE and CBNRM Projects			
Chay Samit	Director DNCP/MoE	Board LI, Project Steering Com. CFRP	interview
Ken Serey Rotha	Dy Director DNCP/MoE	Director LI; Fmr. Project manager CFRP	2 interviews
Srey Marona	Chief CPADO/DNCP/MoE	Head of Program LI; CFRP Management Team; Fmr. Research Team Leader	interview
Sy Ramony	Chief ONPWS/DNCP/MoE	CFRP Project Team Leader	2 interviews

Kim Sarin	Dy Chief CPADO/MoE	CFRP Research Coordinator/Dy Team Leader	2 interviews
Hou Kalyan	Training Officer RE-COFTC-FA CF Project; CPADO/ DNCP/ MoE	Program Officer LI; Fmr. Research Team Leader CFRP	interview
Meas Sothun Vathanak	Staff CPADO/ DNCP/ MoE	Research team member and later leader CFRP	interview
Kim Nong	Dy Director DEE/ MoE	PMCR leader	2 interviews + 3 meetings
Khy An	Fmr. Prov Fisheries Dept/ MAFF- now D&D/MoI	Fmr. Provincial PMCR	interview
Chey Pich Rathna	Prov Env Dept/MoE	Provincial PMCR	interview
Chin Nith	Staff DNCP/MoE	National PMCR	2 meetings
Piseth	Staff DNCP/MoE	National PMCR	2 meetings
Tin Ponlok	GEF/MoE	Fmr. National Coordinator CEMP	interview
Other agencies			
Lay Khim	UNDP	Fmr. MoE	interview
Min Muny	UNDP	Fmr. Project Director CARERE Ratanakiri	brief interview
Nhem Sovanna	ENRM/DoLA/MoI	Fmr. Research project leader Ratanakiri	interview
Name of meeting	Participants	Focus	Dates
Review and Planning RLNR	Reps from all 5 org and projects in RLNR	Review of activities and plan for coming 6 months	24-26 August, 2007
IDRC All Partners Forum (12-13 Sept)	80 former and present IDRC partners	Experiences and priorities in development research in Cambodia	12-13 September, 2007
PMCR final report meeting (LI)	PMCR team. LI staff and reps from other RLNR partners	Final PMCR document on lessons from 10 years	27-28 September, 2007
Forestry Roundtable (LI)	20 reps forestry projects & agencies	Priorities and strategies for forestry governance/ development	17 October, 2007
Feedback Meeting	UNDP, MoE: CFRP&PMCR, LI	Feedback on main findings of case study	11 July, 2008

## **APPENDIX 5 – REPORT OF FEEDBACK SESSION**

### **Feedback on Main findings from case study of IDRC's contributions to capacity development of Ministry of Environment, Cambodia.**

#### **Background**

Respondents interviewed in October-November 2007, for the case study on IDRC's contributions to MoE's capacity development, were invited to a feed back session on the presentation of the main findings. The session was held at the CBNRM Learning Institute, on Friday 11 July 2008. The findings from the case study were presented in 2 Power Point presentations, attached below.

Participants in the feed back session included:

- a. MoE/PMCR: the project leader and three PMCR research team members (4 persons),
- b. MoE/CFRP: the project manager, field coordinator, and research team leader (3 persons),
- c. UNDP: the environment team leader (formerly with MoE) and international technical adviser (2 persons),
- d. CBNRM Learning Institute: Interim Director (Chief of MoE-CPADO/CFRP Executive Committee member) and Program Adviser (formerly PMCR project advisor) (2 persons).

#### **Questions and Comments**

Reactions from participants referred to the approach pursued in the case study, the development context in Cambodia, MoE's capacity and needs for capacity development, IDRC's role and strategy in Cambodia, and other comments on specific findings.

##### *Case study approach*

1. UNDP: As no proper baseline study of MoE's capacity has ever been done, it is difficult to identify the gaps in capacity and the needs for capacity development. In the discussion on this point the need for a clear conceptual framework of 'capacity' was mentioned and reference made to the '5 capabilities' framework presented in the case study.

2. LI: The CEMP is/was a good example of organizational capacity development through a sector wide approach. The case study report does not provide enough information about CEMP, its approach and its results. That is a pity as much could be learned from that example, even if you were to focus in future on a specific function of MoE such as protected area management. In response the author admitted that he had experienced difficulties in finding written CEMP reports with more specific information and most of the information in the case study report therefore was derived from rather general IDRC project information, and from 3 key informants.

### *Development context*

3. CFRP: The report mentions that Cambodia is one of the most challenging countries to bring about change towards greater equity and sustainability of ENRM. That may be true from the perspective of outsiders, but as insiders we feel that much progress has been made if you compare where we were in ENRM policy and practice 15 years ago and where we are now.

4. PMCR: An illustration of this development is the thinking and legal arrangements for the role of communities in protected areas. Ten years ago even some of the people now around this table did object to local people participating in protected area management. Now many people and organizations agree and support it, and there is legal support for it as well.

### *MoE Capacity*

5. UNDP: There is no 5-10 year 'strategic' capacity development plan for MoE. Such plan should be based on the vision of the institution itself. There are some bits and pieces, such as the National Biodiversity Action Plan and the Action Plan of the Technical Working Group on Environment and Forestry.

Another challenge to MoE's capacity will arise with the expected passing of the Draft Protected Areas Law. Community participation is an important aspect of that law, but does MoE have the capacity to support community participation? This also requires a clear vision and long term strategy for the management of the protected area system. There is quite a bit of donor interest in PA management, and there is a need to support this in a coordinated manner, particularly related to the legal empowerment of local communities.

6. LI: Reiterates need for greater capacity related to PA law. A special need is to work more on the role of the private sector and public-private partnerships in PA management.

7. MoE (PMCR and CFRP): Presently the MoE is undergoing some re-organization. Though it may be difficult to include this in the case study at this stage (as it is still being implemented), one trend that could be mentioned is that most of the people involved in IDRC projects get more responsible positions.

### *IDRC's role and strategy*

8. UNDP: Past experiences demonstrate that IDRC's comparative advantage is in the development of leadership capacities of 'new professionals'. Claims of contributions to policy change, organizational development, etc., can easily be exaggerated, and need to take the contributions from other actors (including other donors) into account. More modest claims of types of results could also help in paying more attention to producing credible information, and develop the capacity to conduct credible research. This is also related to the roles and responsibilities in the development of MoE's capacities in PA management, in which IDRC's contributions could aim at developing decision-making or leadership capacity.

### *Specific Findings*



9. CFRP: related to the comparison between PMCR's and CFRP's design and the latter's alleged 'designed to fail', clarification was sought and provided. It was explained that the complexities in the project design required lots of effort from management and team members to make things work.

### **Implications for Case Study Report**

Most of the comments refer to possible follow up action in capacity development of MoE. In the case study report it is suggested that such follow up related to Protected Area management could possibly be considered by IDRC. Key partner organizations such as CBNRM LI and/or CDRI would have to identify such PA related organizational capacity 'research and development' as a priority, in addition to MoE and the two MoE affiliated IDRC supported research components of the RLNR program.

New considerations, to be considered for adding to the report, include the apparent optimism about the likelihood of the imminent passage of the 2003 Draft Law on Protected Areas. Another issue to be mentioned is the reported on-going re-organization of the Ministry, and the impression that people involved in IDRC supported projects get more responsible positions. Details of the re-organization need to be assessed and implications for organizational capacity development identified. The importance of involving key donors (including UNDP, World Bank and Danida) and other -national and international- development organizations supporting MoE in protected area management was underlined by the comments from the UNDP representatives in this feedback session. A final aspect to be included in the report is the perception of IDRC's comparative advantage in leadership development.

## APPENDIX 6 - PROFILES OF CBNRM RESEARCH PROJECTS IN CAMBODIA

### RMPR: Resource Management Policy in Ratanakiri, phases 1 - 3

**Date started:** 1995 preparatory research; 1997: project

#### **Main objectives**

Sustainable use of natural resources

Protection of cultures

Secure livelihoods for local communities

Focus

**Initial focus** on piloting community-based natural resource management in several communes (e.g. Yeak Lom Lake)

Community forestry

Eco-tourism

Land use planning and mapping (started with a CBNRM focus, switched to PLUP as this framework emerged)

Improving land tenure security for indigenous people (communal land titling, started in phase two)

Sustainability of a shortened swidden cycle

#### **Main strategies**

Initial work helped UNDP CARERE to consider NRM (then the IDRC action research was integrated into the CARERE work) and the needs of indigenous people

Land use planning and mapping for nearly 2/3 of Ratanakiri province

Research in 3 – 4 communes on specific components (i.e. CBNRM, eco-tourism, agricultural extension)

Capacity development of the provincial government, line agencies and commune government

Linkages with national agencies on policy (implementation) issues

#### **State of the project**

Last phase ended in December 2005

#### **Main outcomes, lessons, issues, questions, challenges**

One of the first examples of commune-focused CBNRM in Cambodia

Commune maps approved by provincial government; working within governance structures to scale out CBNRM-type activities (the first example in Cambodia)

Placed 'indigenous issues' on the national agenda i.e. promoting greater respect for local cultures; PLUP for IP; communal land titling

Illustrates the strengths and weaknesses of working through formal governance channels where roles and responsibilities related to NRM (among other things) are still be sorted out (a major challenge is the time taken to discuss and negotiate with / between line departments)

Extensive documentation, including videos and a book of case studies related to CBNRM in Ratanakiri (facilitated by CBNRM LI). The extent to which these materials are translated into appropriate languages for local use, or are effectively targeted in terms of advocacy is less clear

Team did not have adequate time to consider a sustainable 'phasing out' strategy with current workloads.

### PMCR: Participatory Management of Coastal Resources, Phases 1 - 3

**Date started:** December 1997 (after preparatory research in early 1997)

#### **Main objectives**

CBNRM capacity building at the local level

Integration of CBNRM into commune level plans

Outreach and advocacy to decision-makers

Sharing experience, skills and attitudes

#### **Focus**

Initial focus on resource planning and management in several mangrove fishing communities within one protected area

Small-scale livelihood activities

Focus on community organizing and conflict resolution inside and outside the protected area (village and commune level)

#### **Main strategies**

Initial workshops and project team sensitizing process, with an emphasis on environmental education and study tours with interested villagers

Started community organizing work in several villages in 2000

Piloting small-scale livelihood activities, involving the local resource management committees (crab fattening, mangrove replanting, home gardening, waste management)

Current emphasis is on ecosystem-based management, which spans several administrative boundaries. This is part of a scaling up / out process.

#### **State of the project**

Phase 3, funding until 2007; continues with new emphasis RLNR research component

#### **Main outcomes, lessons, issues, questions, challenges**

Strong community organizations in pilot villages, self-initiating community-based management activities

Good linkages with other projects in Koh Kong (in part, facilitated by 'connections' – key staff left PMMR at the end of phase 2 for other coastal projects making collaboration easier; in part facilitated by length of time in area and strong leadership from project team leader)

Small-scale livelihood activities were challenging to facilitate and implement. In part, lack of technical support; in part, lack of mentoring; in part, lack of supporting the 'right' livelihood options (villagers most interested in chicken and pig raising; PMMR encouraged other options as Danida CZM supported these animal raising activities)

Challenging to get a strong provincial team in place, relies on national level

Strong action orientation, one concern is if breadth of lessons are being appropriately reflected upon and shared

Considering 'exit' strategies, on multiple levels (ensuring planning is within CC framework; ensuring funds for local activities; supporting and strengthening committees).

### CFRP: Community Forestry Research Project, Phases 1 - 2

**Date started:** Started in 1999

**Main objectives**

To build human resource and institutional capacity for community forestry

**Focus**

Field based action research

Using research results to support and change policy

Strengthening inter-institutional learning

**Main strategies**

Establishing community forestry in five different forest sites (protected area, FA land, different forest types), partnering with NGOs working in each area

Creating management plans, and in one case, working on forest management

Cross-institutional linkages, working with MoE, FA and RUPP and various partners in each field site.

**State of the project**

End of Phase 2, project ended in March 2006 (no cost extension until September 2006); Protected Areas component continues as RLNR research component; and new Community Forestry research component under RLNR.

**Main outcomes, lessons, issues, questions, challenges**

Field tested and adapted process and knowledge for community forestry assessment, planning and implementation

Key facilitator within the community forestry working group, an important body in getting consultation into the community forestry sub-decree process

Produced a field facilitation manual, with key lessons from all field sites (in Khmer)

Have worked extensively with one community forestry committee, Chumkiri, to address several forest management issues

CF agreements informally approved in 3 out of 5 sites.

CFDO: Capacity Building In Community Fisheries Management, Phases 1 - 2

**Date started:** 2002

**Main objective**

To facilitate the development of community fisheries management in Cambodia through capacity building and networking

**Focus**

Understanding the nuts and bolts of community fisheries

Training and reflection related to field work

**Main strategies**

Reflecting with CFDO staff on lessons learned related to community fisheries from their work with multiple donor organizations now working with CFDO

For phase 2, linked to CBNRM LI as a means to provide on-going capacity and mentoring support

Using pilot sites to better understand community fisheries, and to begin to strengthen DoF staff at the provincial level (Community Fisheries Units)

**State of the project**

End of phase 2: March 2006; no cost extension and new phase as part of RLNR program, since March 2007

### **Main outcomes, lessons, issues, questions, challenges**

Greater understanding of community fisheries is (i.e. concept and attitudes) and understanding the linkages between various donor projects working in community fisheries (although this understanding remains 'limited')

Community fisheries notion was particularly abstract for many staff until linked to field sites (community fisheries new to many staff many of whom came from the inspection unit of DoF); Staff could now talk about their specific field sites although were abstracting from these examples to the entire country (even though issues vary across the country).

Challenge in keeping qualified staff (all projects have faced this, but this has been particularly true in the case of CFDO given the influx of 'big' donors)

### CBNRM LI: CBNRM Learning Institute, Phases 1 - 2

**Date started:** June 2001

### **Main objectives**

Human resources development

Knowledge building and sharing

Partnerships and networking

Institutional arrangements and policy support

### **Focus**

Exchanging ideas and learning surrounding CBNRM issues

National platform that draws in a variety of experiences (including field experiences)

### **Main strategies**

Initially used case study writing and analysis as a means of bringing people together around CBNRM issues

This mechanism also brought together the IDRC CBNRM projects

Extensive networking and participation in a range of policy-related CBNRM issues (many national-level policy discussions)

Provided an 'independent' platform for learning and sharing surrounding CBNRM, including first national-level CBNRM workshop in 2002

Linking authors from various perspectives to produce the State of CBNRM text

Establishing an independent learning institute to work on CBNRM, including a pool of trainers and researchers

### **State of the project**

Phase 2 funding until 2007; presently including focus on research capacity building in IDRC RLNR program and facilitation of CDRF with CDRI.

### **Main outcomes, lessons, issues, questions, challenges**

Link together many organizations working on CBNRM issues (no other group that networks in a cross-sectoral manner and actively includes government, donors and NGOs)

Case studies were useful to draw in different actors working on CBNRM, providing an opportunity for local reflection upon issues. Distribution in English and Khmer had a wide impact. This process-oriented approach was designed to get people thinking about a range of CBNRM issues. Specific impact is hard to evaluate, as some felt case studies were not particularly 'rigorous', others felt they were too controversial

(government departments, as an example, that NGOs criticized). Perhaps the State of CBNRM book was a more serious 'academic' exercise (in terms of output)

Produced the State of CBNRM in Cambodia

Ability to train / facilitate a series of courses i.e. facilitation skills; TNA; case study writing; PC&I

In focusing on partnering and networking, can be spread thin. Need to partner with field projects to ensure depth and continuous new learning from the field

(Source: Veer, Min and Marschke, 2006)

## APPENDIX 7 - ENRM GRANTS & RECIPIENT ORGANIZATIONS 1993-2008

Year	Grant title	Nature of Activity	Amount non-MoE recipients	Amount received by MoE	Recipient	Overall Strategy
1993	Environmental Policy Adviser (EPA I)	MoE Policy/OD Adviser	??		MAFF	MoE Organizational Development & ENRM Participatory Policy Research
1994	Env pol adv (EPA II)	Institutional development		142,100	MoE	
	Integrated Pest Management (IPM II)	Participatory research	342,155		MAFF	
	Wetlands for wastewater	Participatory research		292,749	MoE & MPW	
	Environm. education			5,067	MoE	
1995	Cap Bldng/Research MoE	Participatory Research		203,000	MoE	
	Environm. Impact Assessment /regional planning (ADB)	ADB funding/IDRC TA			MoE	
	Soc Sci in fisheries training	Training	27,642		MAFF	
1996	Research Support Activity (RSA)	Scoping study mangrove mgmt		2,376	MoE	
	Cambodia Environmental Management Program (CEMP)	MoE program Development		513,819	MoE	
	Resource Management Policy in Ratanakiri (RMPR I)	Participatory research	551,022		UNDP	
1997	Participatory Management of Coastal Resources (PMCR I)	Participatory research		426,784	MoE	
	RMPR II	Participatory research	508,242		UNDP	
	Coastal communities	Participatory research		94,407	MoE	
1998-99	Community Forestry Research Project (CFRP I)	Participatory research		392,440	MoE	As above, plus:  more focus on CBNRM - less focus on MoE Organizational Development
	ComFor proj dev	Meeting		610	MoE	
2000	Scoping case studies project	Scoping study	22,233		WWF	
	PMCR II	Participatory research		499,100	MoE	
2001	Case studies & netw.	Capacity development-networking	328,560		WWF	
	RMPR III	Participatory research	415,720		UNDP	
2002	Community Fisheries Management (CFDO I)	Participatory research	254,354		MAFF	As above, plus:  more building & mobilizing capacity-builders and CBNRM program/ network
	Community forestry policy consultation	Legislative development		16,000	MoE	
2004	PMCR III	Participatory research		399,990	MoE	
	CBNRM Learning Inst	Capacity development-networking	414,544		LI	
	Proposal for DFID (LI)	Scoping study	5,000		LI	
	ComFor II	Participatory research		463,144	MoE	
2005	CBNRM review	Program review	51,100		cons	
	ComFish Mgmt II	Participatory research	188,800		MAFF	
2006	Rural Livelihoods and Natural Resources (RLNR) - planning	Program development	65,300		MAFF, MoE, LI	
	Local Revenue Generation	Case study	5,000		cons	
2007	RLNR development research program	Participatory research-capacity development -networking	1,200,000	400,000		
2008	Cambodia Research Forum	Capacity development - networking	500,000		LI, CDRI	
	Total grants		4,879,672	3,851,586		

Source: IDRC-ASRO, 2007

## **APPENDIX 8 – BIOGRAPHY OF CASE STUDY AUTHOR**

Cor Veer is an independent consultant in rural development and natural resource management, based in Bangkok, Thailand. From 1993 to 2004, he worked with the Regional Community Forestry Training Center (RECOFTC), managing community forestry development activities in 10 Asian countries. From 1985 to 1993 he was with the FAO Regional Wood Energy Development Programme in Asia and from 1978 to 1985 as lecturer in socio-economic aspects of forestry in Wageningen Agricultural University, the Netherlands.

Cor holds a Diploma in Agronomy and Animal Husbandry and a MSc in Rural Sociology from Wageningen Agricultural University.

Cor Veer  
CBNRM-Consult Co., Ltd.  
50/640 Moo 1, Kukot, Lam Lukka  
Pathumthani 12130  
Thailand

Phone/fax: + 66 2 987 7202  
Email: [aucor@loxinfo.co.th](mailto:aucor@loxinfo.co.th)