

**INSTITUTIONAL CAPACITY ASSESSMENT  
OF  
COMMUNITY-BASED ORGANISATIONS IN A MOUNTAIN WATERSHED  
(A Case Study of Jhikhu-Khola Watershed in Kavrepalanchok District, Nepal)**

**A dissertation submitted for partial fulfilment of the requirements of  
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**Purbanchal University  
Sagarmatha Multiple College  
Department of Sociology/Anthropology  
Kathmandu**

**Submitted by**

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**LETTER OF RECOMMENDATION**

This is to certify that Mr. Prem Krishna Manandhar has completed this dissertation entitled **“Institutional Capacity Assessment of Community-Based Organisations in a Mountain Watershed** (A Case Study of Jhikhu-Khola Watershed in Kavrepalanchok District, Nepal)” under my supervision and I recommend the same for acceptance and approval.

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**LETTER OF ACCEPTANCE**

This dissertation entitled “**Institutional Capacity Assessment of Community-Based Organisations in a Mountain Watershed** (A Case Study of Jhikhukhola Watershed in Kavrepalanchok District, Nepal)” by Mr. Prem Krishna Manandhar has been accepted as partial fulfilment of the requirements of Master of Arts degree in Sociology.

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## **ABSTRACT**

This research on the five community-based organisations (CBOs) located in Jhikhu-Khola watershed, Kavrepalanchok district of Nepal assessed their institutional capacity comprised of planning, management, financial, and linkages (partnership) aspects. As a context to the assessment, socio-economic background of the CBO member households; working environment of the CBOs; local participation and contribution in CBOs; and role of CBOs on sustainable management of natural resources were also reflected upon.

The research employed descriptive-cum-exploratory design and data collection methods involved institutional survey of the CBOs; sample survey of the member households of the CBOs; key informant interviews; and personal observation of the CBO works and their member interaction.

The study concluded that the CBOs are functioning not very well as none of the studied CBOs could register as having sufficient organisational capacity. While one of them portrayed overall 'capacity gap' the rest four managed to register 'fair capacity'. The capacity gaps were observed mainly in management, finances and linkages. Women, in these CBOs have shown commitment and contributed a lot despite of their proxy roles in the mixed CBOs where their spouses are the legal members.

The research presented the socio-economic findings in tables disaggregated by caste and ethnicity. The institutional capacity levels of the studied CBOs are logically interpreted and presented in comparative tables. Similarly, the study has come up with a set of recommendations for enhanced institutional capacity of the CBOs; suggested issues for further research; and brief institutional capacity profiles of the studied CBOs. Finally, the research could be viewed as a methodological contribution towards institutional capacity assessment of the CBOs in mountain watershed context.

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## **LIST OF ABBREVIATION**

Co-op	Co-operative
CBO	Community-Based Organisation
CF	Community Forestry
CFUG	Community Forest User Group
CPR	Common Property Resources
CPRI	Common Property Resource Institution
DDC	District Development Committee
DFO	District Forest Office
FUG	Forest User Group
HH	Household
HKH	Hindu Kush-Himalayas
ICIMOD	International Centre for Integrated Mountain Development
IDRC	International Development Research Centre
ISRSC	Informal Sector Research and Study Centre
LA	Local Administration
LG	Local Government
LO	Local Organisation
MO	Membership Organisation
MRM	Mountain Resource Management
NGO	Non-Government Organisation
NPLAP	NGO-CBO Participatory Learning and Advisory Project
NRM	Natural Resource Management
NTFP	Non-Timber Forest Product
PARDYP	People and Resource Dynamics in Mountain Watersheds of the HKH Project
PB	Private Business
PM&E	Participatory Monitoring and Evaluation
SO	Service Organisation
Sq. km.	Square kilometre
SWOT	Strength, Weakness, Opportunity and Threat
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
VDC	Village Development Committee

# CHAPTER ONE

## INTRODUCTION

---

### 1.1 Background of the Study

In a mountainous country like Nepal, watershed management has been a dominant paradigm for the holistic development of the country. In Nepal, the watershed management programme was initiated by the Department of Forest in 1966 through a project named 'Survey and Demonstration for the Development and Management of the Trisuli Watershed – A Pilot Project' and the systematic programme of soil conservation started with the establishment of the Department of Soil Conservation and Watershed Management in 1974 (Tripathi, 2001:3).

The term 'watershed' originates from the science of hydrology and several definitions of the term are available. The American hydrological terminology defines a watershed as a geo-hydrological unit comprised of all land and water within the confines of a drainage divide (Ibid). Watershed management – one of the natural resources management [NRM] areas – requires protection or restoration of forest resources in conjunction with better water and soil management practices in hilly areas that capture rainfall.

It is observed that membership organisations – a category of local organisations are less important for watershed management than in other NRM areas [forest management, rangeland management, irrigation water management, soil conservation etc.] unless some subsidies are provided by government as the area offers weaker incentives to resource users for collective action (Uphoff, 1986:48).

However, local institutions are actively involved in the specific areas of NRM and there are cases of external projects working together with several membership organisations like natural resource [forest, water] user groups, farmer groups, village development committees [VDCs] and social clubs. Such projects seek to achieve its aim of integrated watershed management or NRM by bringing together the sector specific [e.g., forest, water, agriculture] user groups and building their performance

capacity through their direct and indirect involvement in the project activities. The Mountain Resource Management [MRM] Project [1989-1996] and People And Resource Dynamics of Mountain Watersheds Project [PARDYP: 1996-2005] managed by International Centre for Integrated Mountain Development [ICIMOD] in Jhikhu Khola watershed area of Kavrepalanchok District are some of the examples.

The MRM project stated:

...the team consisted of three groups: local farmers, the ICIMOD/MRM and University of British Columbia teams, and a number of graduate students. Farmers became an integral part of the field-monitoring programme. Typically up to 40 farmers were employed on a part-time basis to carry out a number of tasks such as measuring daily rainfall, collecting daily sediment samples, making discharge measurements, monitoring erosion plots and assisting in reclamation work. Many of them allowed the project to use their fields as a research laboratory, and all participated in the socio-economic surveys.

(Shah and Schreier, 1995:127)

Similarly, the external evaluators of PARDYP project phase-II observed:

A heavy emphasis is being placed on user groups. This is because these institutions are already in existence and many are known to be active in their communities. However, studies undertaken by PARDYP indicate that community-based organisations [CBOs] 'have a weak voice' and suggest a need for them to be linked up with one another. The project would do well to undertake a programme to support these CBOs [especially forest user groups (FUGs), leasehold forest groups] by helping strengthen institutional capacities, improve organisational performance and the establishment of participatory monitoring systems.

(‘Bhuktan’ et al., 2002:64)

There is now growing recognition of the two critical factors for sustainable management and development of the watersheds: (i) the exogenous support [financial, technical, etc.] in the form of time-bound projects; and (ii) increased capacity of the endogenous actors [local institutions] to utilise the external support together with mobilisation of the internal resources. The capacity however needs to be understood as ‘capability’, which “is a multi-dimensional and complex attribute covering the sum total of organised efforts of the organisation concerned [NGOs/CBOs] in pursuit of their goals” (Badu, 2002:4).

The terminologies institution and organisation are still unclear as to what an institution or organisation constitutes. In general, the terms are used interchangeably in the development field and CBOs are taken as local level institutions. Uphoff (*op cit*:8) states that, to put simply, organisations are structures of recognised and accepted roles, and institutions are complex of norms and behaviours that persist over time by serving collectively valued purposes. As such, there could be (i) organisations that are not institutions [e.g., a new firm of lawyers], (ii) institutions that are not organisations [e.g., the law], and (iii) organisations that are institutions and vice versa [e.g., courts].

An institution in the context of mountain watershed management can be defined differently. The institutions in satiating the social needs incorporate both recurrent individual needs and societal needs. They can be seen in a continuum as those fulfilling (i) protective needs, (ii) protective as well as productive needs, and (iii) productive needs, of the society. Given the involvement in NRM, majority of the CBOs in mountain watersheds are in the economic sphere (economic institutions) dealing with ecological regeneration and economic improvement, and ownership of natural resources.

Nepal has a history of gradual collapse of the traditional indigenous institutions involved in NRM and mushrooming of the externally imposed ones to replace the former. Tripathi (*op cit*:8) referring to several studies has illustrated on how the capacity gap in NRM in terms of local institutional arrangement has arisen. In the past, the grassroots institutions had managed forest, land, rangeland, and water resources successfully in the hills of Nepal. These resources had formally been managed and utilized under certain indigenous institutional arrangements, which were either systematically dismantled or weakened by lopsided government policies. The traditional structures and local institutions are breaking down gradually, whereas the emerging new structures have been ineffective in addressing the growing problem of watershed degradation. This calls for immediate attention to the capacity strengthening needs of CBOs through congenial government policies.

An assessment of institutional capacity of the CBOs involved in watershed management is needed to identify areas that are progressing well, and to reveal

capacity gaps. Such assessment should be done within the context of the CBOs' internal motivation [history, mission, culture, incentive/reward etc.] and its unique external environment [administrative/legal, technological, political, economic, social/cultural, stakeholders etc.]. Such institutional [organisational] assessment or evaluations have been described as “processes, which use concepts and methods from the social and behavioural sciences to assess organisations' current practices and find ways to increase their effectiveness and efficiency” (Lusthaus et al., 1996:7).

## **1.2 Statement of the Problem**

Many mountain watersheds are inhabited watersheds with existence of diverse communities. They come together as groups to eke out livelihood from the available natural resources through its management. Without understanding their indigenous NRM mechanisms, the external prescriptions have rather destroyed the environment. Not much has been done in understanding these institutions and their capacity with a perspective to build on or improve their indigenous NRM mechanisms.

The external projects like PARDYP work with multiple CBOs [called as project partners] with an aim to understand them and develop community-based methods for solving NRM problems. However, the projects neither assess in depth the current status of their partners nor develop specific partner-focused capacity building plans and mechanisms for tracking the capacity building process of their partner CBOs. So, there is always a question on whether local capacity is being strengthened so as to identify and solve NRM problems locally.

The policy prescriptions from the government side governing the CBOs play critical role in their evolution and growth. The frequent changes in government policy [e.g., recent announcement of the Forest Partnership Program requiring FUGs to share their benefit with the government] also generate potential threats to effective functioning of the CBOs. It is thus important to assess the administrative and policy aspects in determining their usefulness and potential impacts upon survival and growth of the CBOs.

Within the CBO world, there seems to be no culture of systematic self-reflection and political will for continuous performance improvement. The vital natural resources within the domain of CBOs are often neglected given the conflict within the communities in terms of gender, ethnicity, caste, and religion. Many CBOs take direct cash and material flow from the external projects as the only mechanism and gains of the partnership. They tend to overlook the non-material gains arising out of association with those projects in terms of exposure to hard and soft technologies, networking and linkages with the outer world and facilitation in reflecting on their own vision and mission.

In summary, there is a need to redefine local institutions [CBOs] in the context of mountain watersheds and to explore on how to increase their institutional capacity. This calls for identification and assessment of the key components of institutional capacity as well as identification of an appropriate methodology for institutional capacity building interventions for sustainable watershed management.

The main research question for the current study is: How well are the CBOs functioning in Jhikhu-Khola watershed area in terms of their institutional capacity? The specific questions are:

- What is an institution in the context of mountain watershed management?
- What are the traditional and modern NRM mechanisms?
- What are the key components of the institutional capacity of the CBOs?
- What are the overall strengths and weaknesses of the CBOs in Jhikhu-Khola watershed area in terms of their institutional capacity?
- What are the methods for CBO capacity building interventions?

### **1.3 Objectives of the Study**

The general objective of this study was to undertake a comprehensive institutional capacity assessment of the CBOs in Jhikhu-Khola watershed area. The specific objectives were:

- i. to describe CBOs' working environment;



- ii. to record members' participation and contribution in CBOs including their capacity building initiatives;
- iii. to document the natural resources management practices;
- iv. to examine key components of CBOs' institutional capacity; and
- v. to provide recommendations for CBOs' institutional capacity building.

#### **1.4 Rationale of the Study**

Any watershed management intervention has the development goal of conservation and management of available natural resources together with socio-economic upliftment of the local communities that survive on those resources through their strengthened capacity. Local capacity development is critical in achieving the development goal in that this process makes them capable of resolving locally the emergent problems of NRM. Thus, the research and/or development projects need to empower the CBOs to plan, implement, monitor, and evaluate the activities that influence their livelihood and environment. The CBOs' capacity building needs, however, are not generally understood well by the external projects. They set aside negligible resources budget for and claim their significant contribution in the local capacity building process most of the time without empirical evidence.

Not much has been written on the institutional assessment aspects of the CBOs in this part of the world with a view to enhance their performance capacity. As Uphoff (*op cit*:49) observes, there is little discussion on local institutions in the watershed management literature. This could be because the conditions are not often favourable for much local institutional responsibility in watershed management.

As forests are dominant natural resources in Nepal, many studies have been conducted on FUGs. Here also the studies have focused on the areas of Non-Timber Forest Products [NTFPs] marketing, community forest operational plans, and protection and management of forests etc. but only a few studies have been undertaken on institutional aspects of FUGs.

In the above context, this research study proves to be a maiden venture in systematic understanding of the capacity level of the CBOs in Jhikhu Khola watershed area. The

study has generated institutional capacity profiles of the five sample CBOs (Appendix 9-13) that present organisational identification and characteristics and their current planning, management, financial, and linkages capacity. The profiles also reveal gaps in respective capacity areas and serve as a basis for:

- inferring the institutional capacity level of CBOs in the Jhikhu-Khola watershed area;
- tracking the CBOs' capacity building process and role of the external projects if any, in this process; and
- formulating specific plans for CBOs' institutional capacity improvement interventions.

### **1.5 Organization of the Thesis Report**

The study report is divided into nine chapters. The first chapter provides the introduction of the study together with research problems and objectives. The second chapter is the review of the relevant literature. It contains discussions on concepts of an organisation, institution, and institutional capacity strengthening. It also reviews briefly some previous works on institutional capacity assessment. Chapter three presents a conceptual framework and research methodology. It describes mainly the study area, sources of information, techniques for data collection, analysis and interpretation of data, and scale and measurement.

Chapter four presents the context, study area and the people. This chapter provides socio-temporal and socio-cultural context of the study; details on the study location; characteristics of the sample CBOs; and socio-economic background of the respondent households. Chapter five presents the working environment of the CBOs and some discussion on stakeholders in promotion of CBOs. Chapter six provides the group members' account on their participation and contribution to their CBOs and reflects on the capacity building interventions.

The seventh chapter discusses on traditional and modern practices of natural resources management and highlights the benefits and drawbacks of both the practices. Chapter eight presents the main part of this study – an analysis of the institutional capacity of the CBOs in terms of their planning, management, financial, and linkages capacity. Finally, the ninth chapter offers the summary, conclusions, and recommendations of this study.

## **CHAPTER TWO**

### **REVIEW OF LITERATURE**

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Any research at different stages calls for literature review to come up with theoretical definitions of the variables being used and to assess previous research on the subject. The literature in terms of theoretical definitions is now largely available in the web resources maintained mainly by universities and research institutes. However, limited literature is available on the past research activities and methodologies in the areas of institutional capacity assessment.

The nature of social science research is such that defining specific variables and constructs are itself a subject of debate as the meanings change over time and space. The current research topic of institutional capacity assessment encompasses the interlinked concepts of institutions, their performance and capacity strengthening. The increased institutional performance is dependent on strengthened institutional capacity and the later again is determined by some institution specific key components. To come up with an understanding of the concepts and assumptions, this section reviews some of the related literature and presents the key findings.

#### **2.1 Concept of an Institution and Community-Based Organisation**

One distinguishing characteristic of societies is the existence of a set of institutions. All societies face problems in common and these institutions are meant to provide solutions so that stability and maintenance of the system is ensured. Historically, sociologists have considered five major social institutions: the economy, government, religion, education, and family. Social institutions are defined differently in different contexts. The Temple University (2004) has compiled several definitions of an institution as follows:

Institutions are administrative structures that have been infused with value beyond their contribution to the technical goals of the organization (Selznick). Institutions are shared definitions of how given tasks should be appropriately done (Berger). Institutions consist of the rules to which organizations must conform to be legitimate (Meyer and Scott). Institutions are sets of relatively enduring systems of social beliefs and practices associated with different societal functions (Hughes).

These definitions present an institution as a structure, a process, a set of rules and a system.

For Jenkins (2001) “social institutions are structures of relationship, obligation, role and function. These are social concepts and practices but also involve cognitive structures. Members have a similar mental concept of right and wrong, order and relationships, and patterns of good [positive] values.” Stanley and Maxine (2003) citing Berger (1963:87) write - “institutions provide procedures through which human conduct is patterned, compelled to go, in grooves deemed desirable by society and this trick is performed by making the grooves appear to the individual as the only possible ones.”

The definitions suggest broadly two approaches to the study of institutions – one focusing on the *rules* that shape behaviour and the other focusing on *roles*. Uphoff (1986:9) argues that while “examining rules provides many insights into the processes and consequences of institutionalisation, it directs attention and action towards more diffuse, even abstract institutional forms which are not embodied in an organisational structure. These can be extremely difficult to address and deal with in development efforts.”

So, new definitions of institutions are now oriented towards more visibility through describing them as organisational embodiments. The Sustainable Development Indicator Group (1996) defines social institutions as “the groups of persons banded together for common purposes having rights, privileges, liabilities, goals, or objectives distinct and independent from those of individual members.”

Following Selznick and in line with above definitions, Uphoff (*op cit*:9) summarizes that an institution is an organisation [or a role, a rule, procedure, a practice, a systems of relations] that is valued by persons over and above the direct and immediate benefits that they derive from it. For reasons of practicality in development efforts, he concentrates on institutions having organisational structure, or an organisation that have potential to become institutionalised.

The development practitioners often overlook the existence of ‘traditional’ [indigenous, informal] institutions in the localities evolved and supported by local people to deal with diverse problems. Although hard to find or to work with, such institutions do exist in all societies. In Nepal, prior to the planned development initiative beginning 1955, the traditional practices of self-help (mainly labour exchange) groups were in operation. Many of the current community development initiatives have also tried to capitalise on these traditional self-help groups.

Bhattachan (1997) gives an account of these self-help groups also known as indigenous people- or community-based organisations [CBO]. These indigenous CBOs in Nepal are found organised mainly in six sectors, viz., agriculture, forest, economic, socio-culture, religion, and politics. For proper management of human resources in agriculture sector, there are systems of *khetala* [field labour], *hali* [ploughman], and *parma* [group labour exchange]. The proper and sustainable management of forest resources is ensured through maintenance of the periodic calendar and assigning the groups for *ban jane* [forest visit], *ghans katne* [fodder collection], and so on.

Similarly, the credit based self-help groups are organised for providing financial support to the group members. *Dhikur* - a rotating credit association originated from the *Thakalis* is a typical example of such groups. The *guthi* system of *Newars*, the non-Newar *guthis* associated with temples, the *rodi* of *Gurungs*, and the *bheja* of *Magars* are examples of socio-culture based self-help groups. There are *bhajan / kirtan mandalis* [hymn group] and the ritual of *kulpuja / dewali* [clan / ancestor worship] that are considered as religious self-help groups. The institutions like *Pancha Bhaladmi*, *Dharma Panchayat*, and *Manyajan Kachahari* aim conflict resolution in the communities with their political roles (*ibid*).

In the context of natural resources management [NRM], Ostrom (1992 cited in Khanal, 2004:8) provides the following definition of an institution. “An institution is simply the set of rules actually used [the working rules in use] by a set of individuals to organise repetitive activities that produce outcomes affecting those individuals and potentially affecting others.” Institutions include rules and rights that define people’s relationship to resources. It has two distinct but complementary concepts. First is

*institutional arrangements*, which define property rights in resources and obligations of individual groups and second is *organisational arrangements*, which include the ordered groups of people who use resources purposefully.

Institutions exist at different levels and the current study focuses on CBOs – the local level institutions. Several typologies are available on local institutions also. Uphoff (*op cit*:4) while illustrating the alternative local institutional channels, provides six major categories of local institutions:

- a) Local administration [LA] - local agencies and staff of central government ministries, accountable to bureaucratic superiors;
- b) Local government [LG] - elected or appointed bodies such as village councils or panchayats, having authority to deal with development and regulatory tasks and accountable to local residents in contrast to LA;
- c) Membership organisations [MOs] - local self-help associations whose members may seek to handle;
  - i. *multiple tasks*, e.g. local development associations or village development committees,
  - ii. *specific tasks*, e.g. water users' associations managing irrigation or health committees overseeing village programmes, or
  - iii. *needs* of members who have some particular characteristic or interest in common, e.g. mothers' clubs, caste associations, or tenant unions.
- d) Co-operatives [Co-ops] - kinds of local organisations that pool members' economic resources for their benefit, e.g., marketing associations, credit unions, consumer societies, or producer co-ops;
- e) Service organisations [SOs] - local organisations formed primarily to help persons other than members though members may benefit from them, e.g., religious or charitable associations, service clubs;
- f) Private businesses [PBs] – either independent operations or branches of extra-local enterprises engaged in manufacturing, services and/or trade.

Uphoff (*op cit*:5) further provides a continuum of the above local institutions by sector as follows:

- (a) Public Sector: LA - Bureaucratic Institutions, and LG - Political Institutions
- (b) Voluntary Sector: MOs, and Co-ops - Local Organisations (including SOs)  
[based on the principle of membership direction and control; these can become institutions]
- (c) Private Sector: SOs, and PBs - Profit Oriented Institutions.

The emerging [and in many cases externally sponsored] CBOs fall under the voluntary sector. These are the formal, 'modern' local institutions that have been assigned specific developmental tasks mainly by the government. The CBOs in this context are seen in general as a miniature form of the operational non-government organisations [NGOs] or the grassroots NGOs.

The World Bank broadly categorises the NGOs into: (i) *operational* NGOs - whose primary purpose is the design and implementation of development-related projects; and (ii) *advocacy* NGOs - whose primary purpose is to defend or promote a specific cause and who seek to influence the policies and practices of the Bank. However, these two categories are not mutually exclusive. The *operational* NGOs are further classified into three main groups: (a) CBOs - which serve a specific population in a narrow geographic area; (b) *national* organisations - which operate in individual developing countries; and (c) *international* organisations - which are typically headquartered in developed countries and carry out operations in more than one developing country (Duke University, 2003).

CBOs [also referred to as grassroots organisations or peoples' organisations] are distinct in nature and purpose from other NGOs. While national and international organisations are 'intermediary' NGOs which are formed to serve others; CBOs are normally 'membership' organisations made up of a group of individuals who have joined together to further their own interests [e.g., women's groups, youth clubs, cooperatives and farmer associations]. In projects, which promote participatory development, grassroots organisations play the key function of providing an institutional framework for beneficiary participation. Many national and international NGOs work in partnership with CBOs - either channelling development resources to them or providing them with services or technical assistance (*ibid*).

An inventory compiled by PARDYP in January 2001 lists a total of 247 CBOs [227 registered and 20 non-registered] covering 11 VDCs within Jhikhu-Khola watershed area. A total of 51 CBOs [21%] are comprised of only female members whereas 196 CBOs [79%] are comprised of male only and/or mixed membership. Majority of the CBOs are in the forestry sector [user groups of community forestry; leasehold forestry; and agroforestry]. The other sectors, in decreasing order, are social service and clubs, agricultural and animal husbandry, savings and credit, drinking water user groups, and miscellaneous. The group membership ranged from 25 to as high as 1,600 and some CBOs were comprised totally of caste groups, ethnic groups, and some of the Dalits [occupational castes] (Lama et al. 2001:i/refer Appendix 8).

It is noteworthy that all the CBOs in Jhikhu-Khola watershed area recorded by PARDYP belong to the broad category of local organisations [Membership Organisations, Co-operatives, and Service Organisations] as defined by Uphoff (*op cit*:4). Hence, although in existence in the locality, the Local Administration, Local Government, and Private Business units are not considered by PARDYP as CBOs for their research purpose.

## **2.2 Concept of Institutional Capacity Strengthening**

The terms (i) ‘capacity’ and ‘capability’ (ii) ‘institutional capacity’ and ‘organisational capacity’, and (iii) ‘capacity building’, ‘capacity development’, ‘capacity strengthening’, ‘institution building’, ‘institutional strengthening’, and ‘organisational development’ are used interchangeably. Different stakeholders engaged in the task of capacity building of NGOs have different interpretation of the meaning of capacity building. Some define capacity as physical assets and delivery of services and programs. Others understand capacity as training and skills given to NGOs by international NGOs [INGOs] in order to effectively implement donor’s projects.

In the context of NGO-CBO capacity building, NPLAP takes capacity as a multi-dimensional and complex attribute, covering the sum total of organised efforts of NGOs in pursuit of their goals. It defines ‘capacity’ “as the awareness and ability of NGOs to set goals and achieve them” (Badu, 2002:4).



UNDP (1998:5) defines capacity as a part of a continuing process and that human resources are central to capacity development - “Capacity is defined as the ability of individuals and organisations or organisational units to perform functions effectively, efficiently and sustainably. ... Capacity is the power of something [a system, an organisation, a person] to perform or to produce.”

Bolger (2000:2) provides a definition of capacity constituting the ‘what’ of capacity development or the ‘core capacities’ to be developed. Capacity is defined as the “abilities, skills, understandings, attitudes, values, relationships, behaviours, motivations, resources and conditions that enable individuals, organisations, networks/sectors and broader social systems to carry out functions and achieve their development objectives over time.”

NPLAP (Badu, *op cit*:5) takes capacity at three different levels, viz., individual capacity, organisational [collective] capacity, and sectoral capacity [capacity of NGOs as actors of civil society]. Similarly, UNDP (*op cit*:5) considers the capacity at three levels in a systems context – individual level, organisational or entity level, and systems level [enabling environment]. Bolger provides an inclusive typology. He observes: “the models or conceptual frameworks developed in recent years suggest that there are four levels of capacity – individual, organisational, network/sectoral and the enabling environment (Bolger, *op cit*:3).”

The definition of the term capacity development as a process addresses the ‘how’ part of the capacity development approach. For Bolger (*Ibid*:2) capacity development refers to the approaches, strategies and methodologies used by developing country, and/or external stakeholders, to improve performance at the individual, organisational, network/sector or broader systems level.

Similarly, NPLAP takes capacity building as an approach where NGOs have to work and collaborate with diverse stakeholders. It classifies capacity building into (i) intellectual capacity [ability to formulate vision, mission and strategy], (ii) institutional capacity [ability to build internal and external relationship and linkages]

and (iii) material capacity [access to physical infrastructure and resources] (Badu, *op cit*:5).

Lusthaus et al. (1996:4) defines capacity strengthening as an ongoing process by which people and systems, operating within dynamic contexts, learn to develop and implement strategies in pursuit of their objectives for increased performance in a sustainable way.

UNDP (*op cit*:6) considers capacity development as a concept, which is broader than organisational development since it includes an emphasis on the overall system, environment or context within which individuals, organisations and societies operate and interact [and not simply a single organisation]. Capacity development may be carried out at the level of an institution where an institution is defined as a “... pattern of behaviour that is valued within a culture.”

Sant (1981 cited in Khanal, 2004:8) has defined and operationalised the concept of capacity building. For him, capacity building is “improving the ability of government (people) to deal with their problems”, which has been operationalised into certain indicators such as the ability to:

- anticipate and influence change;
- make informal or formal decision;
- attract and absorb resource; and
- manage resource to achieve objectives.

### **2.3 Institutional Capacity Assessment of An Organisation**

UNDP (*op cit*:6) defines capacity assessment as a structured and analytical process whereby the various dimensions of capacity are assessed within the broader systems context, as well as evaluated for specific entities and individuals within the system.

Similarly, IDRC describes institutional assessment or evaluations as processes, which use concepts and methods from the social and behavioural sciences to assess

organisations' current practices and find ways to increase their effectiveness and efficiency (Lusthaus et al., *op. cit.*:7).

The various conceptual frameworks in use for assessing organisational capacity suggest diverse issues to explore in the course of evaluations. While the names of categories or areas differ slightly, many models share similar content, with some more comprehensive than others.

UNDP (*op cit*:9-10) provides seven dimensions of capacity at the organisational/ entity level as follows:

- i. Mission and Strategy [role, mandate, and definition of products/ services; clients/customers served; interactions within the broader system and 'stakeholders'; the measures of performance and success; and the presence of core strategic management capacities],
- ii. Culture/ Structure and Competencies [organisational and management values, management style, and standards, organisational structures and designs, and core competencies],
- iii. Processes [internal and external to the entity supporting such functions as planning, client management, relationship with other entities, research/policy development, monitoring and evaluation, performance/ quality management, financial and human resources management, etc],
- iv. Human Resources,
- v. Financial Resources [both operating and capital],
- vi. Information Resources [how these resources are managed], and
- vii. Infrastructure [physical assets (property, buildings and movable assets), computer systems and telecommunications infrastructures].

Similarly, the Pact Organisational Capacity Assessment Tool categorizes NGOs into four distinct stages of development [Nascent, Emerging, Expanding, and Mature] according to their competence in seven components of organisation effectiveness as follows (Booth and Morin, 1995:5-6):

- (i) Governance [board, mission/goal, constituency, leadership, and legal status],
- (ii) Management Practices [organisational structure, information management, administration procedures, personnel, planning, program development, and program reporting],
- (iii) Human Resources [human resource development, staff roles, work organisation, diversity issues, supervisory practices, and salary and benefits],
- (iv) Financial Resources [accounting, budgeting, financial/ inventory controls, and financial reporting],
- (v) Service Delivery [sectoral expertise, constituency, and impact assessment],
- (vi) External Relations [constituency relations, inter-NGO collaboration, public relations, local resources and media], and
- (vii) Sustainability [program/benefit sustainability, organisational sustainability, financial sustainability and resource base sustainability].

USAID (2000:3) provides the four broad organisational components as representative of most organisations:

- i. Administrative and Support Functions [administrative procedures and management systems, financial management, human resources management, and management of other resources],
- ii. Technical/Program Functions [service delivery system, program planning, program monitoring and evaluation, and use and management of technical knowledge and skills],
- iii. Structure and Culture [organisational identity and culture, vision and purpose, leadership capacity and style, organisational values, governance approach, and external relations], and
- iv. Resources [human, financial, and other].

Similarly IDRC (Lusthaus et al. *op. cit.*:10) provides a comprehensive framework for assessing research institutions, which suggests exploration on the following four aspects of an organisation:

- (i) understand the organisation's environment [Administrative/ legal, Technological, Political, Economic, Social and cultural and Stakeholders];
- (ii) determine organisational motivation [History, Mission, Culture, and Incentives];
- (iii) examine key areas of organisational capacity [Strategic Leadership, Human Resources, Other Core Resources, Programme Management, Process Management, and Inter-institutional Linkages]; and
- (iv) measure organisational performance [Movement towards Mission, Efficient Use of Resources, and Relevance].

Finally, Housing Assistance Council (2000) suggests the following four phases in undertaking self-assessment of capacity of rural community-based housing organisations:

- i. Assessing Strategic Planning Capacity [Mission Statement, Strategies, Goals, Constituents and Services, Assessing Board Skills, and Assessing Board Structures];
- ii. Assessing Management Capacity [Staff Skills Inventory, Board and Staff Relations Assessment, Written Procedures Inventory, and Technical Assistance and Training Needs];
- iii. Assessing Financial Capacity [Budget Process Assessment, Budget Calendar, Budget Analysis (Income), Budget Analysis (Borrowing and Spending), Financial Risk Analysis, Inventory and Assessment of Facilities, Inventory of Facility Repair Needs and Costs, Track Record Assessment]; and
- iv. Assessing Information Technology Capacity [IT Systems Outline, Computer Systems Inventory (Hardware), Computer Systems Inventory (Software), and Overall IT Capacity Assessment].

## 2.4 Review of Previous Studies on Institutional Capacity Strengthening

The increased organisational performance is in part dependent on the absorbing capacity of the CBOs in terms of utilising the emerging improved technologies. Tripathi (2001:8) argues that the innovation and adoption of new technologies will not take place until there are strong local institutions, capable of mobilizing people, who are supposed to utilize new technologies for improved production. Therefore, the technical, financial and managerial capacity of local institutions need to be strengthened in mainstreaming local people, local technologies and knowledge to attain the objectives of sustainable watershed management and development.

As stated in chapter one, the local organisations, whether created or existing ones are being mobilised by a number of watershed management projects, yet in addressing specific sectoral issues. A comprehensive study on their performance and thus role in watershed management has yet to be done. Tripathi (*op cit*:7) restates the observation by Dani and Campbell (1986) that, it is not fully known, which of these organisations have been effective, under what conditions and to what extent they are an efficient agent to foster people's participation and to implement desired watershed actions.

The issue of institutional capacity strengthening in the context of NRM in Nepal is largely understood as the capacity building of the members in the local resource user groups. Moreover, the current focus is on the community forest user groups [CFUGs], be it in a watershed management project or in a NRM project given the fact that forests in Nepal are the dominant natural resources linked directly to the livelihood of the people.

In the forestry sector, it was observed that no comprehensive study has been undertaken to allow one to characterize the forestry education standards of the thousands of FUG members. Rolls (1995:81) based on a study by Dahal (1994) presents some illustrative data from FUGs formed in eastern Nepal. The few respondents he examined had literacy rates ranging from 64 percent to 100 percent, but females were mostly illiterate. The majority of members had schooling only at the 1-5 grade levels. The poor educational levels of the group members have had significant impact on the capacity strengthening initiatives.

Khanal (2004:16) states that FUGs have carried out several community development and resource conservation activities mobilising the resources generated from the community forest. These activities have contributed to water source protection; reduce soil erosion and frequency of floods, enhancement of agricultural productivity and ultimately improving the watershed condition.

Shrestha (2002 cited in Khanal, 2004:15) identified the following issues to improve the status of community-based passive groups in the mid-hills of Nepal:

- 1) Enhancing Users' Feeling on Collective Actions
  - Awareness creation
  - Encouraging the users' group to share the cost of implementation
  - Providing the ownership to the users' groups
- 2) Enhancing the Level of Benefit
  - Enhancing the economic value of community plantation
- 3) Enhancing External Coordination and Support
  - Establishing linkages with external organisation
  - Formation of broad-based/multipurpose community organisation

He has stressed the need of further research on the factors determining the active and passive groups including institutional, infrastructural, socio-economic and biophysical factors.

Karki (2002 cited in Khanal, 2004:15) found the efforts on operational and managerial capability enhancement of users are inefficient in community forestry program in Terai region of Nepal constraining implementation of operational plans. He stressed that training is one of the best approach for enabling users to improve the capability of the FUGs.

NPLAP, has adopted the following approach in capacity building based on its four-year experience and learning (Badu, *op cit*:54-55):

- 1) Perspective building and general support
  - Clarification of vision and role of NGOs through workshop/ training

- Better understanding of NPLAP vision and strategies by NGOs
  - Trust building between NPLAP and NGOs
- 2) Intensive support and coaching
- Identification of NGOs' capacity building needs through facilitation of participatory organisational assessment
  - Finalisation of NGO capacity building action plan through negotiation
  - Intensive support to NGOs in the identified capacity areas in the form of field coaching, facilitation support, follow-up and specific need-based training, workshops or study tours
- 3) Support to build collaborative relationship and linkages
- Support to NGOs in building relationship with stakeholders, especially at district level focusing on collaboration:
    - a. with DDC, VDC and line agencies on issues of the poor
    - b. for resource sharing [funds, information and expertise]
    - c. for policy influencing and dialogue with donors
  - Support NGOs to strengthen networking with other NGOs at district level
- 4) Learning, documentation and communication
- Sharing the experience, best practices and learning with key stakeholders
- 5) Sharing of capacity building best practices at Asia regional level
- Maintaining external contacts for effective sharing and continuous learning in the field of NGO capacity building

The literature on comprehensive organisational capacity assessment of the CBOs is non-existent. Some of the past studies on the CBOs (mainly CFUGs) also focus on the research problems different than those undertaken by this study. Moreover, the extensiveness of the organisational components as reviewed above did not equally fit in the case of the CBOs studied, given that they are the miniature form of NGOs working at grassroots level. As such, the current study on institutional capacity assessment at the CBOs level has focused on limited organisational components (planning, management, finances, and linkages) drawing on the above frameworks.



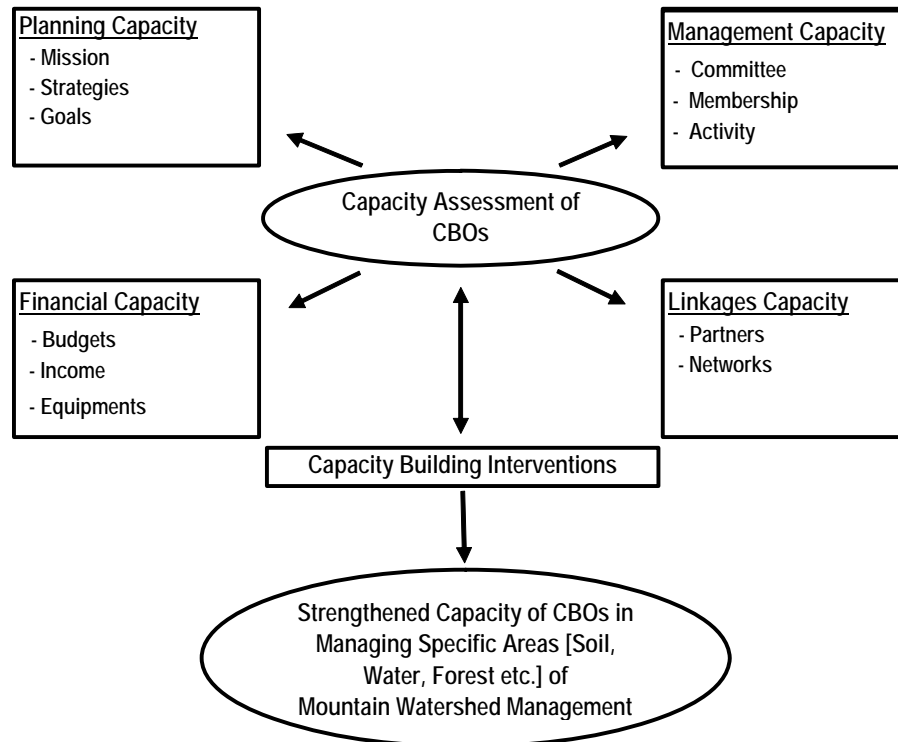
## CHAPTER THREE

### CONCEPTUAL FRAMEWORK AND RESEARCH METHODOLOGY

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#### 3.1 Conceptual Framework of the Study

Based on the literature review presented in the previous chapter, a conceptual framework was developed for this study as presented below in the form of flow-chart.



As envisaged in the conceptual framework, four key organisational components viz., planning, management, finances and linkages are identified as contributing to the institutional capacity of the CBOs. The study examined these capacity components to determine areas of competence and capacity gaps. Under each of the capacity components, two to three variables were examined.

The planning capacity was assessed through examining mission, strategy (programme), and goal (activity) status. Similarly, assessment of executive committee, membership, and ongoing activity status constituted the management capacity. Under financial capacity, budgets, income level and sources and equipments

were analysed. Finally, the linkages capacity was determined through the CBOs' association with other organisations and networks.

It is understood that there is inter-relationship and inter-dependence on the four capacity components. For example, the planning capacity is determined largely by management capacity and depends on the capacity of the executive committee members for envisioning and planning. Again, planning may be partly guided also by the existing financial capacity of the CBOs. However, these inter-linkages and inter-dependence of the capacity components (variables) were not the focus of this study.

The comprehensive organisational capacity assessments undertaken on a regular basis (e.g., annual) in a participatory setting contributes in developing vibrant organisations and these assessments in themselves are one of the tools for CBO capacity building. For example, the members could learn through these assessments on how to formulate and/or review mission, strategy and goals for their organisation as well as review critically the status of other organisational components.

The capacity building process based on periodic needs assessment (leading to formulation of capacity improvement plans) results into development of vibrant CBOs capable of managing sustainably the specific areas [soil, water, forest etc.] of watershed management within the specified geographic territory.

## **3.2 Research Methodology**

### **3.2.1 Research Design**

This research is descriptive-cum-exploratory drawing upon both quantitative and qualitative research designs. It is more descriptive in that, the research describes the phenomenon on the CBOs. It also explored on various institutional capacity components of the studied CBOs. For the purpose, it used qualitative exploratory research design since little was known about the pertinent capacity components and their current levels as a phenomenon.

The study described the existing environment (administrative/legal, social/cultural, and stakeholders) under which the CBOs are working and their current strengths and weaknesses in relation to their existing capacity. Similarly, the study assessed potential opportunities and threats for the CBOs in the field. As such, the unit of analysis considered for this study is an organisation (CBO). However, the CBOs' member households were also studied for generating socio-economic data and to assess the members' capacity building through their participation and contribution in the CBOs.

As the focus of the study was the assessment of various capacity components of the CBOs, it explored on the current status of planning, management, finances and linkages in the sample CBOs as depicted in the conceptual framework above.

This study drew upon various frameworks reviewed in chapter two above and came up with a standard framework suitable for capacity assessment of the CBOs engaged in specific areas of NRM. The research study was undertaken from December 2003 to December 2004.

### **3.2.2 Geographical Area Covered by the Study**

The study was undertaken in the Jhikhu-Khola watershed in Kavrepalanchok district, Bagmati zone. The study area located about 40 km east of Kathmandu can be reached by motorable road - the Arniko highway connecting Kathmandu with Tibet Autonomous Region of China that passes through the centre of the watershed.

The watershed with a total area of 11,141 hectare has elevation ranges from 800 to 2,200 metres and is subject to monsoon climate with an extensive dry season from October to May.

Out of a total of 87 VDCs and 3 municipalities in Kavrepalanchok district, the Jhikhu-Khola watershed covers 12 VDCs [Anaikot, Devbhumi-Baluwa, Devitar, Hokse, Kabhre, Kharelthok, Maithinkot, Panchkhal, Patlekhet, Phoolbari, Rabi-Opi, and Sathighar] and 2 municipalities [Banepa and Dhulikhel]. Again only 2 VDCs are entirely contained within the watershed area while rest of the VDC/municipality boundaries extend outside the watershed area.

### 3.2.2.1 Rationale for Selection of Study Area

Several factors were responsible in selecting the Jhikhu Khola watershed for the proposed study, of which the prominent ones are listed below:

- engagement of a watershed management project [PARDYP] in the field for almost a decade with implications for CBO capacity building;
- availability of preliminary data on which this study is based upon;
- commitment from PARDYP project in facilitating the research in the field locations sensitive from security point of view; and
- interest of the researcher on and accessibility to the field sites.

### 3.2.3 Operational Definitions of the Selected Variables

This study is focused on assessment of CBOs' existing capacity in the areas of planning, management, finances and linkages for which the following variables were analysed.

<i>Concepts / Variables</i>	<i>Operational Definition</i>	<i>Operational Measures</i>
Institutional Capacity or Capacity	The awareness and ability of an organisation to set goals and achieve them through its organised effort	▪ Extent of goal achievement in relation to available resources [human, financial and others]
Capacity Assessment	Participatory and periodic review of key organisational components to find ways in improving organisational performance	▪ Regular self-reflection by the group members on their key organisational components with or without external assistance
Planning Capacity	Capacity to formulate and review periodically the mission, strategies and goals	▪ Presence or absence of stated mission, strategies and goals ▪ Clarity of and coherence among mission, strategies and goals
Management Capacity	Capacity to manage the executive committee, membership renewal and programme/activities	▪ Functioning of the executive committee ▪ Membership renewal process ▪ Built-in capacity in managing specific activities
Financial Capacity	Capacity to mobilise finances and equipment	▪ Financial sources and liquidity ▪ Inventory of fixed assets
Linkages Capacity	Capacity to forge linkages with partners and networks in sharing resources	▪ Cost and benefits of partnerships forged and networks joined

### **3.2.4 Nature and Sources of Data**

The study applied both primary and secondary sources of information. The project field office located in the watershed area served as the coordinating point for gathering the research data. Most of the data was collected directly from the field sources through CBO institution survey, the CBOs' member household survey, and the key informants. Both quantitative and qualitative data was utilized for the study. A research coordination schema was developed as presented in Appendix 4 to this report for collection of relevant data in line with the study objectives.

#### **3.2.4.1 Primary Sources**

The primary sources provide data gathered at first hand with a range of mechanisms, e.g., observation, personal interviews, questionnaire, case study data, group discussion and so on.

The key sources utilised in the study were [i] questionnaire (schedule) survey and observation on CBOs' characteristics and key areas of their organisational capacity; [ii] questionnaire (schedule) survey on CBOs' member households' socio-economic condition, their NRM practices, participation and contribution in group work and their experience on various capacity building interventions; and [iii] personal interviews with key informants on CBOs' working environment, NRM practices, and capacity building issues for sustainable management of specific areas of natural resources.

The field sources comprised mainly of the executive committee members of the selected CBOs, heads of the member households of the selected CBOs, staff of PARDYP project field office and local government and administration [e.g., VDC]. Some lead farmers were also interviewed to have their opinion on the local CBOs' capacity and performance.

#### **3.2.4.2 Secondary Sources**

The secondary sources comprise mainly of the published and unpublished documents, reports, statistics, manuscripts, brochures etc. on which the researcher had no control,

such as census reports, statistics provided by various organisations and articles appeared in various journals, newspapers, magazines and other papers.

The study collected relevant background information from the census reports published by Central Bureau of Statistics and publications of government offices and projects in the area. Similarly, published and unpublished documents [e.g., statutes, minutes, brochures, progress reports etc.] from the selected CBOs were obtained and studied.

### **3.2.5 Sampling Design**

For this study a combination of purposive and multi-stage random sampling techniques were used given the large population to cover. Both the watershed and the district [Jhikhu-Khola watershed in Kavrepalanchok district] for the study were selected purposively. An inventory of the CBOs in the watershed compiled in 2001 by PARDYP project was taken as the base document for the study. The inventory recorded 247 CBOs [227 registered and 20 non-registered] from 11 VDCs within the watershed area ranging from 5 to 58 CBOs per VDC. In terms of membership 21 percent are all female member CBOs while 79 percent CBOs have mixed or male only membership. The CBOs are concentrated around forestry sector [31%] followed by social service and clubs [20%], agriculture and animal husbandry [18%], savings and credit groups [18%], drinking water user groups [7%], and 6% in other areas [refer Appendix 8: Distribution of CBOs].

In the first stage, five key informants (refer appendix 5) were identified to gather data on NRM practices, and the CBOs' working environment in the study area as well as their capacity building initiatives. The key informants that included one female and two of the PARDYP project staff were identified given their extensive knowledge on NRM and the functioning of the CBOs in the area.

Based on the key informant interviews and study of the available CBOs inventory, a total of five CBOs (refer appendix 6) registered and engaged (partly or fully) in the NRM sectors [community forest: 2, social service centre/club: 2, and women cooperative: 1] was selected through multi-stage random sampling for the institution

survey focusing on their capacity levels in each of the four organisational capacity components. Four of the selected CBOs have had PARDYP project affiliation, i.e., some sort of partnership activities with the project.

The CBOs were selected with a view to have representation from different (i) NRM and other sectors (agriculture, water, forest, health, community development etc.); (ii) group composition in terms of gender (male, female, and mixed groups) and caste/ethnicity (representing eight caste/ethnic groups); and (iii) size (with 44 to 871 members). Moreover, it ensured a combination of old and new CBOs and of those perceived by the key informants as running well and not so well.

Finally, 45 households were drawn from among a total of 1,274 member households of the selected five CBOs again following multi-stage sampling procedure as shown in Table 3.1 below.

**Table 3.1 Number of Sample Households Drawn for Study**

CBO's Name (short)	Total HH No.	Sample Households	
		No.	%
Ekanta Basti Club	44	5	11.4
Gram Sewa Kendra	67	7	10.4
Mahila Vikas Sanstha	871	13	1.5
Laukeni Ban Samuha	225	13	5.8
Dhaireni Ban Samuha	67	7	10.4
<b>Total</b>	<b>1,274</b>	<b>45</b>	<b>3.5</b>

Source: Field Survey, 2004

The number of sample drawn ranged from 5 to 13 households per CBO. For smaller CBOs, the sample comes in average of 10 percent. However, for larger CBOs, the sample percentage is low (1.5% and 5.8%), which in aggregate comes to 3.5 percent.

The households were selected to gather data mainly on socio-economic condition; NRM practices; participation and contribution in group work and resulting capacity building interventions. The sample size was pre-determined (5 households from the smallest CBO, 7 households each from the mid-sized CBOs and 13 households each from the larger CBOs).

The dominant caste and ethnic groups for each of the CBOs were first clustered (for example, from Ekanta Basti Club, only Brahman, Chhetri, and Danuwars households were considered). The member households from these caste/ethnic backgrounds were then serially numbered for each of the CBOs. The requisite numbers of draws were then made to select the sample member households pertaining to each of the dominant caste and ethnic groups from each of the CBOs.

For example, one Brahman, one Chhetri and three Danuwars were drawn from among the member households of Ekanta Basti Club. Similarly, three households each from the Dalits (Damai, Kami, Sarki) and Danuwars; two households each from Brahman, Chhetri, and Newar; and one Tamang household was drawn from among the member households of Mahila Vikash Sanstha. Such a procedure ensured proportionate representation in the household survey of all the eight caste/ethnic groups in the study locality. The list of sample households drawn is presented as Appendix 7 to this report.

To sum up, the study drew upon a total of three sets of information sources and 55 respondents as shown in Table 3.2 below.

**Table 3.2 Source and Number of Respondents**

<b>S. No.</b>	<b>Sources of Information</b>	<b>Number</b>	<b>Remarks</b>
1	Key Informants	5	For key informant interviews to gather data mainly on NRM practices, and CBOs' working environment and their capacity building
2	Sample CBOs (Executive Members)	5	For institutional survey to gather data mainly on various organisational capacity components
3	Head of Sample Households	45	For household survey to gather data mainly on socio-economic condition, NRM practices, participation and contribution in group work and resulting capacity building interventions
<b>Total Respondents</b>		<b>55</b>	



### **3.2.6 Data Collection Techniques**

The research incorporated participatory mechanisms in data collection and the methods used included: (i) field observation of the CBO activities; (ii) key informant interviews to describe the CBOs' working environment and to document indigenous and modern NRM practices; and (iii) structured interviews (survey of the selected CBOs and their member households) to examine key components of the CBOs' organisational capacity and the socio-economic context. The executive committee members of the selected CBOs accomplished the institutional capacity survey form with facilitation support by the researcher. In essence, two types of data collection techniques were used for the study as elaborated below.

#### **3.2.6.1 Observation**

The researcher made several visits in the field to interact with a suitable spectrum of people and to observe relevant facilities of the selected CBOs and the dynamics among CBO members through participation in some of their field activities. Separate meetings with the executive committee members of all the five CBOs were held in the respective field locations of the CBOs.

#### **3.2.6.2 Interview**

Five key informants were interviewed in understanding the CBOs' working environment and their functioning; the NRM practices; and CBOs' role in managing specific areas of NRM and their capacity building issues. For the purpose, a checklist was developed as presented in Appendix 1 to this report.

The structured interview schedules [presented as Appendix 2 and 3 to this report] were used to conduct CBOs' institution survey and their members' household survey. The institution survey was conducted with the executive committee members of the selected CBOs who reflected on various aspects of institutional capacity through subjective and objective responses and ranking where appropriate. The information generated through interaction with the CBO executive committee members was considered as representative of the whole organisation. The institution survey schedule formed the prime basis for identifying the CBO characteristics and its organisational capacity in the areas of planning, management, finances and linkages.

The survey of member households of the selected CBOs was conducted to gather data on socio-economic features, their participation and contribution in the group work, their NRM practices and an assessment of the relevance of capacity building interventions.

### **3.2.7 Reliability and Validity of Data**

The key data collection tool – the interview schedules were pre-tested and used for the institutional survey of the selected CBOs and survey of the member households. The institutional survey of all the five CBOs was facilitated by the researcher himself. The local project facilitators were involved in the CBOs' member household surveys. Moreover, some local enumerators were also used for household surveys as the selected settlements were too scattered involving extensive travel time. The mechanisms were built into the checklists and interview schedules to cross-check some of the variables (e.g. the NRM practices) and the key organisational data collected were verified with the key informants. Moreover, the researcher intermittently observed the field condition, the CBO activities and their member interaction. Thus, verification of collected data was done through triangulation and coherence in the data gathered was maintained.

### **3.2.8 Data Analysis and Interpretation**

The collected data through field observation, interview schedules and other tools was first computerised. The data was then summarised and tabulated using Microsoft Word and Excel programmes for further analysis.

The institutional capacity data analysis involved both subjective and objective interpretations. The analysis of CBO planning capacity was done based on an observation of their stated missions, strategies and goals; the clarity and applicability of those tools in the given CBOs' context; and coherence among these tools.

Several rating scales (also refer section 3.2.9 below) were developed for assessing the management capacity and its constituent parts (e.g. executive committee performance, members' interaction) of the CBOs. Ten positive statements were formulated under each areas of CBO management capacity for the executive committee members to agree on one of the given scales.

The financial capacity of the CBOs was assessed mainly by comparing their present financial (budget, income, and property) figures with those of immediate past. Finally, the linkages capacity of the CBOs was assessed mainly by listing their partner organisations and intensity of the partnerships forged.

The descriptive statistics like charts, tables and graphs are used for analysis and meaningful presentation of the data. The socio-economic data in chapter four are analysed further by caste/ethnicity given the diversity in the community.

The institutional capacity levels of the CBOs in each of the capacity areas were compared across the organisations under study and brief capacity profiles have been developed and presented as Appendix 9 through 13 to this report.

### **3.2.9 Scale and Measurement**

Given the nature of study, it generated quantitative as well as qualitative data that required both subjective and objective interpretations. As such, several scaling and measurement tools were used at different levels of data analysis and interpretation.

Three capacity levels were considered: A = sufficient capacity, B = fair capacity and C = capacity gap. Out of the four organisational capacity components, the management capacity comprising of three variables were measured using the following scores:

A	B	C
Sufficient Capacity	Fair Capacity	Capacity Gap
Score over 75%	Score 50% to 75%	Score below 50%

Again, the variables under the management capacity were comprised of ten parameters each which were scored using the following rating scales:

Strongly Agree	Slightly Agree	Undecided	Slightly Disagree	Strongly Disagree
2	1	0	-1	-2

However, the variables under other three organisational capacity components namely planning, financial, and linkages were measured using specific indicators in each case to determine their capacity levels as explained at the end of this section.

All variables considered for measuring the organisational capacity were given equal weight. For aggregation purpose at CBO and their four capacity component levels, the capacity levels of A, B, and C are assigned the score of 3, 2, and 1 respectively. Thus, the institutional capacity of each of the studied CBOs was equated to the sum of its planning, management, financial, and linkages capacity as follows:

$$\text{Institutional Capacity} = \text{Capacity in (Planning + Management + Finances + Linkages)}$$

The following three tables present indicators used for interpreting the capacity levels on each of the variables under planning capacity components.

<b>Planning Capacity: Mission Statement</b>	
A	Mission is clear, focused, and unambiguous
B	Mission is clear but not focused in line with nature of the CBO or ambiguous in terms of its accomplishment
C	Mission is not clearly stated answering the questions: (i) When and why the CBO was founded? (ii) What the CBO has to offer to the community? (iii) Who the CBO is serving and where?

<b>Planning Capacity: Strategy (Programme) Formulation</b>	
A	Strategies (programmes) are clear and mission oriented
B	Strategies (programmes) are clear but not fulfilling well the mission
C	Strategies are not clearly formulated as main programme areas of the CBO

<b>Planning Capacity: Goal Identification</b>	
A	Goals are measurable and accountable
B	Goals are either not measurable or not accountable
C	Goals are not measurable (no numbers attached) and also not accountable (no timeline attached)

The next three tables below present scores used for interpreting the capacity levels on each of the variables under management capacity components.

<b>Management Capacity: Executive Committee Performance</b>	
A	Above 75% score is secured on rating of the ten attributes of Executive Committee performance

B	50% to 75% score is secured on rating of the ten attributes of Executive Committee performance
C	Below 50% score is secured on rating of the ten attributes of Executive Committee performance

<b>Management Capacity: Group Members' Interaction</b>	
A	Above 75% score is secured on rating of the ten attributes of Group Members' interaction
B	50% to 75% score is secured on rating of the ten attributes of Group Members' interaction
C	Below 50% score is secured on rating of the ten attributes of Group Members' interaction

<b>Management Capacity: Key Activity Status</b>	
A	Above 75% score is secured on rating of the ten attributes of Key Activity status
B	50% to 75% score is secured on rating of the ten attributes of Key Activity status
C	Below 50% score is secured on rating of the ten attributes of Key Activity status

Similarly, the following three tables present indicators used for interpreting the capacity levels on each of the variables under financial capacity components.

<b>Financial Capacity: Budget Status</b>	
A	Increased volume of income/expenses as well as assets/liabilities as reflected by financial figures of two years in the recent past
B	Movement in income/expenses as well as assets/liabilities as reflected by financial figures of two years in the recent past
C	Static income/expenses or assets/liabilities as reflected by financial figures of two years in the recent past

<b>Financial Capacity: Income Sources</b>	
A	Increased level of income through diverse sources as reflected by financial figures of two current consecutive years
B	Sustained level of income through limited sources as reflected by financial figures of two current consecutive years
C	Uncertain level of income and sources as reflected by financial figures of two current consecutive years

<b>Financial Capacity: Property and Equipments</b>	
A	Increased value of fixed assets (property and equipments) holding as reflected by financial figures of two current consecutive years
B	Sustained value of fixed assets (property and equipments) holding as

	reflected by financial figures of two current consecutive years
C	Decreased value of fixed assets (property and equipments) holding as reflected by financial figures of two current consecutive years

Finally, the following two tables present indicators used for interpreting the capacity levels on each of the variables under linkages capacity components.

<b>Linkages Capacity: Partnerships Forged</b>	
A	Partnerships are of high quality as represented by requisite number (at least five partners for a CBO in existence for a decade) and diversity (combination of GOs and NGOs) of the partners that generate tangible benefits
B	Partnerships are of moderate quality as represented by less than requisite number and diversity of the partners that generate tangible benefits
C	Partnerships are of low quality as represented by engagement with other organisations that do not generate tangible benefits

<b>Linkages Capacity: Networks Joined</b>	
A	Existing membership with relevant networks with potential benefit
B	Membership with relevant networks under consideration or exploration
C	Low potential in joining relevant networks

### 3.2.10 Constraints in Data Collection

The major constraint faced in data collection was fixing of appointment with the executive committee members of the studied CBOs. As most of the key members were also engaged in some other vocations (service, business etc.) besides agriculture, they were available only on holidays or mornings/evenings on other days. The researcher had to schedule and re-schedule the institution survey to find the key members from each of the CBOs.

The updated financial data was found non-existent in case of some CBOs and also not readily shared wherever existent. Similarly, the responses from some of the CBOs' member households were found more patterned in that they rated deliberately at low end on some areas, like on participation in capacity building programmes and their utility. Several household surveys earlier conducted by external projects and other students in the area have made the households attuned to average (middle-path) responses in many respect.

As the study locations were far and wide involving about one hour walking in different direction from the nearest road-head, the time constraint was overcome engaging the enumerators from within the study locations for household survey. This, however, had implications on cost of the research as the local enumerators were to be paid fairly. Moreover, data gathered from some households on some areas had to be rechecked and confirmed through other sources.

### **3.2.11 Limitations of the Study**

This study was undertaken in the Jhikhu-Khola watershed of Kavrepalanchok district located in the middle-mountains of Nepal where PARDYP project was being implemented. It assessed the institutional capacity of the selected CBOs in the area. Given the resource constraint and the security situation, the study was able to gather information on and analyse the CBOs located in the three VDCs (Panchkhal, Dev Bhoomi-Baluwa, and Anaikot) only and four out of five selected CBOs were having external project (e.g., PARDYP) support. This had implications for inferring the study findings to other middle-mountain watersheds in the country.

The focus of this study was on the analysis of institutional capabilities of the CBOs in managing specific areas of natural resources. The study touched upon the socio-economic conditions of the local people as influenced by the functioning of the CBOs. However, the biophysical status of the natural resources [like the quality and quantity of the forests etc.] resulting from the effective functioning of the CBOs were only studied qualitatively in terms of the perceptions and opinions of the local people.

This study did not apply any theoretical model. The methodologies and frameworks available for institutional assessment were concerned with the larger NGOs operating at macro [national] level. This study on the CBOs operating at micro [grassroots/VDC] level focused mainly on subsistence issues like the forestry, water, agriculture, animal husbandry and micro-credit. The methodologies and frameworks used in this research were, as such adapted substantially to the local conditions. However, they were still found not equally effective for institutional capacity assessment of the CBOs as many of the critical data on several capacity areas (e.g., financial data) were unable to acquire.

## **CHAPTER FOUR**

### **STUDY AREA AND THE PEOPLE**

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#### **4.1 Socio-temporal Context**

Over the past several decades, NGOs have become major players in the field of international development. Since the mid-1970s, the NGO sector in both developed and developing countries has experienced exponential growth. Various literatures suggest that the CBOs were active in Jhikhu Khola area and Kavrepalanchok district since 1980s. However, the inventory compiled by PARDYP in 2001 showed the responding CBOs registered mainly in between 1993 to 2000.

The majority of CBOs in Jhikhu Kola area are the CFUGs that came into existence as a result of government policy of handing over the management of forests to the local communities. Although indirect checks are there from the local administration (mainly District Forest Office) in harvesting and consumption of resources, the transfer of use (usufruct) rights of the forests to local CFUGs has played a significant role in regenerating the local forest resources as well as increased income for user households.

Although, there are questions of equity among the members of the CFUGs, the general findings are that, the groups have been able to generate and mobilise savings utilising natural resources and evolve group cohesion utilising social resources. These efforts at one hand contribute towards increased livelihood security of the group members and environmental protection at the other hand.

This study focused on the CBOs in the watershed area that emerged in 1990s when the NGO movement took momentum as they were seen as effective vehicle for local development efforts after restoration of democracy in the country. It however, does not dwell into the indigenous and/or informal institutions and organisations in the area. As such, this study covers a short time span of one and a half decade.



## 4.2 Socio-cultural Context

Although, the watershed specific data on many social characteristics is not available, the same could be inferred from the district level data. The caste groups [mainly Brahmin and Chhetri] and the ethnic groups [mainly Tamang and Danuwar] inhabit the Jhikhu Khola watershed area and they practice Hinduism and Buddhism. The male/female ratio is one is to one.

ISRSC (2002:217) data for Kavrepalanchok district states literacy rate as 63.75 percent for both sex [Male=75.54% and Female=52.53%]. Similarly, on health and sanitation indicators, the population per doctor is 96,418; population per hospital bed is 2,735; household with access to toilet facilities is 63.32 percent; and population with access to safe drinking water is 53.87 percent.

These parameters of socio-cultural context are also reflected on the existing CBOs in the area. It is generally perceived that many of the members [mainly females] in the CBOs are illiterate. While many were mixed groups with dominant number of members from caste or ethnic groups, some CBOs were reported totally composed either of caste groups, ethnic groups, and Dalits [occupational castes] (Lama et al. 2001:i).

ISRSC (*op. cit.*:226) has indicated a sharp decline [by 38.75%] in the number of ever married female with five and more number of children in the district over the period of a decade [1991=16,770 and 2001=10,272] while the number of ever married female with one, two, three, and four children has further increased during the period.

Similarly, the number of female having ownership of anyone or combination of house, land, livestock is reported as 14,562 whereas the number of female with none of these assets is 55,947 which is almost four times than those having some form of ownership in the household assets (*ibid*:227).

The PARDYP project data (Allen et al., 2000:8) shows total population of 48,728 [8,002 HH] in 1996 in the watershed area. The population density is 437-people/sq. km. The population growth averaged 2.6 percent per annum between 1990 and 1996. However, the average family size of 6 remained constant throughout the decades. Both

natural population growth and in-migration are attributed for the increased population within the watershed. A higher rate of population growth is observed in the larger villages and in the VDCs closer to the access roads.

In terms of land tenure, all farmland is privately owned in the Jhikhu Khola area. The watershed comprises 17 percent of irrigated [*khet*] and 38 percent of rain-fed [*bari*] terraces. The other land use types are forest [30%], grass [6%], shrub [7%] and others [3%] (Allen et al., *op. cit.*:9). Until 1990s, the cropping patterns were mainly dominated by rice, wheat and some potatoes on *khet* [irrigated] land and maize, mustard, wheat or millet on *bari* [rain-fed] land. After 1990s, the cropping system has changed to more diversified pattern dominated mainly by rice, potato, tomato, wheat and early maize on *khet* and maize, wheat, mustard, tomato, potato, garlic and onions on *bari* land. Since last couple of years, farmers are engaged in more cash crops and milk production.

The change from largely subsistence to a more commercial farming systems in the watershed area over the last couple of years is due to development of the market centers in the locality such as Tinpipe, Tamaghat, Lamidanda, Baluwapati, Ranipani and Shreerampati. Further more, the extension of motorable secondary roads within the watershed also contributed significantly to this end. The area has seen more than six roads constructed in the last six years.

### **4.3 Physio-geographic Settings**

The study was carried out through selecting five CBOs located in the three VDCs (Panchkhal, Devbhoomi-Baluwa, and Anaikot) and 45 households from among the CBOs' member households within the Jhikhu-Khola watershed in Kavrepalanchok district, Bagmati zone. The study area, located about 40 km. east of Kathmandu can be reached by motor able road - the Arniko highway connecting Kathmandu with Tibet Autonomous Region of China that passes through the centre of the watershed. The studied CBOs are located in and around 30 to 60 minutes walking distance from the Arniko highway.

The study area has the problems commonly associated with population growth, agricultural intensification and deforestation. PARDYP project analysis of land use

maps of 1972, 1990 and 1996 showed that 5.5% of total land was under active erosion. The larger section is under red soil, comprising 38% of the watershed area. Again, 90% of the watershed area is below 1,200m elevation.

Massive deforestation and agricultural expansion was experienced in the study area in part due to rapid population growth. An analysis of 1996 aerial photographs and field verification showed only 30% of the watershed area under forest cover. However, recent recognition of degradation has resulted into concerted efforts towards forest rehabilitation. More conversions from subsistence agriculture to market oriented production have now been experienced. However, for commercial farming, irrigation is critical as the area is subject to monsoon climate with an extensive dry season from October to May.

It is perceived that many new CBOs are emerging in the area while the existing ones not functioning effectively. The inventory compiled in 2001 by PARDYP project has recorded 247 CBOs [227 registered and 20 non-registered] from 11 VDCs within the watershed area ranging from 5 to 58 CBOs per VDC. In terms of membership 21 percent are all female member CBOs while 79 percent CBOs have mixed or male only membership. The CBOs are concentrated around forestry sector [31%] followed by social service and clubs [20%], agriculture and animal husbandry [18%], savings and credit groups [18%], drinking water user groups [7%], and 6% in other areas [refer Appendix 8: Distribution of CBOs].

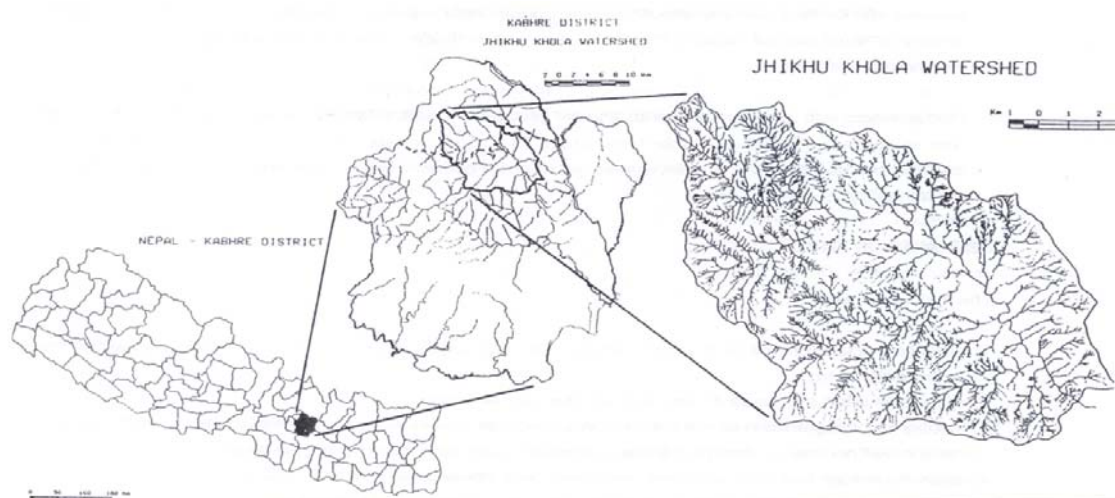
The five CBOs selected for this study were as follows:

- (i) Ekanta Basti Yuwa Club, Ward 8, Dhotra, Panchkhal VDC [Ekanta Basti Youth Club focusing on social service sector with some affiliation in forestry sector]
- (ii) Ranipani Gram Sewa Kendra, Ward 8, Ranipani, Dev Bhoomi- Baluwa VDC [Ranipani Village Service Centre focusing on agriculture, water, health, and moral education sectors]

- (iii) Gramin Mahila Bikash Bahuuddeshiya Sahakari Sanstha Limited, Ward 8, Tinpipla, Panchkhal VDC [Rural Women Development Multi-purpose Cooperative Limited involved in many sectors including agriculture, water, community development, and women development]
- (iv) Laukeni Ghyangle Bokse Samudayik Ban Upabhokta Samuha, Ward 2, Devasthan, Anaikot VDC [Laukeni Ghyangle Bokse Community Forestry User Group focusing on forestry sector]
- (v) Karkikhop Dhairani Samudayik Ban Upabhokta Samuha, Ward 1, Majhdihi, Anaikot VDC [Karkikhop Dhairani Community Forest User Group focusing on forestry sector]

The list of CBOs surveyed with contact details is presented as Appendix 6 to this report. The map of study location depicting the sampled CBOs is presented in the following page.

**Map 4.1 Study Location Depicting the Sample CBOs**



- 1 Ekanta Basti Yuwa Club, Dhotra
- 2 Rani Pani Gram Sewa Kendra, Ranipani
- 3 Grameen Mahila Vikas Bahuuddeshiya Sahakari Sanstha Ltd., Tinpipla
- 4 Laukeni Ghyangle Bokse Samudayik Ban Upabhokta Samuha, Devisthan
- 5 Karkikhop Dhairani Samudayik Ban Upabhokta Samuha, Majhdihi

#### 4.4 General Characteristics of the Sample CBOs

The CBOs as study samples were selected purposively so as to represent the different sectors, viz. forestry groups, social service and clubs, and savings and credit groups. The CBOs in the study area are driven by their mission, yet many of their programme activities overlap in terms of the sector coverage. For example, there are forest user groups involved in social service activities while the social service groups and clubs also engaged in various aspects of natural resource management.

In this section, a review of leadership composition, executive committee composition, and overall membership composition of the sample CBOs is undertaken.

##### 4.4.1 CBO Leadership

The attributes and qualities of the chairperson shape the direction of a CBO. In rural setting, in many respects, the chairpersons are the sole runners of the CBOs. As such, the leaders equipped with appropriate knowledge and skills are prerequisite for progressive performance of the CBOs. Table 4.1 presents the social as well as other qualifications of the current chairpersons of the sample CBOs.

**Table 4.1 Qualification of Chairpersons in Sample CBOs**

CBO's Name (short)	Attributes of the Chairpersons				
	Sex	Age	Education Level	Service Years in CBO	Training Taken
Ekanta Basti Club	M	35	Masters	3	Many
Gram Sewa Kendra	F	25	SLC	1	Sewing
Mahila Vikas Sanstha	F	40	Literate	9	Many
Laukeni Ban Samuha	M	45	SLC	10	---
Dhaireni Ban Samuha	F	32	Secondary	13	Many

Legend: M=Male F= Female

Source: Field Survey, 2004

Three CBOs are headed by females and the two by males. All chairpersons are in the economically active age group and four of them are educated up to school leaving certificate (SLC) level with one having pursued studies up to Masters Level. Except in

the case of Gram Sewa Kendra, the current chairpersons are those engaged in the CBOs since their establishment. Three of the chairpersons have taken many trainings.

In general the leaders are young and equipped with knowledge and skills acquired through several trainings. They are also engaged in the CBOs since their establishment. However, they are not highly educated.

#### 4.4.2 CBO Executive Committee

The executive committee composition is also taken as a determining factor in successfully moving ahead the CBOs. Together with able leadership, the collective qualities of the executive committee members as a team plays crucial role in promoting the CBOs in the broader interests of its members.

Table 4.2 presents the sex and age composition as well as educational qualification of the members in the sample CBOs.

**Table 4.2 Executive Committee Composition in Sample CBOs**

CBO's Name (short)	Attributes of the Ex-Com Members							
	Sex			Age Group		Education		
	<i>M</i>	<i>F</i>	<i>T</i>	<i>15-49</i>	<i>50-65</i>	<i>H</i>	<i>S</i>	<i>L</i>
Ekanta Basti Club	9	---	<b>9</b>	9	---	7	2	---
Gram Sewa Kendra	4	5	<b>9</b>	9	---	3	3	3
Mahila Vikas Sanstha	---	11	<b>11</b>	9	2	---	4	7
Laukeni Ban Samuha	8	1	<b>9</b>	8	1	1	4	4
Dhaireni Ban Samuha	1	8	<b>9</b>	7	2	1	1	7
<b>Total (No.)</b>	<b>22</b>	<b>25</b>	<b>47</b>	<b>42</b>	<b>5</b>	<b>12</b>	<b>14</b>	<b>21</b>
<b>%</b>	<b>47</b>	<b>53</b>	<b>100</b>	<b>89</b>	<b>11</b>	<b>25</b>	<b>30</b>	<b>45</b>

Legend: M=Male, F=Female, T=Total, H=Higher (above SLC), S=Secondary, L=Literate

Source: Field Survey, 2004

The executive committee composition shows more females in two out of the three mixed CBO committees. In total, 53% are female in the committees. There is dominance (89%) of members from 15-49 (economically active) age group in the

committees. Almost half (45%) of the executive committee members (mostly women) are just literate and only 25% have educational attainment above SLC.

More female members needed to be brought into the executive committees because males had to attend to other business and also that women are more trustworthy and committed. In general, the executive committees are characterised by more female and young members with educational attainment up to secondary level.

#### 4.4.3 CBO Membership

The overall membership composition gives the characteristics and complexity of a CBO. The CBOs may be dominated by male or female and by younger ones or elder ones. Much of the group dynamics are determined by the sex and age structure of the CBOs. Table 4.3 presents an overview of sex and age composition of the members in the sample CBOs.

**Table 4.3 Membership Composition by Sex and Age**

CBO's Name (short)	Attributes of the CBO Members						
	Sex			Age Group			
	<i>M</i>	<i>F</i>	<i>T</i>	<i>&lt;15</i>	<i>15-49</i>	<i>50-65</i>	<i>65+</i>
Ekanta Basti Club	44	---	<b>44</b>	---	39	5	---
Gram Sewa Kendra	52	15	<b>67</b>	---	57	10	---
Mahila Vikas Sanstha	---	871	<b>871</b>	---	521	250	100
Laukeni Ban Samuha	175	50	<b>225</b>	---	56	134	35
Dhaireni Ban Samuha	65	2	<b>67</b>	1	33	25	8
<b>Total (No.)</b>	<b>336</b>	<b>938</b>	<b>1,274</b>	<b>1</b>	<b>706</b>	<b>424</b>	<b>143</b>
<b>%</b>	<b>26</b>	<b>74</b>	<b>100</b>	<b>---</b>	<b>56</b>	<b>33</b>	<b>11</b>

Legend: M=Male, F=Female, T=Total

Source: Field Survey, 2004

In total, the females (74%) outnumber males (26%) in the CBOs as the women cooperative had 871 members, which is 68% of the total members from all the five CBOs. Among the mixed CBOs, Laukeni Ban Samuha and Gram Sewa Kendra have sizeable presence (22% in both cases) of female members. However, in Dhaireni Ban Samuha, female members are mere 3% (2 out of 67). In terms of age group, majority



(56%) of the members in the groups belong to the economically active age group followed by 33% in the 50-65 group and only 11% above 65 years of age.

In general, females are in minority in the mixed groups and significant number of members (totalling 44%) belongs to economically in-active group (33% in 50-65 age group and 11% above 65 years of age). As an exception, there is only one member below 15 years of age in the groups.

The sociological research studies also focus on caste and ethnic diversity as critical elements in promoting or hindering the social and institutional development processes. The representation of specific caste and ethnic groups and combination thereof plays significant role in case of CBOs promotion. The CBO membership composition is further analysed in terms of caste and ethnicity in Table 4.4 below.

**Table 4.4 Membership Composition by Caste and Ethnicity**

<b>CBO's Name (Short)</b>	<b>B</b>	<b>C</b>	<b>N</b>	<b>T</b>	<b>M</b>	<b>D</b>	<b>S</b>	<b>DKS</b>	<b>Total</b>
Ekanta Basti Club	5	10	1	---	---	26	---	2	<b>44</b>
Gram Sewa Kendra	42	1	20	1	---	---	3	---	<b>67</b>
Mahila Vikas Sanstha	270	87	87	11	---	305	---	111	<b>871</b>
Laukeni Ban Samuha	94	10	10	91	20	---	---	---	<b>225</b>
Dhaireni Ban Samuha	39	---	22	---	---	---	6	---	<b>67</b>
<b>Total (No.)</b>	<b>450</b>	<b>108</b>	<b>140</b>	<b>103</b>	<b>20</b>	<b>331</b>	<b>9</b>	<b>113</b>	<b>1,274</b>
<b>%</b>	<b>35.3</b>	<b>8.5</b>	<b>11.0</b>	<b>8.1</b>	<b>1.5</b>	<b>26.0</b>	<b>0.7</b>	<b>8.9</b>	<b>100.0</b>

Legend: B=Brahman, C=Chhetri, N=Newar, T=Tamang, M=Magar, D=Danuwar, S=Shivabhakti,

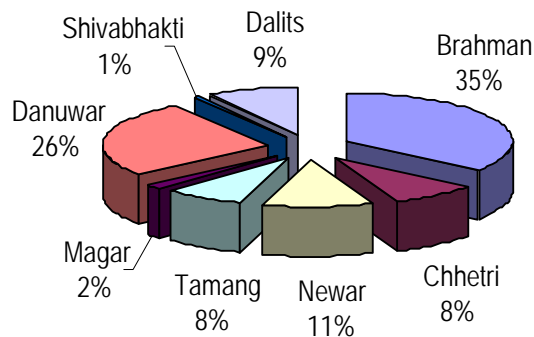
DKS=Damai, Kami, Sarki (Dalits)

Source: Field Survey, 2004

In terms of number, Brahmins (35.3%) dominate the CBOs followed by Danuwars (26.0%). Brahmins and Newars are represented in all the five CBOs followed by Chhetris in four and Tamangs in three CBOs. The other caste/ethnic groups are represented only in one or two CBOs.

The CBO membership composition by caste and ethnicity is presented in chart 4.1 in the following page.

**Chart 4.1 Caste/Ethnic Diversity in CBO Membership**



The chart suggests that there is caste and ethnic diversity in the study location as reflected in the sample CBOs as well.

The major three groups are Brahmans (35%), Danuwars (26%)

and Newars (11%). The Dalits [Damai, Kami, Sarki] (9%), Chhetris (8%), and Tamangs (8%) also have sizeable presence in the CBOs. But, Magars (2%) and Shivabhaktis (1%) have only negligible representation.

To sum up, the CBOs are led by young leaders. Although not highly educated, they have undergone several trainings and are engaged in the CBOs since their inception. The CBO executive committees are characterised by more female and young members, with educational attainment up to secondary level.

In general, females are in minority in the mixed CBOs and significant number of members (totalling 44%) belongs to economically in-active age group. The sample of CBOs resembles caste and ethnic diversity in the study location. However, only Brahmans and Newars were found having representation in all five sampled CBOs.

#### **4.5 Socio-economic Background of Respondents**

A family or household is a basic unit of analysis in a sociological research. Through household study, socio-economic data about the study location is generated, which provides a context for further research and analysis on any sociological phenomenon. A total of 45 households from among the member households of the sample CBOs were selected for generating socio-economic data of the study area. The households

were selected purposively to represent all caste and ethnic groups according to their representation and strength in the sample CBOs.

In this section, social (family size, sex and age structure, marital status, and education) and economic (occupation, land ownership, food sufficiency, and income) information on the sample households are examined.

#### 4.5.1 Family Size

In rural setting, bigger family size is a normal phenomenon and it has impacts on the family livelihood status. A total of 271 family members were listed for the 45 sample households. Thus, the average family size in the study area comes to 6.02, which is almost same as reflected by the PARDYP project data (Allen et al., 2000:8). The project data states the average family size of 6 in the watershed during the period 1990-1996.

The family size of the sample households by caste and ethnicity is presented in table 4.5 in the following page.

**Table 4.5 Family Size in Sample Households by Caste & Ethnicity**

Caste/ Ethnicity	Family Size (No.)				Family Size (%)		
	2-4	5-7	8-10	Total HH	2-4	5-7	8-10
Brahman	2	8	3	13	15	62	23
Chhetri	2	3	1	6	33	50	17
Newar	1	1	4	6	17	17	66
Tamang	2	2	1	5	40	40	20
Magar	4	1	---	5	80	20	---
Danuwar	---	4	2	6	---	66	34
Shivabhakti	---	---	1	1	---	---	100
Dalits	1	1	1	3	33	33	34
<b>Total</b>	<b>12</b>	<b>20</b>	<b>13</b>	<b>45</b>	<b>27</b>	<b>44</b>	<b>29</b>

Dalits = Damai, Kami, Sarki

Source: Field Survey, 2004

Almost all caste/ethnic groups have had representation in all family sizes that of 2-4 persons (small), 5-7 persons (medium), and 8-10 persons (large). Majority of the

Brahman (62%), Chhetri (50%), and Danuwar (66%) households have had medium sized family, whereas majority (80%) of Magar households belonged to small family size. In total, 44% of the households belonged to the medium sized family, followed by 29% to large and 27% to small family sizes.

#### 4.5.2 Sex and Age Structure

The sex and age structure of a given household explains the productive capacity of the family in terms of human resources. Age is an important demographic feature that makes significance to the economic activity, social and ceremonial functions. More dependent members (children and aged) in the family restrict more productive labour. Table 4.6 in the following page presents the sex and age structure of the sample households by caste and ethnicity.

Overall, the females (52%) outnumber the males (48%) in the sampled households. Only Newar and Danuwar households have had more male population. The male and female ratio is 1.08, which is slightly higher than the district level ratio of one is to one. In terms of age, majority (59%) belong to the economically active age group of 15-49 years. Altogether 29% are children (below 15 years of age) and only 12% are aged population (50 years and above).

**Table 4.6 Age and Sex Structure of Sample Households**

Caste/ Ethnicity	Sex			Age Group			
	M	F	T	<15	15-49	50-65	65+
Brahman	36	43	79	25	47	5	2
Chhetri	14	21	35	10	23	---	2
Newar	26	18	44	9	28	6	1
Tamang	13	15	28	6	17	5	---
Magar	9	9	18	6	8	3	1
Danuwar	22	20	42	14	22	6	---
Shivabhakti	4	4	8	2	6	---	---
Dalits	6	11	17	6	9	2	---
<b>Total (No.)</b>	<b>130</b>	<b>141</b>	<b>271</b>	<b>78</b>	<b>160</b>	<b>27</b>	<b>6</b>
<b>%</b>	<b>48</b>	<b>52</b>	<b>100</b>	<b>29</b>	<b>59</b>	<b>10</b>	<b>2</b>

Legend: Dalits = Damai, Kami, Sarki / M=Male F=Female T=Total

Source: Field Survey, 2004

The members in economically active age group exceeds the average percentage of 59% among Chhetris (66% - 23 out of 35), Newars (64% - 28 out of 44), Tamangs (61% - 17 out of 28) and Shivabhaktis (75% - 6 out of 8). Similarly, there are significant number of children among Brahmans (32% - 25 out of 79), Magars (33% - 6 out of 18), Danuwars (33% - 14 out of 42) and Dalits (35% - 6 out of 17).

Table 4.7 below on marital status sheds more light on age and sex structure. While looking the age structure by sex it is apparent that there are more girl child (59% - 46 out of 78) in the sample households. Similarly, females outnumber males in age groups 50-65 and 65+. However, the economically active age group that of 15-49 is composed of more males (52% - 84 out of 160).

### 4.5.3 Marital Status

Marital status of a household explains the prevalent marriage practices in terms of age. For example, the study locality may have child marriage practices, at least in case of girl child. Similarly, the locality may have more members of marriageable age yet unmarried or members in their widowhood.

Table 4.7 below presents the marital status of the sample households by sex and age group.

**Table 4.7 Marital Status of Sample Household Members**

	Male Marital Status				Female Marital Status			
Age Group	S	M	W	T	S	M	W	T
<15	32	---	---	<b>32</b>	46	---	---	<b>46</b>
15-49	40	43	1	<b>84</b>	25	51	---	<b>76</b>
50-65	---	13	---	<b>13</b>	---	9	5	<b>14</b>
65+	---	1	---	<b>1</b>	---	---	5	<b>5</b>
<b>Total (No.)</b>	<b>72</b>	<b>57</b>	<b>1</b>	<b>130</b>	<b>71</b>	<b>60</b>	<b>10</b>	<b>141</b>
<b>%</b>	<b>55</b>	<b>44</b>	<b>1</b>	<b>100</b>	<b>50</b>	<b>43</b>	<b>7</b>	<b>100</b>

Legend: S = Single M=Married W=Widow/Widower T=Total

Source: Field Survey, 2004

This table supplements table 4.6 on age and sex structure in that, this presents the age structure by sex. There are more girl child (59% - 46 out of 78) in the sampled households. Similarly, females outnumber males in age groups 50-65 and 65+. However, the economically active age group that of 15-49 is composed of more males (52% - 84 out of 160).

The respondents below 15 years of age are considered as not belonging to marriageable age group. No one from this age group was found on married status, hence making no case of child marriage. More number of females (67% - 51 out of 76) in the age group 15-49 are married compared to the males (51% - 43 out of 84) in the same age group. Thus, almost half (48%) of males in the potential age group for marriage are living in single status. This suggests that there is a practice of marrying late among the males in the study location. In contrast to only one male widower, 10 females are living in widowhood.

#### 4.5.4 Educational Status

Education is the foundation of civilization and indicator of development. The levels of literacy and educational attainment among the communities explain the overall social status. Table 4.8 presents the educational status of the sample households by caste/ethnicity and sex.

**Table 4.8 Educational Status of Sample Household Members  
(Age 5 and above)**

Caste/ Ethnicity	Male Education Status						Female Education Status					
	I	L	P	S	H	T	I	L	P	S	H	T
Brahman	1	6	9	9	9	34	2	14	8	10	7	41
Chhetri	---	4	1	5	3	13	4	6	8	2	---	20
Newar	---	4	11	8	3	26	7	3	5	2	1	18
Tamang	2	7	1	3	---	13	2	5	4	2	2	15
Magar	3	2	1	1	---	7	3	5	---	---	---	8
Danuwar	5	4	11	1	---	21	1	10	5	---	---	16
Shivabhakti	---	1	1	1	1	4	1	---	1	1	---	3
Dalits	---	1	2	1	1	5	2	2	5	---	---	9
<b>Total (No.)</b>	<b>11</b>	<b>29</b>	<b>37</b>	<b>29</b>	<b>17</b>	<b>123</b>	<b>22</b>	<b>45</b>	<b>36</b>	<b>17</b>	<b>10</b>	<b>130</b>
<b>%</b>	<b>9</b>	<b>23</b>	<b>30</b>	<b>23</b>	<b>15</b>	<b>100</b>	<b>17</b>	<b>35</b>	<b>28</b>	<b>13</b>	<b>7</b>	<b>100</b>

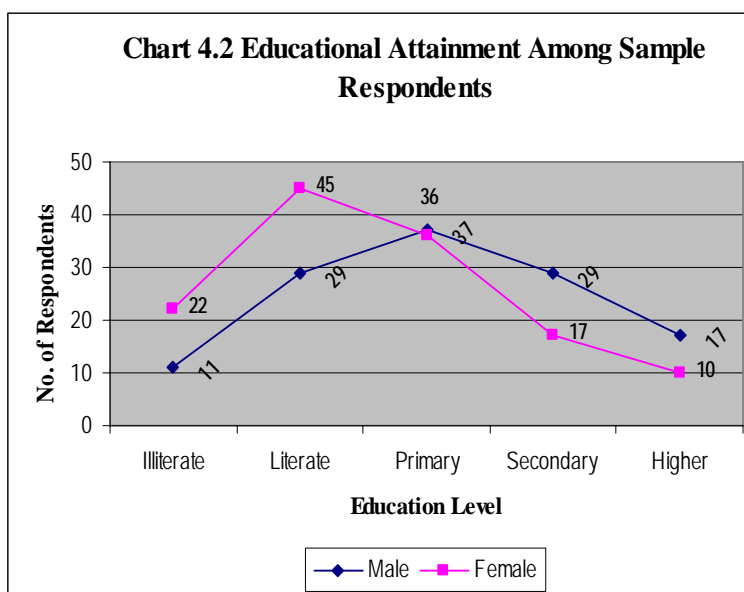
Legend: I=Illiterate L=Literate P=Primary (up to class V) S=Secondary H=Higher (above school leaving certificate) T=Total

Source: Field Survey, 2004

For the purpose of the study, the infants and children not belonging to school going age are excluded. The general trend in the study area is that new generation is pursuing formal education irrespective of their caste/ethnicity background. It shows that higher percentage of females is at lower ends of their educational attainment compared to the males.

Only 7% of females have higher levels of education compared to 15% that of males. Similarly, only 13% of females have secondary level of education compared to 23% in case of males. In terms of caste/ethnicity the Magars and Danuwars have no members with higher levels of educational attainment. Overall, 13% (male 9% and female 17%) of the respondents are illiterate, which is encouraging compared to district level statistics. For the district, illiteracy rate is 36.2 percent for both sex and it is 24.5% in case of males and 47.8% in case of females (ISRSC, 2002:217).

The educational attainment levels presented in chart 4.2 reflect the qualitative differences among the male and female respondents. More females are at lower ends of educational status. For males the numbers at both



ends are even. The male and female curves cross at primary level. From there on, the number for females goes down sharply compared to the number for males.

To sum up the social background of the respondents, the average family size came to 6.02 and almost all caste/ethnic groups have had representation in all family sizes. In total, 44% of the households belonged to the medium sized family (5-7 persons), followed by 29% to large (8-10 persons) and 27% to small family (2-4 persons) sizes. The male and female ratio is 1.08 suggesting more female population. Majority (59%)

belonged to the economically active age group of 15-49 years composed of more males (52%). Altogether 29% are children (below 15 years of age) with more girl child (59%). Significant number of children was reported in the families among Brahmans (32%), Magars (33%), Danuwars (33%) and Dalits (35%). This suggests one third of the total as young population among these caste and ethnic groups. Only 12% are aged population (50 years and above) in the sample households.

More number of females (67%) in the age group 15-49 are married compared to the males (51%) in the same age group. Almost half (48%) of males in the potential age group for marriage are living in single status suggesting a practice of late marriage among the males in the study location. Only 7% of females have higher levels (above School Leaving Certificate) of education compared to 13% that of males. Magars and Danuwars also have no members with higher levels of educational attainment. Overall, 18.8% (male 14% and female 23%) people are illiterate, which is almost half compared to the district level statistics.

The insights from the social background of the respondents collected in terms of family size, sex and age structure, marital status, and education suggest inferior status of female members. While the females outnumber males, they are lagging behind in education partly due to their changed social role after marriage.

With above social background the following sections provide economic information on the sample households in terms of their occupation, land ownership, food sufficiency, and income figures.

#### **4.5.5 Occupational Status**

People simply eke out their livelihood tapping the natural resources available in surrounding areas. It could be observed that agriculture is the dominant occupation in the study area. While people are engaged in supplemental activities as their sources of livelihood, those seemed to be negligible. Table 4.9 in the following page presents the occupational status of the sample household members.



**Table 4.9 Occupational Status of Sample Household Members**

Primary Occupation	Household Members	
	No.	%
Agriculture	129	47.6
Cottage Industry	8	2.9
Job/Employee	7	2.6
Trade/Business	2	0.7
Crafts (Tailor/Mason etc.)	3	1.1
Labour	---	---
Student	87	32.1
Others	5	1.8
No Response	30	11.2
<b>Total</b>	<b>271</b>	<b>100.0</b>

Source: Field Survey, 2004

The sample households engage predominantly in agriculture with 129 (47.6%) members in it as their primary occupation. Although, they support in agriculture and other household activities, 87 (32.1%) members are engaged primarily as students. The no response category includes mostly the infants and children not belonging to school going age. The other occupations were found having not much of significance. Although, no one is engaged in wage labour primarily, a total of 18 (6.6%) members responded as it was their secondary occupation.

#### **4.5.6 Land Ownership**

The above section revealed that agriculture is the main occupation of majority of households in the study location. However, income from agriculture depends on the size and quality of the land holding and also access to other natural resources (forest, water). Table 4.10 in the following page presents the different types of land owned by the sample households by caste/ethnicity.

The table shows that Brahman, Tamang and Danuwar households have owned all types of lands, however, the area of other type (forest) land owned is negligible. In average, all land types – residence, lowland, and upland – were owned at a size of 13.2 *ropanis* per household. This number however, is influenced by the exceptional case of one Shivabhakti household. From caste/ethnic perspective, (excluding the Shivabhakti), in average, Brahmans own largest (19.4 *ropanis*) area of land per

household followed by 15.6 *ropanis* by Tamangs and 12 *ropanis* by Newars. The Magar and Dalit households own smallest size of land area – 4 *ropanis* each.

**Table 4.10 Land Holding by Sample Households by Land Type**

Caste/ Ethnicity	Total and Average for Sample Households	Land Holding ( <i>Ropani</i> *)				
		Residence ( <i>Gharbari</i> )	Lowland ( <i>Khet</i> )	Upland ( <i>Bari</i> )	Others ( <i>Forest</i> )	Total
Brahman	Total for 13 HH	75	88	62	27	252
	<i>Average per HH</i>	5.8	6.8	4.8	2.1	<b>19.4</b>
Chhetri	Total for 6 HH	23	21	21	---	65
	<i>Average per HH</i>	3.8	3.5	3.5	---	<b>10.8</b>
Newar	Total for 6 HH	37	16	19	---	72
	<i>Average per HH</i>	6.2	2.7	3.2	---	<b>12.0</b>
Tamang	Total for 5 HH	37	19	20	2	78
	<i>Average per HH</i>	7.4	3.8	4.0	0.4	<b>15.6</b>
Magar	Total for 5 HH	15	5	---	---	20
	<i>Average per HH</i>	3.0	1.0	---	---	<b>4.0</b>
Danuwar	Total for 6 HH	7	20	33	1	61
	<i>Average per HH</i>	1.2	3.3	5.5	0.2	<b>10.2</b>
Shivabhakti	Total for 1 HH	5	15	16	---	36
	<i>Average per HH</i>	5.0	15.0	16.0	---	<b>36</b>
Dalits	Total for 3 HH	4	---	8	---	12
	<i>Average per HH</i>	1.3	---	2.7	---	<b>4.0</b>
<b>Total for 45 HH</b>		<b>203</b>	<b>184</b>	<b>179</b>	<b>30</b>	<b>596</b>
<i>Average per HH</i>		<b>4.5</b>	<b>4.1</b>	<b>4.0</b>	<b>0.7</b>	<b>13.2</b>

Source: Field Survey, 2004

\* 1 *Ropani* = 0.05 ha (Hills)

Table 4.11 in the following page further examines the disparity in the size of land area owned by sample households. It is evident that within the caste/ethnic groups also, there is a large disparity in the total size of land owned. For example, there is a vast gap among Brahman households in terms of the size of their land holding. It ranged from 2 to 42 *ropanis* per household.

The Magar and Dalit households were marked with meagre land holding - just 2 to 5 or 6 *ropanis* of land with insignificant gap in between. The study sample however contained no households without land. Every household owned at least a piece of land as resource for survival and the lands are privately owned.

**Table 4.11 Land Holding Levels by Sample Households**

Caste/ Ethnicity	HH Sample Total	Land Holding per Household ( <i>Ropani</i> *)		
		Maximum	Minimum	Average
Brahman	13	42	2	19.4
Chhetri	6	19	3	10.8
Newar	6	25	4	12.0
Tamang	5	23	5	15.6
Magar	5	5	2	4.0
Danuwar	6	17	3	10.2
<i>Shivabhakti</i>	1	36	36	36.0
Dalits	3	6	2	4.0
<b>Total</b>	<b>45</b>	<b>42</b>	<b>2</b>	<b>13.2</b>

Source: Field Survey, 2004

1 *Ropani* = 0.05 ha (Hills)**4.5.7 Food Grain Sufficiency**

At times despite of having parcels of land, the households may face insufficiency of their food grains to feed the family members throughout the year. The size of land itself may be limited given the size of family or the land productivity might be poor. Table 4.12 presents the sufficiency of food grains that the sample households produce by caste/ethnicity.

**Table 4.12 Food Grain Sufficiency among Sample Households**

Caste/ Ethnicity	Food Grain Sufficiency (HH)					
	</=3 months	6 months	9 months	12 months	Food Surplus	Total: HH
Brahman	---	1	---	8	4	13
Chhetri	1	---	---	5	---	6
Newar	1	1	1	3	---	6
Tamang	---	---	1	4	---	5
Magar	---	---	---	5	---	5
Danuwar	---	3	2	1	---	6
Shivabhakti	---	---	---	1	---	1
Dalits	1	1	---	1	---	3
<b>Total: HH</b>	<b>3</b>	<b>6</b>	<b>4</b>	<b>28</b>	<b>4</b>	<b>45</b>
<b>%</b>	<b>6.7</b>	<b>13.3</b>	<b>8.9</b>	<b>62.2</b>	<b>8.9</b>	<b>100</b>

Source: Field Survey, 2004

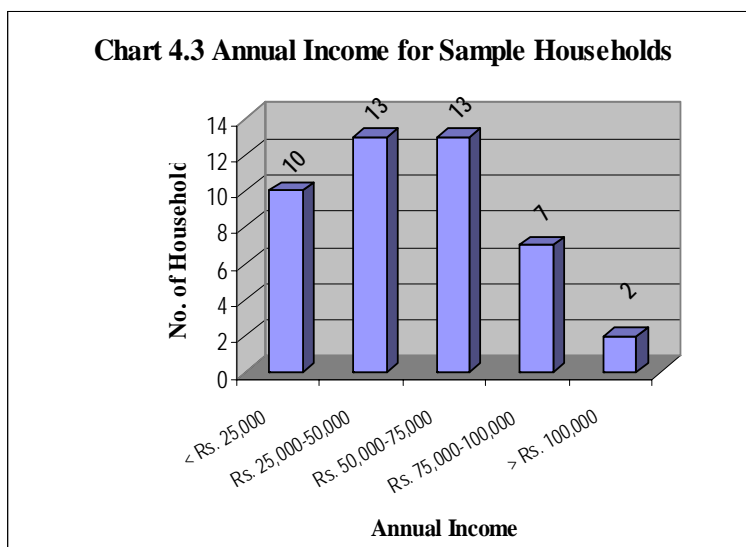
The table shows that majority (62.2%) of the households produce food grains sufficient for family consumption throughout the year. Only three households (6.7%) one each from among the Chhetri, Newar, and Dalits produce food grains sufficient only for three months. The four households (8.9%) all belonging to Brahmans with over 20 *ropanis* of land reported surplus food grains worth Rs. 20,000 to 50,000.

Surprisingly, the Shivabhakti household having 36 *ropanis* of land and 8 (6 adult and 2 children) members did not report surplus food/grains. This may be attributed to the respondent's unwillingness to record too much of affluence. The Magars having small family size of average 3.6 persons and average landholding size of 4 *ropanis* reported food sufficiency throughout the year.

#### 4.5.8 Annual Household Income

The household income accounted in cash is the key indicator of economic well-being of a family as it may have sources of income other than agriculture. Cash is valued much both for procuring agricultural inputs and modern amenities fulfilling basic needs.

Chart 4.3 displays the annual income for the studied households. There are 13 households each in the annual income bracket of Rs. 25,000-50,000 and Rs. 50,000-75,000. The chart shows that only 2



households have annual income of over Rs. 100,000. However, significant number (10) of the households has annual income of less than Rs. 25,000, which is less than US\$ 1 per day (US\$ = Rs. 75 approx).

Annual household income figures are further analysed by caste/ethnicity in table 4.13.

**Table 4.13 Annual Household Income among Sample Households**

Caste/ Ethnicity	Annual Household Income (HH)					
	< Rs. 25,000	Rs. 25,000 – 50,000	Rs. 50,000 – 75,000	Rs. 75,000 – 100,000	> Rs. 100,000	Total: HH
Brahman	2	2	5	2	2	13
Chhetri	1	1	3	1	---	6
Newar	3	1	1	1	---	6
Tamang	1	1	2	1	---	5
Magar	---	5	---	---	---	5
Danuwar	2	1	2	1	---	6
Shivabhakti	---	1	---	---	---	1
Dalits	1	1	---	1	---	3
<b>Total: HH</b>	<b>10</b>	<b>13</b>	<b>13</b>	<b>7</b>	<b>2</b>	<b>45</b>
<b>%</b>	<b>22.2</b>	<b>28.9</b>	<b>28.9</b>	<b>15.6</b>	<b>4.4</b>	<b>100</b>

Source: Field Survey, 2004

As observed earlier, majority of households (57.8%) fall under annual household income range of Rs. 25,000 to Rs. 75,000. All of the Magar households reported income between Rs. 25,000 to Rs. 50,000. Only two Brahman households (4.4%) having surplus food grains worth Rs. 40,000 to Rs. 50,000 reported of having annual household income of over Rs. 100,000. Again, the Brahman households spread across all the five income brackets.

To summarise the economic background of the respondents, they are found engaged predominantly in agriculture. Altogether 47.6% of the members stated agriculture as their primary occupation. The students comprise 32.1% who also support in agriculture. Only 6.6% of the household members indicated wage labour as secondary occupation. Each household owned at least a piece of land as resource for survival. They owned all land types – residence (*gharbari*), lowland (*khet*), and upland (*bari*) – at an average size of 4 to 4.5 ropanis per household. In average, Brahmans own largest (19.4 ropanis) area of land per household followed by 15.6 ropanis by

Tamangs and 12 ropanis by Newars. The Magars and Dalits own 4 ropanis each per household.

Majority (62.2%) of the households produce food grains sufficient for family consumption throughout the year. Only three households (6.7%) produce food grains sufficient only for three months. The four households (8.9%) all belonging to Brahmins with over 20 ropanis of land reported surplus food grains worth Rs. 20,000 to 50,000. Given the small family size of average 3.6 persons, the Magars report food sufficiency throughout the year despite of small patches (2 to 5 ropanis) of land they own. Majority of households (57.8%) fall under annual household income range of Rs. 25,000 to Rs. 75,000. However, 10 households (22.2%) have annual income of less than Rs. 25,000; which is less than US\$ 1 per day (US\$ = Rs. 75 approx).

The above economic information suggested not much of poverty prevalent in the study location as all of them have had some land to work on. Again, over 60% of the households have food grain sufficiency through out the year and majority (58%) of the households have income more or less US\$ 1 per day.

The social information still suggests inferior status of female members as indicated by their low levels of educational attainment. However not much of poverty was found prevalent in the study location as indicated by food grain sufficiency and household income levels. This had implications on the overall capacity levels of the studied CBOs. Since, increased roles are being transferred to female members their low levels of education restrict overall advancement of their CBOs. Again, members with other income avenues find their involvement and dedication in the CBOs of less priority. The following chapter provides the working environment of the CBOs comprised of administrative and legal environment, social and cultural environment, and the stakeholders in CBO promotion.

## **CHAPTER FIVE**

### **WORKING ENVIRONMENT OF COMMUNITY BASED ORGANISATIONS**

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#### **5.1 Administrative and Legal Environment**

The government and non-government policies and specific laws and regulations provide administrative and legal environment for the CBOs' functioning. The existence or absence of enabling policies and their enforcement determines the extent of CBO activism and their contribution towards sustainable management of natural resources ensuring both local income generation and environmental protection. Several of the government policies especially in natural resources management sector have encouraged promotion of CBOs in managing sustainably the local natural resources.

The ever increasing number of forest user groups (FUGs) in mid-hill districts of Nepal is ascribed to the Forest Act of 1993 and Forest Regulations of 1995 that enshrined the rights of the FUGs to manage and utilise forest blocks entrusted to them in perpetuity, subject of management plans approved by government authorities. By the end of 2004, the number of FUGs was fast approaching 15,000 and total area of forest managed by these groups was well in excess of 1 million hectare (Vickers, 2005:1).

Similarly, national policy of decentralisation and local governance reflected in various laws and regulations, the local self-governance act and regulations enacted in 1999/2000, and approach paper to 10<sup>th</sup> five year plan prepared and published in 2002 provide supportive policy environment for the CBOs. However, in community forestry context, there is some confusion and contradiction among various laws and regulations. The restrictive factors include laws related to promotion of national parks and reserve areas, conventional attitude of bureaucrats with mindset influenced by institutional corruption, conventional attitude of politicians using forest resources as vote bank, and influence of timber mafias for illegal sale of timber (ICIMOD, 2005:24).

In general, the key informants expressed ignorance on the specific laws and regulations governing the functioning of the CBOs and the GO/NGO policies related to natural resources management. However, the Forest Act, User Groups Act, Group Mobilisation Act, etc. were named in relation to the CBOs role in managing natural resources. The Acts, Rules and Regulations ban agricultural practices on slopping lands with 20° and higher and require that irrigation dams be made 50 meters above only. In line with the rules and regulations, the government line agencies now promote terrace improvement with plantation of fodder grass and soil conservation related activities through user groups in participatory way, which used to be done earlier on contract basis. They also encourage soil test, composting, rotational cropping, and integrated pest management.

On forests, government focuses only on plantation of tree species. As trees take longer years, immediate needs of the farmers are not met. Hence, PARDYP project is promoting a variety of fodder grasses and hedgerows together with tree species. These interventions are also necessary for soil conservation. Now the government agencies have replicated the project model (especially on fodder, on-farm, and water management) in Dapcha Khola watershed, adjacent to Jhikhu Khola watershed. One key informant observed that due to weaknesses on the part of the FUG Statutes, individual relationships tend to sour when the funds get collected in the name of the groups.

Table 5.1 presents the registration and renewal status of the sample CBOs with the year of their registration.

**Table 5.1 Registration Status of Sample CBOs**

<b>CBO's Name (short)</b>	<b>Office where CBO is Registered</b>	<b>Year Registered</b>	<b>Registration Renewed up to</b>
Ekanta Basti Club	DAO	2058 BS (2001)	2003
Gram Sewa Kendra	DAO	2053 BS (1996)	2004
Mahila Vikas Sanstha	DCO	2053 BS (1996)	2004
Laukeni Ban Samuha	DFO	2052 BS (1995)	1998
Dhaireni Ban Samuha	DFO	2049 BS (1992)	2004

Source: Field Survey, 2004      Legend: DAO=District Administration Office,  
DFO=District Forest Office, DCO= District Cooperatives Officer



The CBOs have acquired legal status registering with three different government bodies, namely the District Administration Office (in case of the Club and the Village Service Centre), District Cooperatives Office (in case of Women Cooperative) and District Forest Office (in case of Laukeni and Dhaireni Forest Groups). While the Club has been registered four years back, rest of the CBOs are in existence for about a decade now. The CBOs have to undergo certain government processes for registration and annual renewals. They need to adhere to several rules and regulations as stipulated by the concerned government bodies listed above. All except Laukeni Forest Group were found having their organisations renewed until for the period of the field survey. Given the ongoing conflict, the members of Laukeni Forest Group were unable to convene proper meetings for last few years, hence no renewal.

The CBOs' institution survey revealed that they are not guided well by the legal documents [e.g. statutes, rules and regulations etc.] in their day to day business. Similarly, many official requirements and documents are accomplished only at the time of the CBOs' renewal with the government bodies.

The updating of financial records was found neglected in many cases. During survey, financial records of Ekanta Basti Club and Laukeni Ban Samuha were found not updated. Dhaireni Ban Samuha reported that, their accounts were also pending for six/seven years that now has been audited for a lump-sum fee of Rs. 1,150. Mahila Sahakari Sanstha does not have a system of analysing their membership register in terms of the members' age, caste/ethnicity, and education and so on. Moreover, the renewal of Laukeni Ban Samuha is overdue for five years mainly due to conflict among its members [elaborated in the following section].

Another legal issue pertains to the deputation of females to the group work from the CBO member households. In many groups, the registered members are males being the legal owner of the member households of the user groups. However, females are deputed from these households to serve in the group [e.g., Dhaireni Ban Samuha] activities as males attend to service and other businesses. This raises issues of legality when those females have to deal with government offices, which do not recognise them as valid members of the groups. Gram Sewa Kendra has also nominated many females from among member households to serve on and to make the executive committee vibrant.

## 5.2 Social and Cultural Environment

The norms, values and attitudes as well as overall literacy rate in the society describe the social and cultural environment. As the CBOs are part of the given society, they also resemble the same social and cultural traits.

Two of the indigenous groups in the study location – the Danuwars in the plains and the Tamangs in the hills complain of the cheating by the people of upper cast and class. Until malaria eradication, the plain lands belonged to the Danuwars that later on were registered in the names of the high caste/class people. Now the Danuwars work on the land that had been passed on to the in-migrants due to mistakes of their forefathers. Similarly, Tamangs realise that their generation was spoilt due to excessive alcoholism as they belong to *Matwalis* – those who take liquor as one of their cultural essence.

During institution survey, the caste/ethnic divide in the locality and animosity among the members were revealed in some of the CBOs. Dhaireni Ban Samuha shared one example of non-cooperation from non-members. Some saplings were delivered and dropped half-way and none of the villagers informed of this to the group. When noticed about two weeks later, almost half of them were perished.

Gram Sewa Kendra has a mission to serve the people of ward 7 and 8. But, it has not been able to include the majority Danuwar community from ward 7. So, they are planning to form a separate group of Danuwars. Again, Gram Sewa Kendra had received four *ropanis* of land in donation, of which land title paper was made for only one *ropani*. It had earlier built its office in the donated land where several training and regular health checkups use to be conducted. However, the villagers later on demolished the office building due to dispute and now there stands a private hospital.

Laukeni Ban Samuha has become another glaring example of caste/ethnic divide, group politics, non-transparency and organisational weakness. There is tension between caste [Brahman] and ethnic [Tamang] members in the group as they both belong almost in equal numbers. Tamangs are accused of encroaching about 200 ropanis of forest land. One of them had earlier built one house in the middle of the

forest which now has been demolished by other group members. The past executive committee members are accused of encouraging the Tamangs to encroach further the forest land. They have also not yet handed over the financial records to the new executive committee.

The new executive committee comprised both of caste and ethnic group members of Laukeni Ban Samuha has not yet been able to meet properly, as it is difficult to meet the quorum. Since, meetings are not held, renewal with District Forest Office (DFO) is also pending and without renewal, DFO does not allow cutting the surplus trees for group income generation. However, illegal felling is going unchecked as whoever intervenes, they are threatened. The ethnic groups are accused of brewing alcohol, felling trees and making money. Many locals are unemployed, yet forest products like leaf, *amala*, *katus* etc. go unutilised.

One key informant accounts on the group formation process in Patlekhhet VDC. Initially, many did not come into the groups as they were not aware of the potential benefits. Around 2053 BS (1996), the first group was formed at the initiation of CEAPRED (an NGO) for the off-season vegetable farming. Gradually, people learnt about it and later on District Agriculture Office also went towards group formation for various agricultural interventions. Around 2058 BS (2001) the Patlekhhet community envisioned on developing it as a model VDC. So, about 20 groups were formed in different wards and localities of the VDC. They collected group welfare fund and interacted among the groups and now they have over two million rupees collectively in their group fund.

Another key informant stresses that it all depends on local leadership and the outside support alone would not help the CBOs. The institution survey revealed that in some cases [e.g., Laukeni Ban Samuha, and Dhaireni Ban Samuha], it is the Chair who keeps outside contacts and most of times these developments are not made known to broader group members.

One observation was that the churches in the area are also forming groups for local development. They provide some spiritual dimensions to the group participation together with community development. But these groups are not sustainable as more

members are lured by the potential immediate and direct economic benefits out of their association into those groups.

As stated in section 4.5.4 in the previous chapter, there are few males (15%) and females (7%) with higher levels of education (beyond school leaving certificate). Again, only 13% of the females have secondary level of education compared to 23% in case of the males. In a society where half of the population are either illiterate or just literate, there tends to be more arguments among members (mostly on interest calculation on loans taken from group funds), yet they work in harmony in the CBOs. Most of them are shy in seeking potential external help as they tend to resolve the issues their own way.

The new generation is seen pursuing formal education irrespective of their caste and ethnicity background, which indicates the prime importance attached by the society on education. It is encouraging to observe (refer section 4.4.2) that increasing number of educated members are serving in the executive committees in the studied CBOs (30% executive members have secondary level of education and 25% have pursued higher education).

It is apparent that the CBO (especially in FUGs) executive responsibilities are being gradually transferred to the women in the study area. The explanations are that more women were needed to be brought in because men tend to care for other businesses and also that women are more sincere and trustworthy on financial matters. But, shifting of responsibilities without well thought out plans has rather exploited women in the name of their empowerment.

Many of the groups have in their statutes the provision for women participation at different levels of decision making. To fulfil the requirement, the groups tend to nominate female members in the executive committees irrespective of the capacity levels required of the position. Not many of female members are participating in the capacity building exercises given their household responsibilities attached, which in no case is decreasing together with their increasing social roles outside the household.

The foregoing discussion suggests that female members are being used by the mixed groups for mere presentation of statistics and no conscious efforts are being made towards their empowerment. However, women have shown their commitment and contributed significantly wherever they are given opportunities.

To cite an example of Dhaireni Ban Samuha, the women have contributed significantly in tapping spring water laying plastic pipes up to member households, in access road construction and in bringing electricity lines. In all these community development efforts, income from forest has been instrumental. To capitalise on existing social values, the group has managed a complete set of cooking utensils and serving dishes which they hire out on social occasions to the members at minimum rates and to non-members at maximum rates. This has ensured as an income source for the group.

### **5.3 Stakeholders in CBO Promotion**

The stakeholders being those with identifiable interest in the CBOs and natural resource management could encompass a diverse range of institutions and organisations. Table 5.2 in the following page presents a schema of stakeholders in the study area.

The table suggests that there are many local groups focusing on specific areas of NRM. They are the clients as well as beneficiaries in NRM interventions. Moreover, there is a host of local bodies of government that guide as well as impact upon the CBOs functioning on NRM. In a more supportive role to CBOs there exist different types of non-government bodies.

The key informants are of the opinion that the locals themselves have to take charge of their development and the outsiders need to push them up with various options in fulfilling their expressed needs. With external facilitation, they need to initiate the groups and subsequent works in different NRM areas.

**Table 5.2 Stakeholders in Jhikhu-Khola Watershed**

Category	Stakeholders	Examples
Community-Based Organisations	Natural Resources User Groups	Community Forest User Groups
		Leasehold Forest User Groups
		Agroforestry Groups
		Drinking Water User Groups
		Irrigation Water User Groups
	Other User Groups	Farmer Groups
		Agriculture Cooperatives
		Milk Cooperatives
		Community Animal Husbandry
		Small Farmer Agriculture Bank
		Savings and Credit Groups
	Social/Cultural Groups	Social Clubs
	Gender Groups	Women Organisations
		Women Saving and Credit Groups
Local Government Agencies / Policy Making Bodies	District Development Committees	Kavre DDC
	Municipalities	Dhulikhel Municipality
	Village Development Committees	Anaikot VDC
	Line Departments	District Forest Office
	Research Agencies/ Farms	Panchkhal Horticulture Centre
Research / Academic Institution		Kathmandu University
Association/ Networks		Systems for Rice Intensification – Nepal
Private Enterprises		Sunrise Farm
Consultants		Centre for Agricultural Technology
External Projects		PARDYP

Source: Field Survey, 2004

The projects like PARDYP should provide technical know-how, encouragement, and training in account keeping, agriculture etc. more to be meant also for illiterates. As evident, too many local user groups have been formed, thus focus now should be on strengthening the existing ones instead of promoting the new ones. However, one informant observes that the user groups are more concentrated in and around the local

road heads. The remote areas lack the user groups while they need the group works most to promote development.

More support is forthcoming to develop management capacity within the user groups. For example, ADRA Nepal (an NGO) helped the women at the co-operatives introduce the book-keeping and passbook system for member deposits that was complimented by government agencies. The Panchkhal VDC also helped later on build the capacity of the groups in different aspects.

The insights from institution survey suggest both encouraging and discouraging accounts of the outsiders in group formation and capacity building. Gram Sewa Kendra was formed and promoted by an outsider - a retired engineer – who manages support from outside and pays occasional visit to the locality. As he seemed to have no personal economic interests, he is doing a mediator role in the community. With programmes on both superstructure and infrastructure, he wishes to sustain a single effort, one person, and one technology first as pilot.

The *Panchsheel* of Buddhism including five individual behavioural practices of not engaging in (i) killing, (ii) theft (iii) lechery, (iv) lying, and (v) addiction (smoking/alcohol) seemed to have significant impact on individual moral character of some of the members in Gram Sewa Kendra. Members donate grains in the quantity they like on monthly basis that is converted into cash and deposited into bank account. The defaulters on monthly donation are however not followed on.

For Dhaireni Ban Samuha, it is discouraging to note that no support is forthcoming from FECOFUN to the group as an active member. The later has explained that they take care of remote and under-developed groups and not the advanced ones like Dhaireni. The Dhaireni Chair was once selected also for Ranger training, which was later cancelled as the organisers responded that the donors blocked the funding.

To sum up this chapter, it can be said that the CBOs have a complex working environment in the study area. They are formed under different government rules and regulations. However, they are not following the legal instruments [e.g. statutes, rules/regulations] in day to day business. Moreover, official procedures and

formalities are completed only when renewing their status with the government offices.

The exploitation (perceived and real) by high caste/class people given the illiteracy or simple literacy levels and ignorance among peoples also make the group work difficult. The caste/ethnic divide in the locality and animosity among the members have limited the mission achievement of the groups. The women are used increasingly by the mixed CBOs yet their capacity building needs are ignored. However, women have shown their innovativeness and contributed significantly in broader social development when they are given opportunities.

While existing stakeholder diversity contributes to promote the CBOs and their role in NRM, the group work itself needs to be penetrated into remote areas. The outsiders might play both encouraging and discouraging roles in CBO promotion.

With this landscape (administrative, legal, social, and cultural environment and stakeholders) for the CBOs to run their business, the next chapter explores on the members' participation, contribution and benefit sharing in the CBOs as well as their capacity building mechanisms and issues.



## **CHAPTER SIX**

### **PARTICIPATION, CONTRIBUTION AND CAPACITY BUILDING IN COMMUNITY BASED ORGANISATIONS**

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An ideal definition of participation is difficult to find. The definitions fall between a continuum of an exclusive social context to a project context. Many key international agencies have attempted for mainstreaming participation in their projects/programmes and defined participation to suit their needs. In project context, participation generally means a process, through which the stakeholders influence and share control over development initiatives, decisions and resources which affect them.

When participation is viewed as contribution, it implies voluntary or other form of contributions by rural people to predetermined programmes and projects in return for some perceived expected benefits. However, participation as empowering tool considers it as developing skills and abilities to enable rural people to manage better and decide on aspects, which they feel appropriate. It equates participation with achieving some kind of power, access to and control of resources necessary to protect livelihood, and working towards structural changes.

It would be interesting to know the experiences and perceptions of the society in general and sample households in particular on the forms of their participation in their respective CBOs. The member households' participation and contribution to group work as well as sharing of the benefits were examined through built-in questions in the household survey questionnaire. A discussion was made with key informants on various aspects of CBO capacity building. Moreover, the study tried to capture some data on whether participation is moving towards empowering the member households through their capacity building.

#### **6.1 CBO Membership**

The sample households were found involved in one to four CBOs concurrently with involvement of different members of the household. Again, the purpose of joining the CBOs varied in terms of the nature of the CBOs they joined.

Table 6.1 presents the number of CBOs joined concurrently by the sample households.

**Table 6.1 CBO Membership Status of Sample Households**

<b>Particulars</b>	<b>Number of CBOs Joined</b>				
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Total</b>
Number of Households	30	12	2	1	45
<i>% of Households</i>	<i>66.7</i>	<i>26.7</i>	<i>4.4</i>	<i>2.2</i>	<i>100</i>

Source: Field Survey, 2004

The table shows that majority (66.7%) of the sample households have joined only one CBO followed by 26.7% households joining two CBOs concurrently. Only 2 (4.4%) households have joined three CBOs and 1 (2.2) household has membership to four CBOs concurrently.

Table 6.2 presents the involvement of different members of sample households in their member CBOs.

**Table 6.2 Involvement of Sample Household Members in CBOs**

<b>Particulars</b>	<b>HH Members involved in the CBOs</b>				
	<b>Head Male</b>	<b>Head Female</b>	<b>Other Male</b>	<b>Other Female</b>	<b>Total</b>
No of CBOs Represented	41	18	2	3	64
<i>% of CBOs Represented</i>	<i>64.1</i>	<i>28.1</i>	<i>3.1</i>	<i>4.7</i>	<i>100</i>

Source: Field Survey, 2004

Majority of the CBOs are represented by the household head males (64.1%) followed by household head females (28.1%). The other household males represent in only 2 (3.1%) CBOs while the other household females represent in 3 (4.7%) CBOs.

Table 6.3 in the following page sheds light on purpose of joining different CBOs by the sample households.

The response on purpose of joining the CBOs by sample households is balanced as dictated by the very nature of the groups.

**Table 6.3 Purpose of Joining the CBOs by Sample Households**

<b>Purpose of Joining CBOs (Key Words)</b>	<b>No. of Counts</b>	<b>% of Counts</b>
Forest conservation / forest products	24	<b>32.8</b>
Loan facility / savings habit	20	<b>27.4</b>
Village / rural / social development	11	<b>15.1</b>
Learn new things	11	<b>15.1</b>
Others (shareholding, milk sales etc.)	7	<b>9.6</b>
<b>Total</b>	<b>73</b>	<b>100</b>

Source: Field Survey, 2004 (Multiple responses)

For example, the FUG members' response largely centred on conserving forests as well as benefiting from the forest products (32.8%) as the purpose of their joining the groups. Similarly, the loan facility and savings habit (27.4%) was mentioned by the members of the Women Cooperative. The broader social development (15.1%) as the purpose of joining the CBOs was mentioned by the member households of the Club and Village Service Centre. However, learning objectives (15.1%) were mentioned additionally by the members of Women Cooperative for joining the group.

To sum up, the sample households were having concurrent membership to one to four CBOs with majority (66.7%) attached to only one CBO. Most of the CBOs (64.1%) were being represented by the household head males followed by household head females in others (28.1%). The purpose of joining the concerned CBOs were found to be conserving forests as well as benefiting from the forest products (32.8%), loan facility and savings habit (27.4%), social development (15.1%), and new learning (15.1%).

## **6.2 Contribution to CBO Functioning**

The sample households were found contributing to the functioning of their CBOs through meeting participation and a mixture of cash, labour, and material contribution and majority of them were found highly satisfied with the current way of functioning of their CBOs.

Table 6.4 presents the attendance level of the sample households in their CBO meetings.

**Table 6.4 Attendance Level of Sample Households in CBO Meetings**

<b>Particulars</b>	<b>Attendance Levels</b>				
	<b>100%</b>	<b>90%</b>	<b>60%</b>	<b>30%</b>	<b>Total</b>
Number of Households	13	20	7	5	45
<i>% of Households</i>	<i>28.9</i>	<i>44.4</i>	<i>15.6</i>	<i>11.1</i>	<i>100</i>

Source: Field Survey, 2004

Majority of the households (73.3%) attend to at least 90% of the meetings of their CBOs. Actually, 28.9% of the sample households respond as attending 100% of the meetings of their respective CBOs. Five (11.1%) of the sample households, however attend only 30% of their CBOs' meetings.

Supplementary questions were raised on why the households attend to their CBO meetings the stated way. The response was that they need to learn new things in general and the CBO programmes, activities and accounts in particular (53%). They also stated the problem of time management for not regularly attending the CBO meetings. Five (11.1%) of the households stated other urgent works as conflicting at times with the CBO meetings.

Table 6.5 presents the various forms of contribution made to the CBOs by member households.

**Table 6.5 Contributions made by Sample Households to their CBOs**

<b>Particulars</b>	<b>Forms of Contribution</b>				<b>Total</b>
	<b>Cash only</b>	<b>Labour only</b>	<b>Cash + Labour</b>	<b>Cash + Labour + Material</b>	
Number of Households	11	9	18	7	45
<i>% of Households</i>	<i>24.4</i>	<i>20.0</i>	<i>40.0</i>	<i>15.6</i>	<i>100</i>

Source: Field Survey, 2004

The most practiced form of contribution was found to be a mixture of cash and labour (40%), followed by cash only (24.4%) and labour only (20.0%). Only seven (15.6%)

household reported as contributing to their CBOs through all listed means i.e., cash, labour, and material support.

Table 6.6 presents the satisfaction rating among the sample households on the current functioning of their CBOs.

**Table 6.6 Satisfaction Rating among Sample Households on Functioning of their CBOs**

Particulars	Satisfaction Level					Total
	Satisfied		Undecided	Unsatisfied		
	Highly	Slightly		Slightly	Highly	
No. of Households	33	5	7	---	---	45
% of Households	73.3	11.1	15.6	---	---	100

Source: Field Survey, 2004

Majority (73.3%) of the households were found highly satisfied with the way their CBOs are functioning currently. Five (11.1%) households found slightly satisfied while seven (15.6%) were found to be neutral on the functioning of their CBOs. None of the responses fell under the low-end categories that of slightly unsatisfied and highly unsatisfied.

The response to the supplementary question on why are they so satisfied with the functioning of their CBOs generated only five (11.1%) negative observations. The observations were - needed programmes not run in time; unsatisfactory programme implementation; forests not cared well (2 observations); and not all members attend to CBO works.

To recapitulate, majority of the households (73.3%) attend to at least 90% of the meetings of their CBOs. The members observed that they needed to learn new things in general and the CBO programmes, activities and accounts in particular (53%). However, there were problems of time management and other urgent works were conflicting with the CBO meetings (11.1%).

The members were contributing to the CBOs a mixture of cash and labour (40%), cash only (24.4%) and labour only (20.0%). Only 15.6% households reported as contributing to their CBOs through all listed means i.e., cash, labour, and material support. As to the satisfaction level of the members on the way their CBOs were functioning, majority (73.3%) expressed higher level of satisfaction. While 11.1% households were found slightly satisfied, 15.6% were found to be neutral on the functioning of their CBOs.

### 6.3 Benefit Sharing

The incentive for local people in managing natural resources through working in groups is the potential benefit out of their continuous effort. Over the period, if the members found that they are not benefiting in return to their efforts, the CBO momentum slacks down.

The sample households were asked on who benefits most from their CBOs and how they are benefiting from the groups. Table 6.7 presents their reflection on the beneficiaries of their CBOs.

**Table 6.7 Sample Households' Perception on the CBO Beneficiaries**

Particulars	Who benefits most?				
	All equally	Poor farmers	Rich & influential	Others	Total
No. of Households	39	3	1	2	45
<i>% of Households</i>	<i>86.7</i>	<i>6.7</i>	<i>2.2</i>	<i>4.4</i>	<i>100</i>

Source: Field Survey, 2004

The respondents seemed to be unanimous that all members benefit equally from the CBOs as 86.7% response fell under this category. There were insignificant reflections that benefits go mostly to the poor farmers (6.7%), or to rich and influential (2.2%). The two other observations were that CBO staff, and those residing near the forests benefit most out of the CBOs.

The members also responded on the way they were benefiting from their CBOs. The realised benefits were – loan facility at low interest rate (48.9%); forest products (28.9%) and new learning (22.2%).

#### **6.4 Capacity Building**

The focus of this study is on organisational capacity of the CBOs. The key informants were asked to present their views on some related aspects of CBO capacity building for natural resources management. At the outset of this section, the views of key informants on the components of capacity building, capacity assessment, constraints in building capacity, desired external support, and their suggestions in CBO capacity building are presented. This is followed by a discussion on the capacity building programmes preferred and actually participated in by the sample households.

##### **Key Informant Reflections**

The key informants defined the components of capacity development of CBOs in the following four respects:

- (i) Individual member qualities/skill, e.g. in accounts, facilitation, leadership, negotiation, planning, public relations, technical aspects etc.;
- (ii) Group features, e.g. more organised/disciplined, more literate, observing rules, seeking majority decisions etc.;
- (iii) Executive Committee capabilities, e.g. time management on all issues, developing action plans in line with statutes, assigning right person to right jobs etc.;
- (iv) Physical facilities, e.g. club buildings and financial resources.

The informants were of the view that probably the past and on-going activities of the CBOs speak of their capability. Some visible projects carried out by the groups e.g. roads, wells, and community building etc. would reflect their capacity. Systematic evaluation of earlier works and impact studies could also be undertaken in this regard.

Whether the members observe the CBO rules is another indicator of the capacity level, like in savings group, if there are more members defaulting loan repayments, then the group is weak. As the groups tend to present the rosy pictures to outsiders and minutes manipulated just to draw more external support, one of the key informants suggested that their real performance and capacity levels could be crosschecked through critical observations made by other groups in the locality.

The major constraints and problems in CBO capacity building are that most of the CBOs lack their voice and their concerns are not heard at the district level. Only few clever ones siphon the resources from the district level government offices. The CBOs headed by the proactive ones have made some progress, else most of them harbour fear in approaching the district level offices. Non-observance of the CBO rules by the members also at times hinder logical progression of the groups. Not many groups are trained in fulfilling administrative requirements. Some projects do train them in e.g. in account keeping, etc. but no follow-up and monitoring is done to assess utilisation of training. The groups need to be more transparent in sharing the resources and opportunities. The executive committees need to be capable in revising the statutes according to changing times.

The external projects could contribute in CBO capacity building focusing on leadership development and linking the CBOs to the district and national level offices. Similarly, technology transfer should be attempted at the community level through use of groups not only with individual farmers or households. For this, budgetary provision for technology promotion is needed, as technical support alone is not sufficient.

The projects need to support the on-going efforts of the groups through provision of grants, managerial input and technical support. They could help through the package programs like, Systems for Rice Intensification. As there tends to be more groups now, the external support could be made effective through the representative committees in place of individual groups. For example, in Patlekhet, there exists the agricultural focal committee (*Krishi Mul Samiti*) with representation from almost 20 agricultural groups located in the VDC.



For strengthening the CBO capacity, emphasis should be given in developing leadership and skills for approaching different forums. Moreover, representation of real stakeholders should be made in the institutions. Often, it is school teachers or VDC people running the show assuming positions in all the CBOs and they keep on themselves busy always attending the training and meeting/seminars. The representation of real farmers in such CBOs is low.

Some groups have been dissolved due to misunderstanding in the monetary transactions. As such those knowledgeable and dedicated should take lead from beginning to end, until monitoring and evaluation not only in activity implementation. Overall, the groups need to be oriented towards new technologies and methodologies.

### **Sample Household Responses**

The individual member thus household capacity building is the major dimension of the CBO capacity building. The CBO members have had learning opportunity working together in a group besides material gains, e.g., loan at reduced interest rates and sharing of forest products etc. More structured learning comes through the members' participation in various capacity building programmes sponsored by the government, non-government and external agencies. Being a member in any of the groups has that incentive of building individual capability coherent with the groups' institutional needs.

Again, participation is now viewed holistically as an empowering tool for local communities. Participation thus should be for developing skills and abilities to enable them to manage better and decide on aspects, which they feel appropriate.

The capacity building programme of the group members play a vital role in strengthening the capacity of the group as an organisation itself. All sample households expressed willingness to participate in any of the capacity building programmes. They were asked to state their preferences on the nature of capacity building programmes and the subject and duration of the capacity building

programmes. They were also asked to reflect on any capacity building programmes they have ever attended.

Table 6.8 presents the preferred capacity building programmes by the sample households.

**Table 6.8 Capacity Building Programmes Preferred by Sample Households**

Particulars	Capacity Building Programme				
	Study Tour	Training	Visits	Training + Visit	Total
No. of Households	1	14	5	25	45
<i>% of Households</i>	<i>2.2</i>	<i>31.1</i>	<i>11.1</i>	<i>55.6</i>	<i>100</i>

Source: Field Survey, 2004

Most (55.6%) respondents prefer both training plus visits, followed by those (31.1%) preferring only training. The rest of the respondents preferred short visits (11.1%) and study tour (2.2%).

Table 6.9 presents the preferred subjects under capacity building programmes by the sample households.

**Table 6.9 Subject/Content Area Preferred by Sample Households**

Particulars	Subjects under Capacity Building Programme				
	Forest	Milk Processing	Book Keeping	Sewing	Total
No. of Counts	17	9	5	5	36
<i>% of Counts</i>	<i>47.2</i>	<i>25.0</i>	<i>13.9</i>	<i>13.9</i>	<i>100</i>

Source: Field Survey, 2004

A total of 17 (47.2%) counts were recorded on the forest related matters as preferred subject under the capacity building programme. The other preferred subjects were milk processing (25.0%), and book-keeping (13.9%) and sewing (13.9%). It is evident that some of the respondent households did not wish to state their preferred subjects for capacity building programmes.

Table 6.10 in the following page presents the preferred duration of the capacity building programmes by the sample households.

**Table 6.10 Duration Preferred for Capacity Building Programmes**

<b>Particulars</b>	<b>Duration for Capacity Building Programme</b>				
	<b>&lt; 1 week</b>	<b>1 week</b>	<b>10 days</b>	<b>Open</b>	<b>Total</b>
No. of Households	3	21	2	19	45
<i>% of Households</i>	<i>6.7</i>	<i>46.7</i>	<i>4.4</i>	<i>42.2</i>	<i>100</i>

Source: Field Survey, 2004

Almost half (46.7%) of the households preferred a duration of one week for the capacity building programme at one go. However, significant number (42.2%) of the households preferred to keep the duration open to be determined by the vary nature of the capacity building programme and the subject matter. Three (6.7%) households preferred duration of less than a week while two (4.4%) households indicated 10 days' duration.

The households ever attended capacity building programmes were further asked on the type of the programmes they participated, their participation frequency as well as usefulness of the programmes.

It is noteworthy that none of the member households sampled from both the FUGs (Dhaineni and Karkikhop) responded as having ever attended to any sort of capacity building programmes. The member households sampled from the Club, Village Service Centre, and Women Cooperative however, have had attended some sort of capacity building programmes in the past.

Table 6.11 presents the types of capacity building programmes ever attended by the sample households.

**Table 6.11 Capacity Building Programmes Attended by Sample Households**

<b>Particulars</b>	<b>Types of Capacity Building Programme</b>					
	<b>Training</b>	<b>Training+ Visit</b>	<b>Workshop/ Seminar</b>	<b>Meeting</b>	<b>Study Tour</b>	<b>Total</b>
No. of Counts	13	3	5	3	1	25
<i>% of Counts</i>	<i>52</i>	<i>12</i>	<i>20</i>	<i>12</i>	<i>4</i>	<i>100</i>

Source: Field Survey, 2004

Majority (52%) of the counts were on training undertaken by sample households. Rest of the capacity building programmes ever attended by the respondents included workshop/seminar (20%), training plus visit (12%), meeting participation (12%) and study tour (4%). While participants have had participation in multiple programmes, separate category of training plus visits was analysed to compare it with those willing to have both of these programmes as presented in table 6.4.1 above.

Not all of those ever participated in the capacity building programmes responded to the queries related to frequency of participation in terms of the participants (e.g., HH head M/F, or other members) to the programmes, number of times the programmes ever attended and number of days involved in the programmes.

It was found that all categories of the members from the households were involved in the capacity building programmes. Out of the total 10 counts, the household head male participated in 4 (40%) programmes followed by household head female in 2 (20%), other male in 1 (10%), and other female in 3 (30%) programmes.

The number of times an individual ever participated in the capacity building programmes varied from one time to 10 times. However, majority (61%) of the participants have had that opportunity only once. Similarly, the number of days involved in the capacity building programmes also varied from one day to 180 days according to the nature of the programmes. However, majority (70%) of the programmes were for up to one week, followed by 11% each for two weeks and 13 weeks, and 4% each for five weeks and 26 weeks.

On usefulness of the capacity building programmes ever attended, the response from the participants was diverse. Out of 10 counts, only 4 (40%) found the programmes as slightly useful followed by 3 (30%) observations as neutral. One each of the responses fell under the three categories of highly useful, useless, and totally useless.

So as to explore further, the participants in the training programmes were asked on the specific subjects they were trained in. Table 6.12 in the following page lists down the subjects that the members of the sample households were trained in.

**Table 6.12 Subjects of Training Undertaken by Sample Households**

<b>Training Programme (Subject)</b>	<b>No. of Counts</b>	<b>% of Counts</b>
<b>Organisational Management</b>	<b>37</b>	<b>45.1</b>
General Management	3	
Accounting / Bookkeeping	2	
Group / Cooperative Management	12	
Leadership Training	6	
Savings Mobilisation	14	
<b>Natural Resource Management</b>	<b>34</b>	<b>41.5</b>
Afforestation	3	
Field Cropping	6	
Fodder Tree Plantation	6	
Fruit Farming	3	
Kitchen Gardening	4	
Livestock Raising	3	
Floriculture	1	
NTFP/MAP	1	
Primary Processing (Potato Chips)	4	
Soil Conservation	1	
Water Harvesting	2	
<b>Other Subjects</b>	<b>11</b>	<b>13.4</b>
Health and Sanitation	8	
Sewing and Cutting	2	
Weaving and Knitting	1	
<b>Total</b>	<b>82</b>	<b>100</b>

Source: Field Survey, 2004 (Multiple responses)

Both the organisational management and natural resources management found significant place in training programmes in that both were mentioned over 40% of the instances. While group / cooperative management and savings mobilisation were prominent subjects trained under organisational management, the subjects under natural resources management cited were diverse. The health and sanitation was another subject where in more people were trained.

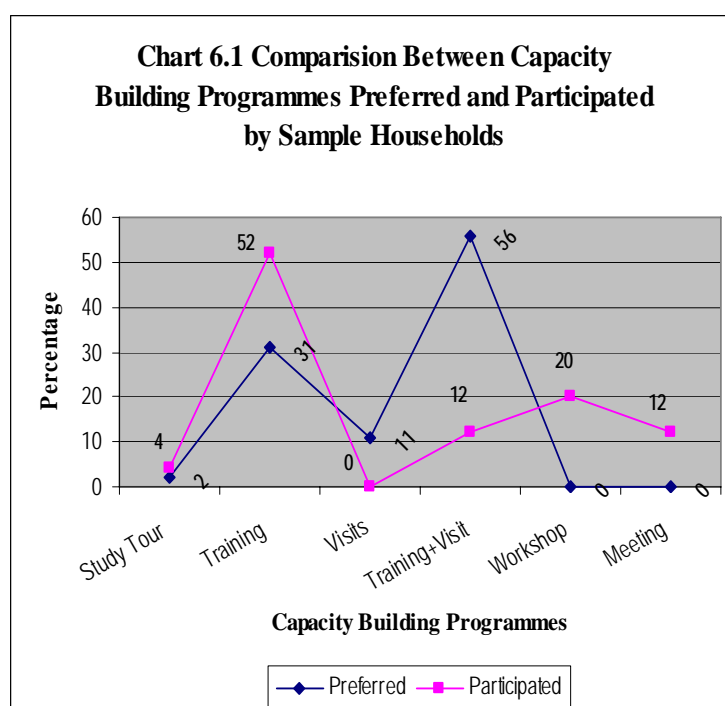
To sum up the participation by CBO members in capacity building programmes, the preferred sets found in descending order, were training plus visits (55.6%); training only (31.1%); short visits (11.1%) and study tours (2.2%). The subjects for training as

preferred were forestry (47.2%); milk processing (25.0%); book-keeping (13.9%); and sewing (13.9%). The duration for capacity building programmes preferred were one week (46.7%); open duration to be determined by the nature of the capacity building programme (42.2%); less than a week (6.7%); and 10 days (4.4%).

Majority (52%) of the counts were received on training - as one of the capacity building programmes - attended by sample households. The other capacity building programmes ever attended included workshop/seminar (20%), training plus visit (12%), meeting participation (12%) and study tour (4%). However, only sketchy data were received on the actual participants from within the households (e.g., HH head M/F, or other members), number of times the programme attended and total number of days involved.

The training subjects consisted both from the 'organisational management' and 'natural resources management' areas. Similarly, health and sanitation was another subject where in more people were trained under 'others' category. Only limited reflections were made on usefulness of the capacity building programmes ever attended, which were found to be diverse.

## 6.5 Conclusion



To conclude the discussion on participation in terms of empowering tool for local communities through their capacity building, chart 6.1 compares the programmes preferred and attended by the respondents. It is evident that the

workshops and meetings were not preferred by the respondents. But data shows their participation in those types of capacity building programmes in the past. Again, the respondents did not attend to short visit programmes despite of their willingness to participate on such visits. The study tour, training, and training plus visits were both preferred as well as attended to in the past by the respondents.

Two observations could be made on the discrepancy reflected in the chart. First, the respondents were not sure most of the time on the type of capacity building programmes they really wish to attend. Secondly, the types of capacity building programmes planned and conducted were largely driven by the support agencies (both government and NGO) where the CBOs and their members were given an opportunity to participate in irrespective of their real needs and interest. To keep it right, it may be viewed that the capacity building programmes are more supply-driven and not demand-driven.

The next chapter explores on the traditional and modern practices being followed in managing natural resources in the study location and their comparative benefits and drawbacks.

## **CHAPTER SEVEN**

### **NATURAL RESOURCE MANAGEMENT PRACTICES**

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With increased interaction with the external world and exposure to new technologies as facilitated by different agencies, the local inhabitants are increasingly practicing a mixture of the both traditional and modern systems of natural resources management. Under both the systems, there are specific conservation practices as well as harvesting cycles and techniques. Again, both traditional and modern practices have benefits and drawbacks.

Without understanding well the traditional practices, external prescriptions alone would rather harm the local environment. As such, the study tried to enlist some of the key traditional and modern NRM practices and their benefits and drawbacks through key informant interviews and household surveys.

#### **7.1 Traditional NRM Practices**

The key informants observe that many of the traditional practices are still being followed be it in forests (e.g. collection of fodder), water (e.g. tapping the springs) or agriculture (e.g. ploughing by oxen). They have not yet been able to come up with alternatives of such practices.

In relation to water, irrigation is managed through checking the streams and a queue system is enforced for irrigation irrespective of the individual land holding size. Similarly, conservation ponds are made and used. The ponds used for water buffaloes to sit surprisingly do not have problems of water leakage.

In relation to agriculture, it is still dominated by the grains, e.g., paddy, maize, wheat etc. Farmers are now growing potatoes and some onions together with new introduction in vegetable farming, like tomato, bitter gourd, chilli, beans and cauliflower. However, farmers are experiencing more incidences of diseases in vegetable farming.



Table 7.1 summarises the traditional NRM practices followed by the respondents in the study area.

**Table 7.1 Traditional NRM Practices**

<b>NRM Area</b>	<b>Conservation and Harvesting Practices</b>
<b>Forest</b>	Government deputed forest guards
	Afforestation programmes
	Mostly open grazing of animals
	Forest fire control mechanisms
	Unrestricted harvesting of herbs, fodder, wood, bedding material, and timber
<b>Water</b>	Stream irrigation through queue system
	Conservation ponds
	Stone walls in wells and fencing of springs
	Use of earthen pots to fetch water
<b>Agriculture (Soil)</b>	Grain dominated agriculture
	Ploughing and composting to prepare land
	Bamboo/wooden walls to check erosion
	Plantation of bamboo and grass varieties to check erosion

Source: Field Survey, 2004

As summarised in the table, the sample households seemed to be well aware of the inter-linkages among the three natural resources – forests, water, and soil. For example, they experienced drying of the water sources or less water in the source together with denudation of forests.

The need for forest conservation was realised due to loss of greenery and scarcity of wood and fodder for daily use. Traditionally, the forest guards deputed from the government side used to take care of the forests and they were paid partially in cash or grains by the local people. However, the forests were not well conserved. Some afforestation programmes, controlled grazing and mechanisms for control of forest fire took place. At a later stage, the community and the groups started observing and controlling the nearby forests.

Initially, the forest products were abundant. One could harvest herbs, fodder, wood, bedding material, and timbers from forests according to the needs as the forests were

open. There was unrestricted use of forest products and open grazing of cattle was practiced. People used to collect in *dokos* (bamboo baskets) the forest products (e.g. wood) even for sale at cheaper rates. With increased scarcity of the forest products, the communities started conserving the nearby forests for few years and started scheduled opening of the forests (say four times a year) for sharing of the forest products among the members.

The water conservation entailed mainly of conserving the existing sources. People cleaned the dirty wells and other water sources. More frequently, they constructed wells with stone walls as well as did stone fencing of the water springs. The harvesting practices entailed use of earthen pots to fetch water from the nearby wells being in a queue.

For checking top soil erosion, people traditionally resorted to making walls of bamboo and wood; and plantation of bamboo and grass varieties. Traditionally, only cereal crops were cultivated through ploughing the land and using compost. Some of the sample households observed that the soil was not productively managed then.

## **7.2 Modern NRM Practices**

Although, many of the traditional practices are continued in managing natural resources, introduction of modern technologies and their gradual adoption mainly in agriculture sector has changed the lives of the people in the study area. Moreover, it would be difficult to set a cut-off date to signify when specific traditional practices ended and when modern practices followed. As such, many of the overlaps between the two could be observed while talking about the NRM practices.

In forestry sector, mapping of the community forest areas is being done using the geographical information system. Similarly, several training on forest products harvesting are conducted but yet not well utilised by the user group members. In some areas of the study locale, many households have their private forestlands, thus they do not give much attention towards the community managed forests.

In water harvesting, the new technologies introduced include drip and sprinkler irrigation, conservation ponds, eyebrow pond, rain water harvesting jars (runoff not used properly, no adoption) and digging of ground water wells on individual initiative despite of publicity that ground water level is not good. Similarly, use of polythene pipes and plastic sheets for water harvesting and irrigation is made. It was observed that irrigation was to be well managed as the unmanaged irrigation tends to flush the manure.

In agriculture, drastic changes from traditional cropping of grain varieties to cash crops and horticulture as facilitated by the NGOs could be seen. The Japanese volunteers first introduced the potato farming in the area that has now been commercialised. More off-season vegetables are being produced and improved varieties of seeds and seedlings are being used for increased production.

The other technologies introduced are systems for rice intensification (SRI) and use of black plastic for fast composting of manure. The modern practices now include rotational cropping, half-yearly soil testing and use of limestone in the farms. For checking the top soil erosion, the initiatives are ongoing in terrace improvement, use of hedgerow technology, drainage, and improved seed/seedling of grass varieties, e.g., Napier.

Table 7.2 in the following page summarises the modern NRM practices followed by the respondents in the study area.

On the part of the sample households, they are now aware on the fact that the user group mechanism helps resolve many of their problems in areas of the NRM. For example, they are now part of the forest user groups, water user groups.

They are now assured that the forests are being managed well through the CFUGs. The groups have forest conservation plans comprised of periodic afforestation, scheduled forest opening, etc. Through use of forest guards the groups now control on illegal tree felling. Moreover, they try to maximise the economic potentials through sorting out periodically the forest species and through production of medicinal plants and herbs in the forest land. They look forward to even cultivating some cash crops

like coffee, banana, and cardamom. The harvesting of forest products and their equal distribution are ensured through effective application of the respective user group rules. The groups are checking the smuggling of timber from their forests and making the timber available at cheaper rates to the members for construction work.

**Table 7.2 Modern NRM Practices**

<b>NRM Area</b>	<b>Conservation and Harvesting Practices</b>
<b>Forest</b>	Mapping of forest boundary and area using GIS
	Management through user groups
	Use of operational plans
	Cash crops and NTFPs
<b>Water</b>	Drip and sprinkler irrigation
	Conservation/eyebrow ponds
	Rain water harvesting jars/ground water wells
	Use of polythene pipes/plastic sheets
	Water taps and tanks
	Periodic test of water quality
	Water source conservation committees
<b>Agriculture (Soil)</b>	Cash crops, off-season vegetables and horticulture
	Systems for rice intensification
	Use of black plastic for fast composting of manure
	Rotational cropping
	half-yearly soil testing
	Use of limestone in the farms
	Terrace improvement
	Use of hedgerow technology and drainage
	Use of improved seed/seedling of grass varieties

Source: Field Survey, 2004

The modern practices followed in water conservation and harvesting are those of water taps construction and distribution to households using pipes and tanks. Similarly, wells are now constructed using cemented walls and use of water collection ponds are continued. Some of the water sources are fenced now with wire mesh. The practice of getting water quality tested has begun and water source conservation committees are being formed and activated.

As stated in the previous section, the use of various saplings for soil conservation and bamboo fencing are continued. People are now going for soil tests so as to determine the inputs needed and suitability of crop varieties. On the harvesting side, the soils are now increasingly used for vegetable and fruit farming together with cereals. Some of the advancements in the area include not using the sloping land for agricultural purposes and checking of the potential landslides through various mechanisms.

### **7.3 Benefits and Drawbacks**

The traditional practices ensured sustainability but were unable to meet the growing food needs of the increased population. While the land became fragmented, the family size increased. Hence, a need for intensified farming was felt for increased production for which chemical fertilisers and pesticides are being used. The modern practices helped raise income of the farmers with increased production through high soil fertility and independence from monoculture in cropping.

It is now evident that the modern practices take care of immediate concerns of the family ignoring the longer-term effect on the natural resources. The excessive use, rather misuse of pesticides, ensured increased production at the cost of health hazards. The key informants referred to some cases of the farmers not using mask while applying pesticides, later exposed to deadly diseases, e.g., cancer. The use of chemical fertilisers and pesticides also spoiled the soil in the longer term and new technologies were introduced without acknowledging that soils also needed to be protected together.

The dependence on hybrid seeds has implications on preservation of indigenous seeds diversity and hybrid seeds could also be costlier later on. It was reported that the new technologies are at times not accessible and affordable to all people and they are also not gender-sensitive. One example cited was that of drip irrigation technology, which is boon for water scarce areas. Under this technology, minimum required water is given to each sapling through laying polythene pipes so that water is not wasted. The water is supplied through a large tank usually kept at a height of about six feet to maintain gravity flow. It is usually the female members in the study area who fetch

water from long distance for this irrigation and it is often difficult for them to refill the tank given its raised height.

In this context, increased awareness among farmers is needed against using chemical fertilisers and pesticides. Several options that of pest control mechanism (integrated pest management) and organic farming are to be promoted. The technologies like drip irrigation could be refined to make it more gender friendly.

On the part of the sample households, they recall many benefits under traditional mechanisms of NRM especially from the forests. As the forests were open all time, one could collect the forest products on needs basis, even timber for sale. The cattle were well fed and healthy and no time was needed to be spent for fodder collection. Due to emphasis on cereal crops, many households used to have food grains enough throughout the year.

However, traditional practices were not immune of drawbacks. The households recall that over-extraction of forest products resulted into rapid depletion of nearby forest areas. This resulted frequent floods and loss of top soil during periods of heavy rains. The drinking water sources started drying and the left over sources also were not well conserved that resulted into diarrhoea among some households due to water contamination. The vegetables were rare item in the daily diet of the households.

On modern practices, the sample households recount benefits of working together in groups mainly in the forest sector having a longer-term chain effect in other areas. Following the community management of forests, they experience availability of forest products equally to all members. With the increased greenery, the forests have helped preservation of wild animals. The improved status of forests has contributed in revival of water sources, control of landslides, draughts and heavy rainfalls.

The medicinal herbs production within forest lands and increased cash crops and vegetable production through improved inputs and technologies have contributed in local income generation. Moreover, the households have saved some time using tap and piped water. This all has contributed towards improved health of the sample households.

The modern practices, mainly in forests have lead to some concerns by sample households. As the forests now have controlled access, some complain that the forest products are not available when needed (e.g., during festivals) and again the needed quantity is not available. They have to wait for the period of forest opening, which at times coincide with their peak season in other business. Many cited fear of wild animals now as one of the drawbacks of modern forest management practices. The households were also aware that more use of chemical fertilisers and pesticides have resulted into acidity in soils thus degradation of soil productivity over the years. They realise that modern technologies are costly as such unaffordable by many of the households. The group work mechanism has added more work for some members of the households.

#### **7.4 Role of CBOs in Sustainable NRM**

As the issues of sustainable NRM (dealing with forest, water, agriculture) would not be solved dealing with individual farmers or households, there is high need of CBOs in the rural areas. Despite of their vital role, the CBOs are non-existent in the rural setting where they are needed most.

Many of the CBOs are managing themselves the vital support services e.g., help from technicians (like JTA) and veterinary doctor, and insurance of the livestock, although the District Agriculture Office provides them with some help.

For CBOs to become vibrant and accrue benefits of the group work the women also need to come along in the groups. The CBOs could play vital role in managing the natural resources in sustainable manner. But they are not aware on how to upscale their activities and generate resources out of existing resources. For example, many lack knowledge on harvesting rosin from the forests and accessing the market for its sale.

There were, however, critical observations on the overall orientation of the CBOs. The group orientation is a good thought, but the group activities are going against very objectives of their existence. Now, people form groups, collect money, take

loans and the business is over. It would have been good if the groups were working on issues of agriculture, forest, water, health, education etc. move vigorously.

One of the key informants shared his bitterness that whenever he goes for sharing his experience on agriculture, most of the group members tend to focus on the monetary transactions. He thought that the groups have developed into mini-banks. As more funds were collected by the groups, many now concentrate just on accounting of the money and tend to forget the very purpose of group formation.

As science is advancing, many new findings are now informing the way people manage the available natural resources. Many farmers are now being aware on 'environmental justice' that suggest the natural way of harnessing the resources without much damage to environment. This calls for protecting indigenous seed varieties and doing organic farming. As such, the CBOs could do well in spreading the message of environmental justice.

With all these background on study area and people; working environment of the CBOs; local participation in CBOs and their capacity building; and traditional and modern practices in natural resource management till this chapter; the following chapter deals with the main part of this research – the organisational capacity of the CBOs. The chapter explores on the four specific capacity components, viz., planning, management, finances, and linkages of the studied CBOs.



## CHAPTER EIGHT

### ORGANISATIONAL CAPACITY OF COMMUNITY BASED ORGANISATIONS

The organisational capacity of the sample CBOs was assessed comprising of their respective capacities in planning, management, finance, and external linkages. Table 8.1 below interprets the overall organisational capacity in the sample CBOs based on their strength in the four specific capacity areas, which are elaborated further in the following sections.

**Table 8.1 Organisational Capacity in Sample CBOs**

S No	CBO's Name (Short)	Organisational Capacity				
		Planning Capacity	Management Capacity	Financial Capacity	Linkages Capacity	Overall Organisational Capacity
1	Ekanta Basti Club	B	B	C	B	<b>B</b>
2	Gram Sewa Kendra	B	C	B	B	<b>B</b>
3	Mahila Vikas Sanstha	B	B	A	B	<b>B</b>
4	Laukeni Ban Samuha	B	C	C	C	<b>C</b>
5	Dhaireni Ban Samuha	B	B	B	B	<b>B</b>

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, the corresponding values of A, B, and C are 3, 2, and 1 respectively. The overall organisational capacity (last column) in the above table is derived by computing simple average of the four organisational capacity components. For example, in case of Ekanta Basti Club, the total score comes 7  $\{(B+B+C+B) = (2+2+1+2)\}$  and the average is 1.75  $(7/4)$ , which is nearest to 2, i. e., B = Fair Capacity. Therefore, the overall organisational capacity of the Club is interpreted as having fair capacity.

The Laukeni Ban Samuha portrayed overall capacity gap suggesting a need for immediate attention to three specific areas. The rest of the CBOs registered fair institutional capacity and none qualified for having sufficient organisational capacity

overall. Ekanta Basti Club and Gram Sewa Kendra portrayed capacity gaps respectively in finances and management. The details on each of the four capacity areas in support of the above conclusion follow in the four separate sections 8.1 through 8.4 below.

## 8.1 Planning Capacity

The strategic planning capacity or simply planning capacity is mainly the ability of an organisation to define its core mission, and to define long-range goals to accomplish its mission. The mission statement, strategy (programme) formulation, and goal identification (activities under each of the strategy/programme) of the CBOs were assessed. Moreover, coherence among these three areas was also looked into.

While all CBOs have had focused missions, they seemed to be unclear as to the strategies or broad programmes in fulfilling their missions. Both the strategies (programmes) and goals (major activities) were recalled vaguely by the respective executives interviewed as those were not available in the CBO documentation. Moreover, the CBOs indicated only general activities and not the goals that are measurable (with numbers attached) and accountable (with completion date attached).

Table 8.2 presents the overall planning capacity of the sample CBOs.

**Table 8.2 Planning Capacity in Sample CBOs**

S No	CBO's Name (Short)	Rating on Key Areas of Planning Capacity			
		Mission Statement	Strategy Formulation	Goal Identification	Overall Planning Capacity
1	Ekanta Basti Club	B	B	C	<b>B</b>
2	Gram Sewa Kendra	B	A	C	<b>B</b>
3	Mahila Vikas Sanstha	A	A	C	<b>B</b>
4	Laukeni Ban Samuha	A	B	C	<b>B</b>
5	Dhaireni Ban Samuha	A	B	C	<b>B</b>

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, the corresponding values of A, B, and C are 3, 2, and 1 respectively. The overall planning capacity (last column) in the above table is derived by computing simple average of the three variables of planning capacity. For example, in case of Ekanta Basti Club, the total score comes 5  $\{(B+B+C) = (2+2+1)\}$  and the average is 1.67 (5/3), which is nearest to 2, i. e., B = Fair Capacity. Therefore, the planning capacity of the Club is interpreted as having fair capacity.

All of the studied CBOs indicated as having fair capacity in planning. It is apparent that deficiency in goal formulation is dragging down the overall planning capacity in all cases. The details on each of the three planning components in support of the above conclusion follow in the sections 8.1.1 through 8.1.3 below.

### **8.1.1 Mission Statement**

The mission lies at the core of any organisation and its planning process. The mission is the grounding of all following activities of an organisation. As such all of the organisation's strategies, goals, budgeting and staffing must ultimately help to promote the mission of the said organisation. If the mission is unfocused, so will be the organisation.

The mission statements of sample CBOs ranged from specific (e.g., bringing awareness among women, improving local economy and environment) to broad descriptions (e.g., bringing positive change, developing model settlement) and they aimed for different units of spatial coverage, which in some cases (e.g., forest groups) are as given and not by their choice.

The mission of Ekanta Basti Club is *to bring positive change in society through youth mobilisation* in ward number 8 of Panchkhal VDC. Similarly, the mission of Gram Sewa Kendra is *to develop a model settlement (Panchasheel Gram) through building individual moral character and establishing physical infrastructures* in ward numbers 7 and 8 of Devbhoomi-Baluwa VDC.

The mission of Mahila Vikas Sanstha is *to make women aware about institutional development through implementation of awareness raising programmes* in Panchkhal and adjoining VDCs of Kavre district. Finally, the two forest user groups have had similar mission of *improving the local economy and environment through conservation and sustainable use of natural resources* with different but adjoining working areas. While Laukeni Ban Samuha works in ward numbers 2, 1, 3 and 8 of Anaikot VDC, Dhaireni Ban Samuha works in ward numbers 1, 3, 4 and 5 of the same VDC in Kavre.

Table 8.3 restates the mission statements of the sample CBOs with the rating indicating sufficient capacity in majority of the cases as they all have had focused mission in line with the nature of the organisation.

**Table 8.3 Mission Statements of Sample CBOs**

<b>S No</b>	<b>CBO's Name (Short)</b>	<b>Mission Statement</b>	<b>Rating</b>
1	Ekanta Basti Club	To bring positive change in the society through youth mobilisation in ward 8 of Panchkhal VDC	<b>B</b>
2	Gram Sewa Kendra	To develop a model settlement (Panchasheel Gram) through building individual moral character and establishing physical infrastructures in ward 7 and 8 of Dev Bhoomi, Baluwa VDC	<b>B</b>
3	Mahila Vikas Sanstha	To make women aware about institutional development through implementation of awareness raising programmes in Panchkhal and adjoining VDCs	<b>A</b>
4	Laukeni Ban Samuha	To improve the local economy and environment through conservation and sustainable use of natural resources (forest and water) in ward 2, 1, 3 and 8 of Anaikot VDC	<b>A</b>
5	Dhaireni Ban Samuha	To improve the local economy and environment through conservation and sustainable use of natural resources (forest) in ward 1, 3, 4 and 5 of Anaikot VDC	<b>A</b>

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting each of the mission statements and rated as given in the above table. For

example, those mission statements which are clear, focused and unambiguous are rated as A, i. e., having sufficient capacity of the CBOs in stating their missions.

The mission statements are self-explanatory, but in case of the club it is a bit challenging as it is difficult to provide an operational definition of the 'positive change'. Similarly, the mission of Gram Sewa Kendra needs some elaboration as they have an ambition of developing a *Panchasheel Gram*. According to Buddhism, *Panchaseel* includes the individual behavioural practices of not engaging in (i) killing, (ii) theft (iii) lechery, (iv) lying, and (v) addiction (smoking/alcohol). Thus, Gram Sewa Kendra is trying to influence the superstructure of their members.

The building of individual moral character is supposed to compliment by infrastructural works that bring in material benefits to the members. The mission of Gram Sewa Kendra however seems difficult to achieve given the sizeable presence of its members following the Hindu religion. Nonetheless, all members would benefit from the group work to the extent that it brings about improvements in local physical infrastructure.

The Ekanta Basti Club works only in one ward and Gram Sewa Kendra works in two wards in respective VDCs. Similarly, both the forest groups work in four wards each. But, Mahila Vikash Sanstha has covered whole of Panchkhal VDC as well as several wards of adjoining VDCs for its business.

### **8.1.2 Strategy Formulation**

The strategies are the general methods, activities, or approaches that are used to fulfil the organisational mission. Generally, the strategies will become the main programme areas of an organisation. The sample CBOs seemed to be unclear as to their strategies or broad programmes in fulfilling their missions as not much documentation on these aspects were made. However, upon enquiry, the members of the CBOs outlined their broad programmatic areas.

The club seeks to fulfil its mission through the three programmes on awareness raising, training, and physical infrastructure. Similarly, the Gram Sewa Kendra seeks

to fulfil its mission through the two programmes on promotion of individual moral character, and establishment of physical infrastructure.

The Mahila Vikas Sanstha seeks to fulfil its mission through the three key programmes on women's awareness raising, cooperative management, and partnership management. Both of the forest user groups have three programmes each on conservation of natural resources, utilisation of natural resources, and awareness raising to fulfil their mission.

Table 8.4 restates the strategies stated by the CBO executive members with attached ratings.

**Table 8.4 Strategies of Sample CBOs**

S No	CBO's Name (Short)	Strategies	Rating
1	Ekanta Basti Club	1 Awareness Raising Programmes	<b>B</b>
		2 Training Programmes	
		3 Physical Infrastructure Programmes	
2	Gram Sewa Kendra	1 Promotion of Individual Moral Character	<b>A</b>
		2 Establishing Physical Infrastructure	
3	Mahila Vikas Sanstha	1 Women's Awareness Raising	<b>A</b>
		2 Cooperative Management	
		3 Partnership Management	
4	Laukeni Ban Samuha	1 Conservation of natural resources	<b>B</b>
		2 Utilisation of natural resources	
		3 Awareness Raising	
5	Dhairesni Ban Samuha	1 Conservation of natural resources	<b>B</b>
		2 Production/utilisation of natural resources	
		3 Awareness Raising	

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap  
Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting each set of the strategies and rated as given in the above table. For example, those strategies which are clear and mission oriented are rated as A, i. e., having sufficient capacity of the CBOs in formulating their strategies.

The strategies (programmes) were recalled vaguely by the respective executives interviewed as they were not thinking in those lines. All CBOs have had community development – explicitly or implicitly – as one of their strategies. The club and Gram Sewa Kendra stated the physical infrastructure programmes and rest of the CBOs are also contributing some funds out of their resources for such infrastructure development programmes.

For the club, it is difficult in formulating the strategies as its mission of bringing ‘positive change’ in society needs to be well defined first in operational terms. However, training was found as an appropriate strategy so that the youth are retained within the society through gainful employment in various vocations. But, there are questions on other programme areas, e.g., why awareness raising programme and why not informal education programme instead, etc.

For Gram Sewa Kendra, its’ strategies flowed directly from the mission statement. The first programme on building individual moral character relies heavily on continuing education on Buddhist teachings and some of the members are trying to be ‘role models’ in the society. As a village service centre, it also has to have adequate infrastructure support programme for its members.

The Mahila Vikash Sanstha appropriately has the two key programmes on women’s awareness raising and cooperative management in support of its mission. They have shown successfully the women cooperative as an institutional vehicle to move the women’s agenda forward. Its’ current success is attributable in part to many external supporters, hence the partnership management as a strategy.

For the two forest user groups, the programmatic areas are rather traditional in that they talk of conservation and utilisation, together with some awareness on sustainable management of natural resources. No programmes are forthcoming so as to improve significantly the local economy as stated in their mission.

### 8.1.3 Goal Identification

To accomplish the mission and strategies, the organisations have to have clear goals. For goals to become effective planning tools, they need to be measurable [i.e., they should have a number attached to them], and accountable [i.e., they should have a date attached to them].

Table 8.5 in the following page lists down the goal statements as expressed by the CBO executives in line with their strategies. The attached ratings in all respect indicate the capacity gap.

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting each set of the goals and rated as given in the following table. For example, those goals which are measurable and accountable are rated as A, i. e., having sufficient capacity of the CBOs in goal identification.

The goals (major activities) were also recalled vaguely by the respective executives interviewed as those were not available in the CBO documentation. Moreover, the CBOs indicated only general activities and not the goals that are measurable (with numbers attached) and accountable (with completion date attached) with some exceptions.

As an exception, the Mahila Vikash Sanstha has a goal of ‘increasing the number of shareholders to 1,500 by 2064 BS [year 2007]’. The two other goal oriented statements are ‘upgrading the cooperative to the banking level’ and ‘upgrading the cooperative from VDC level to district level’ but without a definite time frame for achievement of the goals.



**Table 8.5 Goals of Sample CBOs**

<b>S No</b>	<b>CBO's Name (Short)</b>	<b>Goals</b>	<b>Rating</b>
1	Ekanta Basti Club	1.1 Cleanliness Campaign ( <i>continuous</i> )	<b>C</b>
		1.2 Encouraging in latrine construction ( <i>by 2062</i> )	
		1.3 Forming mothers' groups ( <i>ongoing</i> )	
		2.1 Agro-based income generating training	
		2.2 Cutting and sewing training	
		3.1 Access road improvement ( <i>annual</i> )	
		3.2 Well construction/maintenance ( <i>every 1-2 mo</i> )	
		3.3 Tap water line installation – 2 ( <i>completed</i> )	
		3.4 Soil erosion control ( <i>continuous</i> )	
2	Gram Sewa Kendra	1.1 Pariyati Shikshya ( <i>Saturday class on Buddhism</i> )	<b>C</b>
		1.2 Dana Shikshya ( <i>Monthly donation of grain, labour, knowledge</i> )	
		1.3 Shraddha (Respect – <i>ongoing</i> )	
		1.4 Natural Life Education ( <i>ongoing</i> )	
		1.5 Awards and Scholarships ( <i>ongoing</i> )	
		2.1 Irrigation (starting from drip to mega - <i>ongoing</i> )	
		2.2 Cottage Industries Promotion ( <i>ongoing</i> )	
		2.3 Drinking Water Management ( <i>ongoing</i> )	
		2.4 Hydro-meteorological Data Collection ( <i>Daily</i> )	
		2.5 Health and Other Camps ( <i>Regular</i> )	
3	Mahila Vikas Sanstha	1.1 Conducting health check-up ( <i>continuous</i> )	<b>C</b>
		1.2 Conducting adult literacy classes ( <i>continuous</i> )	
		1.3 Eliminating unhealthy social customs ( <i>continuous</i> )	
		2.1 Upgrading the co-op to banking level ( <i>continuous</i> )	
		2.2 Upgrading the co-op to district level ( <i>continuous</i> )	
		2.3 Increasing the shareholders to 1,500 ( <i>By 2064BS</i> )	
		3.1 Collaborating & coordinating with others ( <i>continuous</i> )	
4	Laukeni Ban Samuha	1.1 Provision of forest guards -2 ( <i>ongoing</i> )	<b>C</b>
		1.2 Greenery expansion projects ( <i>regular</i> )	
		1.3 Reviewing forest conservation maps ( <i>regular</i> )	
		2.1 Scheduled forest opening ( <i>regular</i> )	
		2.2 Devising penalty mechanism ( <i>ongoing</i> )	
		3.1 Individual consultation ( <i>regular</i> )	
5	Dhaireni Ban Samuha	1.1 Provision of forest guard ( <i>ongoing</i> )	<b>C</b>
		1.2 Greenery expansion projects ( <i>ongoing</i> )	
		2.1 Scheduled forest opening ( <i>regular</i> )	
		2.2 Rehabilitation of denuded land ( <i>ongoing</i> )	
		3.1 Scholarship to school students ( <i>from 2062 BS</i> )	

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

The first digit of the goal numbers refer to the strategy of the concerned CBO

Source: Institution Survey, 2004

## 8.2 Management Capacity

Management capacity is mainly the ability of the members of an organisation to have or acquire the skills needed to promote the organisation's mission and to work as a team and perform their duties competently. Three areas - *executive committee performance, group members' interaction, and status of key activities* - were examined with five rating scales on ten parameters each to determine the management capacity of the sample CBOs.

Table 8.6 depicts the overall management capacity in the sample CBOs.

**Table 8.6 Management Capacity in Sample CBOs**

S No	CBO's Name (Short)	Rating on Key Areas of Management Capacity			
		Ex-Committee Performance	Members' Interaction	Key Activity Status	Overall Management Capacity
1	Ekanta Basti Club	A	B	C	<b>B</b>
2	Gram Sewa Kendra	C	C	C	<b>C</b>
3	Mahila Vikash Sanstha	A	B	C	<b>B</b>
4	Laukeni Ban Samuha	C	B	C	<b>C</b>
5	Dhaireni Ban Samuha	A	B	C	<b>B</b>

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, the corresponding values of A, B, and C are 3, 2, and 1 respectively. The overall management capacity (last column) in the above table is derived by computing simple average of the three variables of management capacity. For example, in case of Ekanta Basti Club, the total score comes 6  $\{(A+B+C) = (3+2+1)\}$  and the average is 2  $(6/3)$ , which corresponds to B = Fair Capacity. Therefore, the management capacity of the club is interpreted as having fair capacity.

The CBOs were found with differing capacity levels in the three key areas of management capacity. Overall, the Gram Sewa Kendra and Laukeni Ban Samuha were marked with capacity gap in this area while the other three were marked with fair capacity. The deficiency in key activity status in all CBOs is dragging down their overall management capacity. The details on each of the three management components in support of the above conclusion follow in the sections 8.2.1 through 8.2.3 below.

### **8.2.1 Executive Committee Performance**

The executive committee performance was assessed through using five rating scales (i) strongly agree, (ii) slightly agree, (iii) undecided, (iv) slightly disagree, and (v) strongly disagree. The ten attributes given were as follows:

The executive committee -

- (i) has high meeting attendance [90% attend regularly];
- (ii) engages in strategic planning on a regular basis;
- (iii) is able to easily understand financial statements;
- (iv) has good working relations with the community;
- (v) participates in fundraising [at least 50% members];
- (vi) communicates regularly and effectively with members;
- (vii) can credibly represent the CBO to outsiders;
- (viii) can effectively advocate the CBO's case;
- (ix) is large enough to be inclusive; and
- (x) is small enough to be manageable.

The executives of the respective CBOs presented a varied combination of ratings as applicable in their cases. Table 8.7 in the following page presents the ratings on ten attributes for each of the CBOs and their translation into overall rating on the executive committee performance of the respective CBOs.

As explained in Section 3.2.9 Scale and Measurement, scoring intervals were used for interpreting the executive committee performance and rated as given in the following table. The score above 75% in the executive committee performance is rated as A, i.

e., having sufficient capacity of the CBOs in executive committee performance. Similarly, score ranging from 50% to 75% is rated as B, and score below 50% as C. For example, in case of Ekanta Basti Club, the total score derived is 16  $\{(7 \times 2) + (2 \times 1) + (1 \times 0)\}$  and percentage is 80% (16/20), hence the rating of A.

**Table 8.7 Executive Committee Performance in Sample CBOs**

S No	CBO's Name (Short)	Overall Rating	Rating on 10 Areas of Executive Committee Performance						
			Total Score (Max 20)	Strongly Agree	Slightly Agree	Undecided	Slightly Disagree	Strongly Disagree	Not Applicable
		Score →	2	1	0	-1	-2	--	
1	Ekanta Basti Club	A	16	7	2	1	—	—	—
2	Gram Sewa Kendra	C	5	1	4	3	1	—	1
3	Mahila Vikash Sanstha	A	17	7	3	—	—	—	—
4	Laukeni Ban Samuha	C	9	2	5	2	—	—	1
5	Dhaireni Ban Samuha	A	16	7	2	—	—	—	1

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

For the three CBOs – Ekanta Basti Club, Mahila Vikash Sanstha, and Dhaireni Ban Samuha – majority of the attributes were rated with strong agreements, hence indicating sufficient capacity for the executive committee performance. But for the rest of the CBOs, the capacity gap was marked in the executive committee performance as very few attributes were met with strong agreements.

### 8.2.2 Group Members' Interaction

The group members' interaction was also assessed through using five rating scales (i) strongly agree, (ii) slightly agree, (iii) undecided, (iv) slightly disagree, and (v) strongly disagree. The ten attributes given were as follows:

The group members -

- (i) those eligible have all been included in the CBO;
- (ii) have clear understanding of their roles;

- (iii) regularly attend to group meetings;
- (iv) engage actively in planning process;
- (v) actively implement CBO programmes;
- (vi) get equal share of programme benefits;
- (vii) are trained in technical aspects of NRM;
- (viii) are trained in organisational management;
- (ix) help executive committee in resolving conflicts; and
- (x) turnover is gradual and manageable.

The executives of the respective CBOs presented a varied combination of ratings as applicable in their cases. Table 8.8 presents the ratings on ten attributes for each of the CBOs and their logical translation into overall rating on the members' interaction in the respective CBOs.

**Table 8.8 Members' Interaction in Sample CBOs**

S No	CBO's Name (Short)	Overall Rating	Rating on 10 Areas of Members' Interaction						
			Total Score (Max 20)	Strongly Agree	Slightly Agree	Undecided	Slightly Disagree	Strongly Disagree	Not Applicable
		Score →		2	1	0	-1	-2	---
1	Ekanta Basti Club	B	11	4	3	—	—	—	3
2	Gram Sewa Kendra	C	7	1	6	1	1	—	1
3	Mahila Vikash Sanstha	B	13	5	3	1	—	—	1
4	Laukeni Ban Samuha	B	12	4	4	2	—	—	—
5	Dhaireni Ban Samuha	B	10	6	—	1	—	1	2

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, scoring intervals are used for interpreting the membership interaction and rated as given in the above table. The score above 75% in the members' interaction is rated as A, i. e., having sufficient capacity of the CBOs in their members' interaction and renewal. Similarly, score ranging from 50% to 75% is rated as B, and score below 50% as C. For example, in case of Ekanta Basti Club, the total score derived is 11  $\{(4 \times 2) + (3 \times 1)\}$  and percentage is 55% (11/20), hence the rating of B.

For the two CBOs – Mahila Vikash Sanstha, and Dhairani Ban Samuha – majority of the attributes were rated with strong agreements. However, none of the CBOs could secure marks so as to qualify them as having sufficient capacity in the area of members’ interaction within their groups. While the Gram Sewa Kendra was marked with capacity gap, all others were found with only fair capacity.

### **8.2.3 Key Activity Status**

The final area assessed under the management capacity was the status of key activities in the CBOs over the last three years. For the purpose, a total of ten activity areas, five each from the organisational management and natural resources management sector were presented. The activities presented under organisational management were: (i) Accounting/Bookkeeping, (ii) Conflict Resolution, (iii) Fundraising, (iv) Leadership, and (v) Strategic Planning. Similarly, the activities from natural resources management sector were: (i) NR conservation, (ii) NR production, (iii) NR harvesting, (iv) NR processing, and (v) NR marketing.

The executives of the CBOs were asked on how they are doing with the above sets of activities as applicable to their day to day life. The five rating scales given to them were:

- (i) the activity does not apply to them,
- (ii) there is a need for training in the stated activities,
- (iii) they will be receiving training (by some date) in the stated activities,
- (iv) they have already received training (on some date) in the stated activities,  
and
- (v) they do not need training in the stated activities.

The logic here is that the competent CBOs might be doing well in the related activity areas and they do not need training. They will already have acquired necessary training in the related areas or at least they will have plans for receiving the needed training. More the activities they refer as training needed flatly, weaker would be their competence, hence the activity status.

The executives of the respective CBOs presented a varied combination of ratings as applicable in their cases. Table 8.9 in presents the ratings on the ten activity areas for each of the CBOs and their translation into overall rating on the activity status in the respective CBOs.

**Table 8.9 Status of Key Activities in Sample CBOs**

S No	CBO's Name (Short)	Overall Rating	Rating on Status of 10 Key Activities					
			Total Score (Max 30)	Activity Does Not Apply	Need Training	Will Receive Training	Training Received	Do Not Need Training
		Score →		---	1	2	3	3
1	Ekanta Basti Club	C	11	3	5	—	—	2
2	Gram Sewa Kendra	C	4	6	4	—	—	—
3	Mahila Vikash Sanstha	C	9	1	9	—	—	—
4	Laukeni Ban Samuha	C	10	—	10	—	—	—
5	Dhaireni Ban Samuha	C	9	1	9	—	—	—

Legend: A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

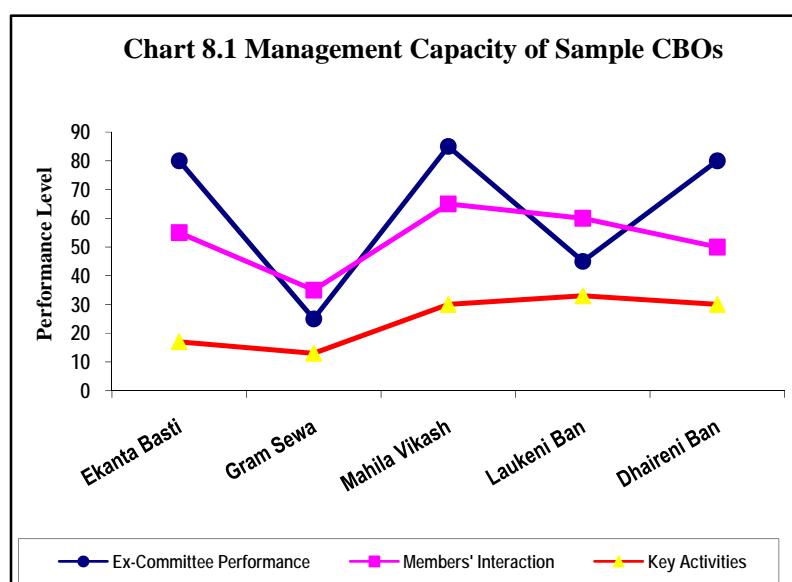
Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, scoring intervals are used for interpreting the key activity status and rated as given in the above table. The score above 75% in the key activity status is rated as A, i. e., having sufficient capacity of the CBOs in managing their key activities. Similarly, score ranging from 50% to 75% is rated as B, and score below 50% as C. For example, in case of Ekanta Basti Club, the total score derived is 11  $\{(3 \times 0) + (5 \times 1) + (2 \times 3)\}$  and percentage is 37% (11/30), hence the rating of C.

All CBOs were marked with capacity gap in terms of execution of their day to day activities. They all stated need of training virtually in all the activity areas except those not applicable to them. It can be observed that up to 9 or 10 out of 10 activities are listed as training needed. None of them reported of any training taken in the past. Again none reported on their capability in carrying out the listed activities confidently. Despite the expressed need of training, they do not have plans for attending to any of the training programmes in near future.

To sum up the overall management capacity of the sample CBOs, a comparative chart has been presented in the following page by plotting the scores they received in each of the management capacity components.

Chart 8.1 reflects the highs and lows on each of the three components of management



capacity for each of the sample CBOs. Mahila Vikash Sanstha has highs in all the three components whereas Gram Sewa Kendra has lows in all. Rest of the CBOs have had varying levels of performance in

the given components. The executive committee performance line is at higher level across all the CBOs. The key activities line indicated meagre performance in all CBOs and the members' interaction within the CBOs served as an average level of performance.

### 8.3 Financial Capacity

Financial capacity is mainly the ability of an organisation to manage its income and expenses according to a planned budget. An analysis of budget (income/expenses and assets/liabilities), income sources, and property and equipments was attempted to determine the financial capacity of the CBOs. The assessment of this part of the organisational capacity proved to be difficult as the CBOs lack up to date financial records and wherever updated, those were not shared with the study team. It was understood that many outside supports come in-kind and materials for which valuation are not done. As such, except for the Mahila Vikash Sanstha, the size and frequency of financial transactions for the CBOs were found to be at smaller scale.



Table 8.10 depicts the overall financial capacity in the sample CBOs.

**Table 8.10 Financial Capacity in Sample CBOs**

S No	CBO's Name (Short)	Rating on Key Areas of Financial Capacity			
		Budgetary Status	Income Sources	Property and Equipments	Overall Financial Capacity
1	Ekanta Basti Club	C	B	C	C
2	Gram Sewa Kendra	B	B	A	B
3	Mahila Vikash Sanstha	A	A	A	A
4	Laukeni Ban Samuha	C	B	C	C
5	Dhaireni Ban Samuha	B	B	B	B

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, the corresponding values of A, B, and C are 3, 2, and 1 respectively. The overall financial capacity (last column) in the above table is derived by computing simple average of the three variables of financial capacity. For example, in case of Ekanta Basti Club, the total score comes 4  $\{(C+B+C) = (1+2+1)\}$  and the average is 1.33 (4/3), which is nearest to 1, i. e., C = Capacity Gap. Therefore, the financial capacity of the Club is interpreted as having capacity gap.

The CBOs capacity in this area ranged from A to C. The Ekanta Basti Club and Laukeni Ban Samuha indicated capacity gap, the Gram Sewa Kendra and Dhaireni Ban Samuha with fair capacity and only the Mahila Vikash Sanstha with sufficient financial capacity. The details on each of the three financial capacity components in support of the above conclusion follow in the sections 8.3.1 through 8.3.3 below.

### **8.3.1 Budget Status**

An analysis of budgetary status of sample CBOs was attempted. The income and expenses as well as assets and liabilities for the two consecutive past years [year 1 –

2059/60 BS and year 2 – 2060/61 BS] were examined so as to determine the surplus/shortfall as well as the net assets. Table 8.11 presents the comparative figures for the two consecutive years in the immediate past and corresponding rating for each of the CBOs.

**Table 8.11 Budget Analysis of Sample CBOs**

S N	CBO's Name (Short) and Fiscal Year	Rating	Income/Expenses: Rs.			Assets/Liabilities: Rs.		
			Income	Expenses	Surplus / Short- fall	Assets	Liabilities	Net Assets
1	Ekanta Basti Yr 1	C	1,800	1,800	0	—	—	Nil
	Club* Yr 2		27,200	27,200	0	—	—	Nil
2	Gram Sewa Yr 1	B	6,000	0	6,000	65,500	0	65,500
	Kendra Yr 2		20,000	0	20,000	81,000	0	81,000
3	Mahila Vikash Yr 1	A	1'293,557	1,090,094	203,463	—	—	—
	Sanstha Yr 2		1,542,540	1,132,237	410,303	3,171,651	2,736,573	435,078
4	Laukeni Ban Yr 1	C	—	—	—	—	—	—
	Samuha* Yr 2		28,500	12,000	16,500	—	—	—
5	Dhaireni Ban Yr 1	B	25,000	13,000	12,000	—	—	—
	Samuha Yr 2		16,800	10,000	6,800	32,000	0	32,000

Legend: Yr1= 2059/60 BS Yr2= 2060/61 BS

\*Accounting records reportedly not updated

Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting the budgetary status and rated as given in the above table. For example, the budgetary status marked with increased volume of income/expenses as well as assets/liabilities is rated as A, i. e., having sufficient capacity of the CBOs in budgetary status.

Except for Dhaireni Ban Samuha, the past year 2 income and expenses figures of the CBOs were more than that of past year 1. In all cases, there is a surplus as income figures are more than the expenses figures. The Gram Sewa Kendra has not spent any of its income for both the past years and no surplus or deficit is recorded in case of Ekanta Basti Club as it spent all of its income. The past year 2 surplus figures for Mahila Vikash Sanstha is more than double compared to the past year 1 figure.

No assets and liabilities were recorded for the two CBOs – Ekanta Basti Club and Laukeni Ban Samuha as they reported that their accounting records were not updated. These two CBOs were rated as having capacity gap as information on asset and liabilities are considered key variables in determining the budgetary position of any organisation, which they were unable to produce.

Again, no liabilities were recorded for other two CBOs – Gram Sewa Kendra and Dhaireni Ban Samuha. However, they have had accounting records and that they had some assets that were considered as net assets. Hence, these CBOs are marked with having fair capacity in terms of their budgetary position.

The only CBO having sufficient capacity in terms of its budgetary position was found to be Mahila Vikash Sanstha. It however, could not produce instantly upon request the assets and liabilities figures for the past year 1.

### **8.3.2 Income Sources**

An analysis of income sources of the sample CBOs was made for the two consecutive years [past year 2060/61 BS and current year – 2061/62 BS] to determine the income source diversity. While the past year income figures are the actual ones, the current year figures are the best estimates.

Table 8.12 in the following page presents the comparative figures for the two years and corresponding rating for each of the CBOs.

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting the income sources and rated as given in the following table. For example, increased level of income through diverse sources is rated as A, i. e., having sufficient capacity of the CBOs in managing the income level and sources.

All the CBOs except Mahila Vikash Sanstha have had only two income line items (sources) with membership/admission fee as sustainable common source for all. Besides this, donation/grant and/or sale of natural resources were other source of income. The current year income sources and figures are not available for some

CBOs. Where reported, the current year income figures are lower in all cases compared to the last year figures.

**Table 8.12 Income Analysis of Sample CBOs**

S N	CBO's Name (Short) and Income Sources	Rating	Last Year		This Year	
			Amount: Rs	%	Amount: Rs	%
1	Ekanta Basti Club: <i>Membership fee</i>	<b>B</b>	2,200	8.09	2,200	21.57
			25,000	91.91	8,000	78.43
2	Gram Sewa Kendra: <i>Membership fee</i>	<b>B</b>	14,000	70.00	---	---
			6,000	30.00	6,000	100
3	Mahila Vikash Sanstha: <i>Admission fee</i>	<b>A</b>	20,640	1.34	---	---
			250,000	16.21	---	---
			800,000	51.86	---	---
			471,900	30.59	---	---
4	Laukeni Ban Samuha: <i>Membership fee</i>	<b>B</b>	19,500	68.42	9,750	100
			9,000	31.58	---	---
5	Dhaireni Ban Samuha: <i>Member fee</i>	<b>B</b>	8,300	49.40	8,300	67.48
			8,500	50.60	4,000	32.52

Legend: Last Year= 2060/61 BS This Year= 2061/62 BS

Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

Given the diversity of income sources, Mahila Vikash Sanstha was marked with sufficient capacity in this area of financial capacity and rest of the CBOs marked with fair capacity. It was learnt that the income figures for Mahila Vikash Sanstha went up compared to last year although financial statement to this effect could not be obtained.

### 8.3.3 Property and Equipments

The property and equipments of the sample CBOs were valued for the two consecutive years [past year 2060/61 BS and current year – 2061/62 BS] to determine their fixed assets holding. While the past year property figures are the actual ones, the current year figures are the best estimates. Table 8.13 in the following page presents the comparative figures for the two years and corresponding rating for each of the CBOs.

**Table 8.13 Property and Equipments Owned by Sample CBOs**

S No	CBO's Name (Short) and Property/Equipment Description	Rating	Last Year	This Year
			Value: Rs.	Value: Rs.
1	Ekanta Basti Club	<b>C</b>	Nil	Nil
2	Gram Sewa Kendra : <i>Land</i> <i>Furniture</i>	<b>A</b>	50,000 3,000	75,000 2,500
3	Mahila Vikash Sanstha: <i>Land/building</i> <i>Furniture</i>	<b>A</b>	190,909 8,116	--- ---
4	Laukeni Ban Samuha	<b>C</b>	Nil	Nil
5	Dhaireni Ban Samuha: <i>Furniture</i> <i>Cooking utensils</i>	<b>B</b>	2,400 20,000	2,000 18,000

*Legend: Last Year= 2060/61 BS This Year= 2061/62 BS*

Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

*Source: Institution Survey, 2004*

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting the status of property and equipments and rated as given in the above table. For example, increased value of fixed assets (property and equipments) holding is rated as A, i. e., having sufficient capacity of the CBOs in holding the fixed assets (property and equipments).

Two of the CBOs – Ekanta Basti Club and Laukeni Ban Samuha – reported that they do not have property and equipments, hence capacity gap in this component of financial capacity. Dhaireni Ban Samuha have had some wooden furniture and adequate cooking utensil sets also meant for hiring out to the group members as well as outsiders during social events, hence marked with fair capacity.

Two of the CBOs – Gram Sewa Kendra and Mahila Vikash Sanstha – have had land/building and furniture, hence marked with sufficient capacity, although the current year estimates of property and equipments for Mahila Vikash Sanstha was not available, it is assumed that the value of land and building would go up. Except for Mahila Vikash Sanstha, all CBOs have entrusted official documents to one of their members as they have no formal offices.

## 8.4 Linkages Capacity

Linkages capacity is mainly the ability of an organisation to forge partnerships and join relevant networks in realization of its set goals. A list of partnerships forged and networks joined by the CBOs together with the costs and benefits of both the mechanisms was prepared.

All the CBOs were found involved in partnership with four to seven organisations with an average three to nine years of engagement with individual partners. The Dhaireni Ban Samuha is also a network member of Federation of Community Forest User Groups of Nepal. Some of the studied CBOs are not aware of the potential forums and networks.

Table 8.14 presents the external linkages capacity of the sample CBOs based on the partnerships forged and networks joined by them.

**Table 8.14 External Linkages Capacity in Sample CBOs**

S No	CBO's Name (Short)	Rating on Key Areas of Linkages Capacity			
		Partnerships Forged	Networks Joined	Overall Linkages Capacity	Remarks
1	Ekanta Basti Club	A	C	B	Networks being explored for joining
2	Gram Sewa Kendra	A	C	B	
3	Mahila Vikash Sanstha	A	B	B	
4	Laukeni Ban Samuha	B	C	C	
5	Dhaireni Ban Samuha	B	A	B	

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, the corresponding values of A, B, and C are 3, 2, and 1 respectively. The overall linkages capacity (second last column) in the above table is derived by computing simple average of the two variables of linkages capacity. For example, in case of Ekanta Basti Club, the total score comes 4  $\{(A+C) = (3+1)\}$  and the average is 2  $(4/2)$ , which is exactly B = Fair

Capacity. Therefore, the linkages capacity of the Club is interpreted as having fair capacity.

The CBOs earned moderate rating in this capacity area and marked with fair capacity. Only Laukeni Ban Samuha was marked with capacity gap. The two components of linkages capacity are examined in detail in the following pages in sections 8.4.1 and 8.4.2.

#### 8.4.1 Partnerships Forged

A list of partnerships forged by sample CBOs was prepared with partnership duration, joint activities undertaken and costs and benefits of those partnerships.

Table 8.15 presents the total number of partners of each of the CBOs with average year of interaction in partnership. The table also provides the costs and benefits of the partnership as experienced by the CBOs with corresponding rating in this capacity area.

**Table 8.15 Partnerships Forged by Sample CBOs**

S No	CBO's Name (Short)	Rating	No. of Partners	Average Yr. of Interaction	Costs	Benefits
1	Ekanta Basti Club	A	7	3.14	Animosity with FUG members	Resources; training, awareness; drinking water; forest rehabilitation
2	Gram Sewa Kendra	A	6	3.75	Unsuccessful trials at personal cost	Drinking water; agri. tech support; health awareness; religious education
3	Mahila Vikash Sanstha	A	7	6.67	Legal formalities	Members' upliftment
4	Laukeni Ban Samuha	B	4	9.50	No transparency	Increased forest cover; road
5	Dhaireni Ban Samuha	B	4	4.00	No transparency	Increased forest cover; forest rehabilitation; check dam

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap  
Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting the capacity in securing benefits by forging partnerships and rated as given in the above table. For example, high quality partnerships as represented by requisite number (at least five partners for a CBO in existence for a decade) and diversity (combination of GOs and NGOs) of the partners that generate tangible benefits is rated as A, i. e., having sufficient capacity of the CBOs in forging partnerships.

The table suggests that all CBOs have had worked with at least four other organisations and partnership engagement lasted at least three years in average. The first three CBOs – Ekanta Basti Club, Gram Sewa Kendra, and Mahila Vikash Sanstha – were marked with sufficient capacity in partnership building, as they all had interacted and worked with more than five other organisations which is the requisite number since they all are in existence for about a decade. Again they could record some tangible benefits out of such partnerships.

However, the two forest user groups are marked with fair capacity in this area for their interaction and work together with only four organisations which is less than the requisite number given the fact that they are also in existence for over a decade in the locality. Again, both of the groups responded ‘no transparency’ as costs of the partnership building as someone influential from within the group tends to build such relationship at individual level without giving proper information to the group members.

#### **8.4.2 Networks Joined**

As part of linkages capacity, the sample CBOs were also asked on whether they have had joined some networks working in their interest.

Table 8.16 in the following page presents the status of networks joined by the sample CBOs with average year of interaction. The table also provides the costs and benefits of joining such networks as experienced by the CBOs with corresponding rating in this capacity area.



**Table 8.16 Networks Joined by Sample CBOs**

<b>S No</b>	<b>CBO's Name (Short)</b>	<b>Rating</b>	<b>No. of Network</b>	<b>Avg Yr of Interaction</b>	<b>Costs</b>	<b>Benefits</b>
1	Ekanta Basti Club	<b>C</b>	None	---	---	---
2	Gram Sewa Kendra	<b>C</b>	None	---	---	---
3	Mahila Vikash Sanstha	<b>B</b>	None	---	---	---
4	Laukeni Ban Samuha	<b>C</b>	None	---	---	---
5	Dhaireni Ban Samuha	<b>A</b>	1	8	Rs. 200/- per year	None thus far

Legend: A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: *Institution Survey, 2004*

As explained in Section 3.2.9 Scale and Measurement, several indicators are used for interpreting the capacity in securing benefits by joining networks and rated as given in the above table. For example, existing membership with relevant networks with potential benefit is rated as A, i. e., having sufficient capacity of the CBOs in joining networks.

Only one CBO – Dhaireni Ban Samuha was found as joining one of the networks called FECOFUN [Federation of Community Forest User Groups of Nepal] since last eight years, hence marked with sufficient capacity. All other CBOs are exploring on accessibility to the district chapters of relevant national networks in their field. Mahila Vikash Sanstha was found with high potentials in joining a network soon given its current scope and scale of work in the area, hence marked with fair capacity.

## **8.5 Conclusion**

To sum up the overall organisational capacity of the CBOs, a comparison of their strength could be done reflecting on table 8.1 presented at the outset of this chapter. The table suggested that the sampled CBOs have had varying levels of capacity in different organisational components.

Three rating scales [A=sufficient capacity, B=fair capacity, and C=capacity gap] were used to determine the organisational capacity levels of the CBOs comprised of planning, management, financial and linkages capacity. Table 8.17 in the following page presents the comparative strength among the CBOs studied.

**Table 8.17 Comparative Strength of Sample CBOs**

S No	CBO Name (Short)	Comparative Strength					
		Overall Organisational Capacity (Refer table 8.1)	Total Score	Rating secured in 4 capacity areas			Ranking
				A	B	C	
1	Ekanta Basti Club	B	7	---	3	1	3 <sup>rd</sup>
2	Gram Sewa Kendra	B	7	---	3	1	3 <sup>rd</sup>
3	Mahila Vikas Sanstha	B	9	1	3	---	1 <sup>st</sup>
4	Laukeni Ban Samuha	C	5	---	1	3	4 <sup>th</sup>
5	Dhaireni Ban Samuha	B	8	---	4	---	2 <sup>nd</sup>

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

Source: Institution Survey, 2004

As explained in Section 3.2.9 Scale and Measurement, the corresponding values of A, B, and C are 3, 2, and 1 respectively. The total score in the above table is derived by adding the scores secured by the CBOs in all the four capacity components. For example, in case of Ekanta Basti Club, the total score comes 7 because it secured 3 Bs and 1 C =  $\{(3 \times 2) + (1 \times 1)\}$ .

As reflected in the table, none of the studied CBOs could register as having sufficient organisational capacity. While Laukeni Ban Samuha portrayed overall 'capacity gap' rest of the CBOs managed to register 'fair capacity'. In order of scores secured from the four specific capacity areas, Mahila Vikas Sanstha stood first with the total score of 9. It is the only CBO that managed to secure the only 'A' (in financial capacity) that pulled it in the first position. Dhaireni Ban Samuha stood second (total score 8), Ekanta Basti Club and Gram Sewa Kendra stood third (total score 7 each) and Laukeni Ban Samuha ranked the fourth.

As immediate outputs of this study, brief institutional capacity profiles of the sample CBOs are presented as appendix 9 through 13 to this report that present organisational identification and characteristics and their current planning, management, financial, and linkages capacity. Going through the profile one could infer their areas of

strength as well as those needing immediate attention. At the end of each profile, an interpretation on capacity levels on each of the components is also given.

The institutional capacity profiles are meant for use by the concerned CBOs as public relation document and basis for formulating specific plans for their institutional capacity improvement interventions. The revealed capacity gaps suggest that priority should be given on enhancing management and financial capacity (gap in two CBOs) followed by linkages capacity (gap in one CBO). Laukeni Ban Samuha needs to prepare capacity improvement plans to address its management, financial and linkages capacity gaps. Similarly, Ekanta Basti Club needs plan to improve its financial capacity and Gram Sewa Kendra to improve its management capacity. Such capacity improvement plans need to be discussed thoroughly among the executive committee members so that concrete activities could be chalked out and responsibilities assigned to follow through the plan.

A quick thought out sample capacity improvement plan for Ekanta Basti Club is presented as appendix 14 to this report, which should be the outcome of the periodic capacity assessment exercises. Although not very specific, this plan indicates on what the Club is going to do to enhance their capacity in each of the four capacity areas. Such plans need to be reviewed continuously to adjust and revise reflecting on the progress made and new developments.

This chapter concludes presentation and analysis of all data collected for the research to examine the context of the CBOs work in relation to natural resource management and to explore on the specific organisational capacity components of the studied CBOs. The following chapter provides summary, conclusion and recommendations of the research.

## **CHAPTER NINE**

### **SUMMARY, CONCLUSION AND RECOMMENDATION**

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The previous chapters of this report presented the background and context of the research, mainly: (i) characteristics of the CBOs and their working environment; (ii) socio-economic background of the respondents and their participation and contribution in the CBOs; and (iii) traditional and modern practices of managing natural resources. It then examined the four key components (planning, management, finances, and linkages) of organisational capacity of the studied CBOs. This section presents the summary of key findings, conclusions and recommendations together with further research issues.

#### **9.1 Summary of Key Findings**

This study was carried out to undertake a comprehensive institutional capacity assessment of the CBOs in Jhikhu-Khola watershed area. Five CBOs located in the three VDCs (Panchkhal, Devbhoomi-Baluwa, and Anaikot) of Kavrepalanchok district were surveyed. In support of the study, 45 households from among the CBOs' member households were surveyed and five key informants interviewed. Similarly, several visits to the study location were made by the researcher for personal observation of the CBOs' works and their member interaction.

##### **General Characteristics of the Sample CBOs**

The CBOs in general were led by young leaders who were members since their inception. They were not highly educated but trained in related areas. The CBO executive committees were dominated by young members and females with education up to secondary level. Majority of the CBO members belonged to economically active age group. Female members were in minority in the mixed CBOs.

##### **Socio-Economic Background of Respondents**

The insights from the social background of the respondents suggested inferior status of female members. Females outnumbered males in total and there were more girl

child. They married early compared to males and lagged behind in higher education partly due to their changed social role after marriage.

The average family size was 6.02 and all caste/ethnic groups have had representation in all family sizes with majority falling in the medium followed by large and small. Male/female ratio was 1.08 suggesting more female population. A practice of late marriage among the males was found. Only few females had higher levels (above School Leaving Certificate) of education compared to the males. However, people were found mostly literate.

The economic information suggested not much of poverty prevalent in the study location. All of them have had some private land to work on. Majority of the households have had food grain sufficiency through out the year and earned daily income of at least US\$ 1.

The households engage predominantly in agriculture. Each household owned at least a piece of land as resource for survival. The average landholding size was 13.2 *ropanis*<sup>2</sup> per household. Majority of the households fell under annual income range of Rs. 25,000 to Rs. 75,000<sup>3</sup>.

### **Working Environment of CBOs**

The CBOs had little presence in remote areas where they were needed most. Their legality was secured through registering with various government bodies. They were not guided well by the legal documents [e.g., statutes, rules and regulations etc.] in their daily business and many official requirements and documents were found accomplished only at the time of their renewal.

The caste/ethnic divide in the locality and animosity among the members were referred to explicitly or implicitly during institutions survey. The females were being deputed in the groups in place of the males but their capacity building needs were found ignored. However, the females were found committed wherever they were given opportunities.

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<sup>2</sup> 1 *ropani* = 0.05 hectare

<sup>3</sup> US\$ 1 = Rs. 75 approx.

### **Participation, Contribution and Capacity Building in CBOs**

The sample households were having concurrent membership to one to four CBOs with majority to only one CBO and mostly represented by the household head males. The purpose of joining the CBOs was dictated by the very purpose of the CBOs. Majority of the households attended to at least 90% of their CBO meetings. They contributed mainly in the form of cash and labour. Majority of them expressed higher level of satisfaction on the way their CBOs were functioning. Majority agreed that all members benefit equally from the CBOs.

A mismatch on the sets of capacity building programmes preferred by the respondents and those undertaken was found. This suggested that either the respondents were not sure on the type of programmes they wished to attend, or the programmes were more driven by the support agencies where the CBOs and their members had no option but to accept those irrespective of their real needs. The capacity building programmes, thus were seen as more supply driven.

### **Natural Resource Management Practices**

The locals practiced a mixture of the both traditional and modern systems of natural resources management. The traditional practices were still being followed in the management of forests (e.g. collection of fodder), water (e.g. tapping the springs), and agriculture (e.g. ploughing by oxen).

The modernisation in forestry sector introduced mapping of forest areas using geographical information system. The forests were found managed well through the CFUGs. In water harvesting, the new technologies introduced were drip and sprinkler irrigation, conservation ponds, eyebrow pond, rain water harvesting jars and digging of ground water wells. Similarly, use of polythene pipes and plastic sheets for water harvesting and irrigation were made.

In agriculture, drastic changes from traditional cropping of grain varieties to cash crops and horticulture were seen. The technologies and practices introduced included systems for rice intensification (SRI), use of black plastic for fast composting of manure, rotational cropping, half-yearly soil testing and use of limestone. For

checking top soil erosion, use of hedgerow technology, drainage improvement, and improved seed/seedling of grass varieties were made.

### **Organisational Capacity of CBOs**

None of the studied CBOs could register as having sufficient organisational capacity. While Laukeni Ban Samuha portrayed overall ‘capacity gap’, rest of the CBOs – Ekanta Basti Club, Gram Sewa Kendra, Mahila Vikash Sanstha, and Dhaireni Ban Samuha managed to register ‘fair capacity’.

All CBOs registered ‘fair capacity’ in **planning**. They all had focused missions but seemed unclear as to the strategies or broad programmes in fulfilling their missions. Both the strategies (programmes) and goals (major activities) were recalled vaguely by the respective executives interviewed.

The Gram Sewa Kendra and Laukeni Ban Samuha indicated **management** ‘capacity gap’. The deficiency in key activity status in all the CBOs dragged down their overall management capacity.

The Ekanta Basti Club and Laukeni Ban Samuha indicated **financial** ‘capacity gap’. However, Mahila Vikash Sanstha managed to register ‘sufficient capacity’ in this organisational capacity component. The assessment of the financial capacity proved to be difficult as either the CBOs lacked updated financial records, or they were not shared with the study team. The size and frequency of financial transactions for most of the CBOs were found to be at smaller scale.

The CBOs earned moderate rating in the **linkages** capacity area. Only Laukeni Ban Samuha was marked with ‘capacity gap’. All CBOs were found involved in partnership with four to seven organisations with an average three to nine years of engagement with individual partners.

The organisational capacity assessment exercise generated institutional capacity profiles of the studied CBOs (refer appendix 9 through 13). The CBOs could use these profiles as public relation document and also for formulating their capacity improvement plans (refer sample on appendix 14).

## **9.2 Conclusions**

The key research question for the current study was - How well were the CBOs functioning in Jhikhu-Khola watershed area in terms of their institutional capacity? It may be concluded that the CBOs were functioning not very well as none of the studied CBOs could register as having sufficient organisational capacity. The following section discusses other conclusions in line with specific research questions set for the study.

### **An institution in the context of mountain watersheds**

- An institution [CBO] in the context of mountain watersheds could be defined as a formal group of member households that contributes directly or indirectly to any of the areas [soil, water, forest] of mountain watershed management with an expectation of return, economic or otherwise.
- Most of the CBOs had lost relevance of their institutional legal tools [e.g., statutes, rules and regulations etc.] in their daily business.
- The group work or the CBOs were not in general generating attractive returns economic or otherwise to their members.
- Women were doing proxy roles in the mixed institutions for their spouses and their capacity building needs were ignored.

### **Traditional and modern NRM mechanisms**

- The locals practice a mixture of the both traditional and modern systems of natural resources management.
- The on-farm technologies yielding quick economic returns had also helped in retaining the locals' interest in longer-term NRM research initiatives.
- The excessive use of pesticides had ensured increased production but with increased health hazards and also damaged soils.

### **Key components of the institutional capacity of the CBOs**

- The key components of institutional capacity as applicable to the CBOs were planning; management; finances; and linkages.
- The management capacity determined largely the levels of other capacity components.



- The context of caste/ethnic divide, group politics, non-transparency and organisational weaknesses demanded more facilitative roles with social science expertise within the CBOs.

### **Strengths and weaknesses of the CBOs**

- The CBOs were found with varying levels of strength and weaknesses in different capacity components, however having enough strength in forging linkages with various organisations.
- Among the three variables of planning capacity, goal identification had been the major weakness of the CBOs. They were indicating general activities instead of the goals, which were measurable [with numbers attached] and accountable [with completion date attached].
- In management aspects, the CBOs lacked commitment or plans for undergoing necessary training.
- The size and frequency of financial transactions for majority of the CBOs were at very small scale [average annual income of US\$ 133] and some of them were having difficulty in producing updated financial accounts.

### **Participation, contribution and capacity building in CBOs**

- The members were actively participating and contributing to the CBOs but not benefiting much in terms of developing their skills and abilities as the capacity building programmes were conducted without proper needs assessment.
- The most preferred capacity building methods were found to be training plus short visits. The CBOs indicated need of training in almost all areas listed both from organisational management and natural resources management. Some also implicitly indicated cash crunch in running their programmes.
- The CBOs were found supported by the local government units mainly for local infrastructure development and by the external projects through provision of inputs, training, and technical backstopping for them to work on specific areas of natural resources management.

### 9.3 Recommendations

The key recommendation of this research is that the organisational capacity assessment should be institutionalised in the CBOs. Like a regular health check-up, it would help diagnose periodically the problem areas so that capacity improvement plans could be drawn and implemented to increase organisational efficiency and effectiveness.

The committed CBOs would be developing their individual capacity improvement plans – indicating further steps – following the findings of this capacity assessment exercise.

The specific recommendations common to all CBOs for them to act upon immediately, where the local government agencies as well as external projects could also provide support are stated below:

1. Revise the institutional legal tools [e.g., statutes, rules and regulations etc.] to reflect on the current reality and to bring dynamism.
2. Revise and refine strategies and goals in line with the mission. Ensure that the goals are measurable [with numbers attached] and accountable [with completion date attached].
3. Build in the attractive incentives [economic and others, such as honorary positions] for effective engagement of the members.
4. Develop systematic capacity building plans based on the organisational as well as members' individual needs. Such plans should address specific needs of female members in line with the assigned responsibilities.
5. Develop more facilitation skills with social science expertise among the key [executive committee] members.
6. Ensure transparency of the financial transactions and periodic updates on the financial accounts.
7. Negotiate with external projects for more programmes that yield quick economic returns to local people [such as improved agricultural technologies] in consideration of support for longer-term watershed management research initiatives.

8. Raise awareness among local people on the negative results of excessive use of pesticides and chemical fertilisers and promote environment friendly options, such as, integrated pest management, organic farming etc.

Three key issues identified by this research for further study are as follows:

1. Whether women are overburdened with their increased social roles outside the households?
2. Whether caste/ethnic diversity of the members hinders the CBOs' advancement?
3. What are the attributes of successful CBOs in managing specific areas (soil, water, forest) of mountain watershed management?

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## APPENDICES

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## **Appendix 1 Checklist for Key Informant Interview**

### *CBOs' working environment*

- What are the GO/NGO policies in relation to NRM?
- What are the specific laws and regulations governing CBOs functioning?
- What are the social and cultural norms and values?
- Who are the stakeholders in the promotion of CBOs for NRM?

### *NRM practices*

- What are the traditional NRM practices?
- What are the modern/introduced NRM practices?
- What are the comparative benefits and drawbacks of the two sets of practices?
- What is your opinion on CBOs' role in sustainable NRM?

### *CBO capacity building*

- What are the components of capacity development of CBOs?
- How do you assess the capacity level of CBOs?
- What are the major constraints and problems in CBO capacity building?
- How do the external projects contribute in CBO capacity building?
- What are your suggestions in strengthening the CBOs' capacity for NRM?

## Appendix 2 Institution Survey Schedule

Institutional Capacity Assessment of CBOs in a Mountain Watershed						
Institution Survey Schedule						
To be accomplished by the researcher together with the CBO's executive committee members						
Form #	<input style="width: 80%;" type="text"/>	Interview Date	<input style="width: 80%;" type="text"/>	No of ExComm members involved	<input style="width: 95%;" type="text"/>	

<b>Organisation Identification</b>						
1. CBO Name <input style="width: 90%;" type="text"/>						
2. Address: VDC <input style="width: 15%;" type="text"/> Ward <input style="width: 10%;" type="text"/> Village Name <input style="width: 55%;" type="text"/>						
3. Chairperson: Name <input style="width: 35%;" type="text"/> Age <input style="width: 10%;" type="text"/> Sex - M/F <input style="width: 10%;" type="text"/>						
4. Contact: POB <input style="width: 20%;" type="text"/> Phone <input style="width: 20%;" type="text"/> Email <input style="width: 40%;" type="text"/>						

<b>Organisation Characteristics</b>						
5. Sector <input style="width: 15%;" type="text"/> Agriculture/soil <input style="width: 10%;" type="text"/> Forest <input style="width: 10%;" type="text"/> Water <input style="width: 10%;" type="text"/>						
6. Working area/geographical coverage <input style="width: 90%;" type="text"/>						
7. Registration: Date <input style="width: 15%;" type="text"/> Office <input style="width: 30%;" type="text"/> Last renewed <input style="width: 15%;" type="text"/>						
<b>8.</b> <i>Membership composition</i>	8.1 Sex: Male <input style="width: 10%;" type="text"/>		Female <input style="width: 10%;" type="text"/>		<i>Total members</i> <input style="width: 15%;" type="text"/>	
	8.2 Age: <15 <input style="width: 10%;" type="text"/>		15-49 <input style="width: 10%;" type="text"/>		50-65 <input style="width: 10%;" type="text"/>	
	65+ <input style="width: 10%;" type="text"/>		Chhetri <input style="width: 10%;" type="text"/>		Newar <input style="width: 10%;" type="text"/>	
	8.3 Caste/ Ethnicity: Brahman <input style="width: 10%;" type="text"/>		Magar <input style="width: 10%;" type="text"/>		Kami <input style="width: 10%;" type="text"/>	
	Tamang <input style="width: 10%;" type="text"/>		..... <input style="width: 10%;" type="text"/>		..... <input style="width: 10%;" type="text"/>	
8.4 Education: Illiterate <input style="width: 10%;" type="text"/> Literate <input style="width: 10%;" type="text"/> Pri <input style="width: 10%;" type="text"/> Sec <input style="width: 10%;" type="text"/> Higher <input style="width: 10%;" type="text"/>						

<b>9. Executive Committee composition:</b>						
S No	Name/(Sex)	Age	Edu	Designation	Yrs in CBO	Training, if any
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						



Planning Capacity	
10. Mission statement	State the mission answering the following questions: <i>(i) When and why the CBO was founded?</i> <i>(ii) What the CBO has to offer to the community?</i> <i>(iii) Who the CBO is serving and where?</i>
	The mission of _____, incorporated in _____
	is to _____
	for _____ in _____
11. Strategy formulation	State the strategies to accomplish the mission:
	The CBO fulfils its mission through: (program 1) _____
	(program 2) _____
	(program 3) _____
12. Goal identification	State the goals to accomplish the mission and strategies:
	The CBO will promote its mission through (strategy 1) -
	by (activity 1 with quantity) _____ by (date) _____
	by (activity 2 with quantity) _____ by (date) _____
	and by (activity 3 with quantity) _____ by (date) _____
	The CBO will promote its mission through (strategy 2) -
	by (activity 4 with quantity) _____ by (date) _____
	by (activity 5 with quantity) _____ by (date) _____
	and by (activity 6 with quantity) _____ by (date) _____
	The CBO will promote its mission through (strategy 3) -
	by (activity 7 with quantity) _____ by (date) _____
	by (activity 8 with quantity) _____ by (date) _____
and by (activity 9 with quantity) _____ by (date) _____	

Management Capacity					
<b>13. Executive Committee</b>					
Indicate with a tick mark in the appropriate column how strongly you agree or disagree with the following statements.					
<i>The Executive Committee ...</i>	<i>Strongly Agree</i>	<i>Slightly Agree</i>	<i>Undecided</i>	<i>Slightly Disagree</i>	<i>Strongly Disagree</i>
... has high meeting attendance (90% attend regularly)					
... engages in strategic planning on a regular basis					
... is able to easily understand financial statements					
... has good working relations with the community					
... participates in fundraising (at least 50% members)					
... communicates regularly & effectively with members					
... can credibly represent the CBO to outsiders					
... can effectively advocate the CBO's case					
... is large enough to be inclusive					
... is small enough to be manageable					
<b>14. Membership renewal</b>					
Indicate with a tick mark in the appropriate column how strongly you agree or disagree with the following statements.					
<i>Members ...</i>	<i>Strongly Agree</i>	<i>Slightly Agree</i>	<i>Undecided</i>	<i>Slightly Disagree</i>	<i>Strongly Disagree</i>
... those eligible have all been included in the CBO					
... have clear understanding of their roles					
... regularly attend to group meetings					
... engage actively in planning process					
... actively implement CBO programs					
... get equal share of program benefits					
... are trained in technical aspects of NRM					
... are trained in organisational management					
... help Executive Committee in resolving conflicts					
... turnover is gradual and manageable					
<b>15. Activity status</b>					
Indicate what the state of the CBO has been in the last three years regarding the activities below.					
<i>Activity</i>	<i>Activity Does Not Apply</i>	<i>Need Training</i>	<i>Will Receive Training (Date)</i>	<i>Training Received (Date)</i>	<i>Do Not Need Training</i>
Accounting/Bookkeeping					
Conflict Resolution					
Fundraising					
Leadership Training					
Strategic Planning					
NR conservation (explain)					
NR production (explain)					
NR harvesting (explain)					
NR processing (explain)					
NR marketing (explain)					
Other					
Other					
Other					

Financial Capacity					
<b>16. Budget analysis</b>					
Complete the following budget worksheet for the past two fiscal years (FY).					
		First FY (2 yrs ago)	Second FY (last year)		
Income	Rs			Assets	Rs
Less, Expenses	Rs			Less, Liabilities	Rs
Surplus/(Shortfall)	Rs			Net Assets	Rs
<b>17. Income sources</b>					
List down the amount and sources of income - actual for the last year and expected this year.					
Income Sources		Actual Last Year		Expected This Year	
		Amount	Percentage	Amount	Percentage
1 Membership fee					
2 Monthly savings					
3 Sanctions					
4 Sale of natural resources (explain)					
5 Donation/grants					
6 Interest					
7					
8					
9					
10					
Total: Rs					
<b>18. Property and equipments</b>					
List down the property and equipments (fixed asset items) owned by the CBO with their approximate value.					
Property and Equipments (Please explain/provide specification)				Value: Last Year	Estd Value: This Year
1 Land/building					
2 Agricultural tools					
3 Machinery equipments					
4 Office equipments					
5 Furnitures					
6					
7					
8					
9					
10					
Total: Rs.					

**Linkages Capacity****19. Partnerships forged**

List down the existing partnership arrangements.

Partner Name	No of Years	Purpose
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

List down the costs and benefits of the existing partnerships.

Costs	Benefits
1	1
2	2
3	3
4	4
5	5

**20. Networks joined**

List down the existing networks.

Network Name	No of Years	Purpose
1		
2		
3		
4		
5		

List down the costs and benefits of the existing networks.

Costs	Benefits
1	1
2	2
3	3
4	4
5	5

Thank you

## Appendix 3 Household Survey Schedule

(Translated from original in Nepali)

Institutional Capacity Assessment of CBOs in a Mountain Watershed

### Household Survey Schedule

To be read by the respondent - CBO member household

*I am a student of Sagarmatha Multiple College, Kathmandu. This questionnaire has been prepared for my thesis entitled "Institutional Capacity Assessment of CBOs in a Mountain Watershed". I request you to answer the following questions that are applicable in your case as sincerely as possible. The information filled in this schedule will be kept confidential and will be used only for research purpose.*

#### Respondent Identification

1. Name (CBO member)

2. Respondent No.

3. Address: VDC

Ward

Village Name

#### Socio-economic Information

4. Information about household members including the respondent (*Use the codes given below*)

S.No.	Members' Name	Sex	Age	Marital Status	Education	Occupation		
						Primary	Secondary	Unemployed
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

*Codes:*

Sex  
1 Male  
2 Female

Marital Status  
1 Single  
2 Married  
3 Widowed  
4 Separated  
5 Divorcee

Education  
1 Illiterate  
2 Simple Literate  
3 Primary  
4 Secondary  
5 Higher

Occupation  
1 Agriculture  
2 Cottage Industry  
3 Service/job  
4 Trade/business  
5 Crafts (Tailoring, Carpentry, Masonry etc.)  
6 Labour  
7 Student  
8 Others - (specify)

5. Information on family owned land (if any): type, size and use pattern

S.No.	Land Type	Total Area (Ropani)	Land Use Type (Ropani)			
			Crops	Vegetables	Fruit Orchard	Others
1	Residence/Courtyard ( <i>Gharbari</i> )					
2	Lowland ( <i>Khet</i> )					
3	Upland ( <i>Bari</i> )					
4	Others					
Total						

6. Food sufficiency status

How long is your own production of food grains sufficient for your household requirements? (Please tick)

< = 3 months	6 months	9 months	Through out the year	Surplus (give quantity)

7. Annual income level

What is your total annual household income? (Please tick)

< = Rs. 25,000	Rs. 25,000 - 50,000	Rs. 50,000 - 75,000	Rs. 75,000 - 100,000	> Rs. 100,000

<b>Traditional NRM Practices</b>													
<b>8. Traditional conservation practices</b> State in brief traditional conservation practices in relation to soil, water and forests <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div>													
<b>9. Traditional harvesting practices</b> State in brief traditional harvesting cycle and technique in relation to soil, water and forests and their products <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div>													
<b>10. Benefits and drawbacks of traditional practices</b> State in brief benefits and drawbacks of above traditional practices in relation to soil, water and forests													
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="padding: 2px;">Benefits</th> </tr> <tr><td style="padding: 2px;">1</td></tr> <tr><td style="padding: 2px;">2</td></tr> <tr><td style="padding: 2px;">3</td></tr> <tr><td style="padding: 2px;">4</td></tr> <tr><td style="padding: 2px;">5</td></tr> </table>	Benefits	1	2	3	4	5	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="padding: 2px;">Drawbacks</th> </tr> <tr><td style="padding: 2px;">1</td></tr> <tr><td style="padding: 2px;">2</td></tr> <tr><td style="padding: 2px;">3</td></tr> <tr><td style="padding: 2px;">4</td></tr> <tr><td style="padding: 2px;">5</td></tr> </table>	Drawbacks	1	2	3	4	5
Benefits													
1													
2													
3													
4													
5													
Drawbacks													
1													
2													
3													
4													
5													
<b>Modern NRM Practices</b>													
<b>11. Modern conservation practices</b> State in brief modern conservation practices in relation to soil, water and forests <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div>													
<b>12. Modern harvesting practices</b> State in brief modern harvesting cycle and technique in relation to soil, water and forests and their products <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div>													
<b>13. Benefits and drawbacks of modern practices</b> State in brief benefits and drawbacks of above modern practices in relation to soil, water and forests													
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="padding: 2px;">Benefits</th> </tr> <tr><td style="padding: 2px;">1</td></tr> <tr><td style="padding: 2px;">2</td></tr> <tr><td style="padding: 2px;">3</td></tr> <tr><td style="padding: 2px;">4</td></tr> </table>	Benefits	1	2	3	4	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="padding: 2px;">Drawbacks</th> </tr> <tr><td style="padding: 2px;">1</td></tr> <tr><td style="padding: 2px;">2</td></tr> <tr><td style="padding: 2px;">3</td></tr> <tr><td style="padding: 2px;">4</td></tr> </table>	Drawbacks	1	2	3	4		
Benefits													
1													
2													
3													
4													
Drawbacks													
1													
2													
3													
4													

#### 14. CBO membership

List down the CBOs of which the family is the member

S. No.	CBO Name	HH Member Involved		Purpose of joining the CBO
1				
2				
3				
4				
5				

**Codes:**

Household Member Involved			
1	HH head male	2	HH head female
3	Other male	4	Other female

#### 15. Contribution to CBO functioning

Please rate your and your family members' attendance to the CBO meetings

100%	90%	60%	30%	0%

State why you do/(do not) attend to these meetings in this manner?

---



---



---

In which of the following way your family contribute to the CBOs' functioning?

Cash ☐ Labour ☐ Materials ☐ Others (specify) ☐

How do you rate your satisfaction with the present function of your group(s)?

Highly satisfied	Slightly satisfied	Undecided	Slightly unsatisfied	Highly unsatisfied

If so, why?

---



---

#### 16. Benefit/resource sharing

Who are the persons that you think are benefiting most from the CBO(s)' work?

All equally	Poor Farmers	Local Leaders	Rich & Influential	Others (specify)

Please elaborate on how are you benefiting from your group(s)?

---



---

#### 17. Capacity building

Are you or your family members willing to attend to capacity building programs?

Yes ☐

No ☐

If yes, please state the program type, area and duration

Program (e.g. training, meeting, study tour etc.)

Subject (e.g. book keeping, beekeeping, sewing etc.)

Duration (e.g. 1 day, 3 days, 1 week etc.)

Have you or your family members ever attended to any capacity building program?

Yes ☐

No ☐

If yes, please go to question no. 18, otherwise **thank you** very much for your kind support.

## Assessment of Capacity Building Interventions

### 18. Capacity building programs

Please provide following information regarding participation in capacity building programs (*Use codes*)

Capacity Development Program	Participant		Participant		Participant		Usefulness of Program				
	No	Days	No	Days	No	Days	1	2	3	4	5
Training											
Workshop and Seminars											
Meetings											
Excursion/Study Tours											
Audio/Video											
Publications											
Others (specify)											

### 19. Skill training - subject areas

Please provide following information regarding participation in training programs in specific subjects (*Use codes*)

Training Program	Responsible Institution	Trained Person	Total Days	Usefulness of Training				
				1	2	3	4	5
Organisational Management								
Accounting/Bookkeeping								
Conflict Resolution								
Group/Cooperative Mgmt								
Leadership Training								
Saving Mobilization								
Strategic Planning								
Others (specify)								
Natural Resource Management								
Afforestation								
Beekeeping								
Field Cropping								
Fodder Tree Plantation								
Fruit Farming								
Kitchen Gardening								
Livestock Raising								
NTFP/MAP								
Primary Processing								
Soil Conservation								
Water Harvesting								
Others (specify)								
Other Subjects								
Health and Sanitation								
Sewing and Cutting								
Weaving and Knitting								
Others (specify)								

Codes: for 18. & 19.	Participant/Trained Person		Usefulness of Program/Training	
	1 HH head male	3 Other male	1 Highly useful	4 Useless
	2 HH head female	4 Other female	2 Slightly useful	5 Totally useless
			3 Undecided	



## Appendix 4 Research Coordination Schema

Institutional Capacity Assessment of CBOs in a Mountain Watershed			
Research Coordination Schema			
Objectives	Complex Variables	Simple Variables	Information Source
Socio-economic information	Demography	Age, sex, marital status, ethnicity etc.	Household Survey
	Economy	Land holding, occupation etc.	
	Education	Level of educational attainment	
1. To describe CBOs' working environment	Administrative/legal	GO/NGO policies	Literature Review
		Specific laws and regulations	Key Informants
	Social and cultural	Norms, values, attitudes in society	Group Discussion
		Literacy level	
	Stakeholders	Clients, beneficiaries	
		Government bodies, others	
2. To record members' participation and contribution in CBOs including capacity building	Participation	CBO membership	Household Survey
	Contribution	CBO meeting attendance	
		Cash, labour, in-kind contribution	
	Capacity building	Preferred capacity build programs	Key Informants
		Cap build programs attended	
		Usefulness of programs attended	
3. To document CBOs' NRM practices	Traditional practices	Conservation practices	Key Informants
		Harvesting cycle and technique	Household Survey
		Benefits and drawbacks	
	Modern practices	Conservation practices	
		Harvesting cycle and technique	
		Benefits and drawbacks	
4. To examine key components of CBOs' organisational capacity	Planning capacity	Mission statement	Institution Survey
		Strategy formulation	
		Goal identification	
	Management capacity	Executive Committee	
		Membership renewal	
		Activity status	
	Financial capacity	Budget analysis	
		Income sources	
		Equipments	
	Linkages capacity	Partnerships forged	
		Networks joined	

## Appendix 5 List of Key Informants

<b>S No</b>	<b>Name and Address</b>	<b>Portfolio</b>
1	Jamuna Devi Lama (F/31) Ward No. 7, Patlekheta VDC	Chair-Sustainable Land Management Committee; Secretary-Aarubot Women's Saving Group; Member-Women Development Group
2	Neel Raj Regmi (M/46) Ward No. 8, Patlekheta VDC	Rural Agricultural Activist associated with almost 25 different groups, now concentrated in about 5-7 agricultural groups
3	Krishna Raj Adhikari (M/36) Dhulikhel Office, PARDYP- Nepal	Field In-charge, PARDYP-Nepal
4	Deepak Bhetwal (M/35) Ward No. 4, Sathighar VDC	Erosion Plot Reader
5	Bhuvan Shrestha (M/49) PARDYP-Nepal	Country Coordinator, PARDYP Nepal

## Appendix 6 List of CBOs Surveyed

S No	CBO Name and Address	Contact Person
1	Ekanta Basti Yuwa Club [ <b>Youth Club</b> ], Panchkhal VDC, Ward 8, Dhotra ( <b>Male Group</b> ) – <b>Registered in 2001</b>	Mr. Bhesh Bahadur Danuwar, Secretary
2	Ranipani Gram Sewa Kendra [ <b>Village Service Centre</b> ], Dev Bhoomi- Baluwa VDC, Ward 8, Ranipani ( <b>Mixed Group</b> ) – <b>Registered in 1995</b>	Mr. Dinesh Choudhary, Coordinator
3	Gramin Mahila Bikash Bahuuddeshiya Sahakari Sanstha Limited [ <b>Women Cooperative</b> ], Panchkhal VDC, Ward 8, Tinpiple ( <b>Female Group</b> ) – <b>Registered in 1995 [Not affiliated to PARDYP]</b>	Ms. Goma Sapkota, Manager
4	Laukeni Ghyangle Bokse Samudayik Ban Upabhokta Samuha [ <b>Laukeni Forest Group</b> ], Anaikot VDC, Ward 2, Devasthan ( <b>Mixed Group</b> ) – <b>Registered in 1994</b>	Mr. Kedar Nath Sapkota, Chairperson
5	Karkikhop Dhaireni Samudayik Ban Upabhokta Samuha [ <b>Karkikhop Forest Group</b> ], Anaikot VDC, Ward 1, Majhdihi ( <b>Mixed Group</b> ) – <b>Registered in 1991</b>	Ms. Sharada Koirala, Chairperson

## Appendix 7 List of Households Surveyed

S No	Name (Sex/Age) of Respondent	HH Size (No.)	Caste / Ethnicity of the Household							
			B	C	N	T	M	D1	S	D2
Youth Club [5]			1	1				3		
1	Buddhi Bahadur Danuwar (M/63)	9						X		
2	Chandra Bahadur Khadka (M/48)	10		X						
3	Krishna Bahadur Danuwar (M/25)	8						X		
4	Sadhu Ram Danuwar (M/24)	7						X		
5	Balaram Parajuli (M/28)	5	X							
Village Service Centre [7]			4		2				1	
6	Gopi Krishna Adhikari (M/34)	5	X							
7	Sharmila Acharya (F/21)	3	X							
8	Hari Prasad Shrestha (M/60)	10			X					
9	Kaji Man Shivabhakti (M/47)	8							X	
10	Hari Chandra Shrestha (M/23)	8			X					
11	Bhawani Sapkota (F/25)	8	X							
12	Prem Prasad Acharya (M/48)	6	X							
Women Cooperative [13]			2	2	2	1		3		3
13	Nirmala Bishwakarma (F/24)	8								X
14	Sumitra Pariyar (F/26)	5								X
15	Sita Mijar (F/31)	4								X
16	Jamuna Dhaubadel (F/43)	2			X					
17	Lumadi Dulal (F/49)	4		X						
18	Dev Kumari Dulal (F/40)	4		X						
19	Sumati Dhungana (F/61)	6	X							
20	Seeta Parajuli (F/39)	7	X							
21	Shova Tamang (F/40)	7				X				
22	Gyanu Maya Shrestha (F/50)	9			X					
23	Ranuki Danuwar (F/34)	6						X		
24	Juna Maya Danuwar (F/25)	7						X		
25	Goma Danuwar (F/30)	5						X		
Laukeni Forest Group [13]			2	2		4	5			
26	Kuber Bahadur K.C. (M/48)	6		X						
27	Shambhu Prasad Timilsina (M/27)	4	X							
28	Krishna Bahadur Tamang (M/38)	8				X				
29	Krishna Bahadur Waiba (M/57)	7				X				
30	Sarbey Singh Tamang (M/54)	4				X				
31	Bishnu Bahadur Magar (M/62)	3					X			
32	Bharat Magar (M/38)	6					X			
33	Man Bahadur Ale Magar (M/70)	2					X			
34	Som Bahadur Ale Magar (M/25)	4					X			
35	Teram Bahadur Ale Magar (M/21)	3					X			
36	Ghamai Singh Tamang (M/60)	2				X				
37	Mohan Bahadur K.C. (M/44)	5		X						
38	Min Prasad Neupane (M/47)	5	X							
Karkikhop Forest Group [7]			4	1	2					
39	Sudarshan Paudyal (M/38)	9	X							
40	Narayan Shrestha (M/38)	7			X					
41	Jagannath Khanal (M/59)	6	X							
42	Durga Prasad Sapkota (M/50)	6	X							
43	Bhakta Bahadur Shrestha (M/60)	8			X					
44	Ram Prasad Sapkota (M/56)	9	X							
45	Balaram Bhuiel (M/42)	6		X						

Legend: *B*=Brahman, *C*=Chhetri, *N*=Newar, *T*=Tamang, *M*=Magar, *D1*=Danuwar, *S*=Shivabhakti, *D2*=Dalits (Damai, Kami, Sarki)

## Appendix 8 Distribution of CBOs in Jhikhu Khola Watershed

Distribution of CBOs in Jhikhu-Khola Watershed by VDC								
January 2001								
S No	Name of the VDC (in alphabetical order)	Women CBOs			Mixed CBOs			Grand Total
		Reg	Non-Reg	Total	Reg	Non-Reg	Total	
1	Anairkot	1	0	1	32	1	33	34
2	Baluwa	3	1	4	9	1	10	14
3	Devitar	0	0	0	13	0	13	13
4	Hokse	0	0	0	4	1	5	5
5	Kharelthok	13	1	14	18	1	19	33
6	Metinkot	18	0	18	37	3	40	58
7	Panchkhal	2	1	3	9	1	10	13
8	Patleket	10	1	11	27	2	29	40
9	Phulbari	0	0	0	12	3	15	15
10	Raviopi	0	0	0	13	2	15	15
11	Satthighar	0	0	0	6	1	7	7
Total No. of CBOs		47	4	51	180	16	196	247
% of CBOs by Membership		20.65			79.35			100.00

Distribution of CBOs in Jhikhu-Khola Watershed by Sector					
January 2001					
SNo	Sector	Reg	Non-Reg	Total	%
1	<b>Forestry</b>	<b>74</b>	<b>3</b>	<b>77</b>	<b>31.17</b>
	Community forest user groups	42	3	45	
	Leasehold forestry groups	26	0	26	
	Agroforestry groups	6	0	6	
2	<b>Social service and clubs</b>	<b>41</b>	<b>8</b>	<b>49</b>	<b>19.84</b>
	Cultural and social organisations	24	7	31	
	Sports and youth clubs	13	0	13	
	Community health club/clinic	4	1	5	
3	<b>Agriculture and animal husbandry</b>	<b>40</b>	<b>4</b>	<b>44</b>	<b>17.81</b>
	Agriculture cooperatives	10	2	12	
	Milk cooperatives	28	2	30	
	Community animal husbandry	2	0	2	
4	<b>Savings and credit groups</b>	<b>43</b>	<b>1</b>	<b>44</b>	<b>17.81</b>
5	<b>Drinking water user groups</b>	<b>16</b>	<b>2</b>	<b>18</b>	<b>7.29</b>
6	<b>Miscellaneous</b>	<b>13</b>	<b>2</b>	<b>15</b>	<b>6.07</b>
Total No. of CBOs		<b>227</b>	<b>20</b>	<b>247</b>	<b>100.00</b>

Source: Lama et al. (2001) / Re-grouped by the researcher

*Women CBOs* = CBOs with all female membership

*Mixed CBOs* = CBOs with all male and/or mixed membership

*Reg* = Registered with the government entities

*Non-Reg* = Not registered

## Appendix 9 Institutional Capacity Profile of *Ekanta Basti Club*

### **Ekanta Basti Yuwa Club, Panchkhal VDC, Ward 8, Dhotra**

**Contact: Mr. Bhesh Bahadur Danuwar, Secretary**

The youth club registered in 2001 has 44 male members with Danuwar majority (59%). Other members are from Chhetri, Brahman, Kami and Newar caste/ethnic groups. The executive committee has nine members – all with SLC and higher educational background, trained in several areas, and in the 22-35 age group.

#### ***Planning Aspects***

The **mission** of the club is to bring positive change in the society through youth mobilisation in ward number 8 of Panchkhal VDC. The club seeks to fulfil its mission through **programs** on (i) awareness raising, (ii) training, and (iii) physical infrastructure. To promote its mission, the club has ongoing **activities** on cleanliness campaign, latrine construction, and mothers' group formation under program (i). Similarly, under program (ii), agro-based income generation training and sewing and cutting training are planned. Finally, under the third program, access road construction/improvement, well construction/maintenance, tap water line installation, and soil control measures are ongoing.

#### ***Management Aspects***

There is strong agreement among club members that their **executive committee** has high meeting attendance; engages in strategic planning on a regular basis; has good working relations with the community; communicates regularly and effectively with members; can credibly represent the club to outsiders; can effectively advocate the club's case; and is small enough to be manageable. Similarly, the **group members** strongly agree that they have clear understanding of their roles; regularly attend to club meetings; engage actively in planning process; and actively implement the club programs. The club members need **training** on accounting/bookkeeping, conflict resolution, and strategic planning under organisational management. Similarly, under natural resources management, training is needed on forest conservation and forest production as well as other income generation training, e.g. mushroom production and sewing.

#### ***Financial Aspects***

The club finds difficulty in updating its financial records for various reasons. It reportedly does not have any **assets** or liabilities. Likewise, it does not have any **property or equipments**. Many outside supports come in-kind and materials for which valuation are not done. Annual **income** in financial terms is in average Rs. 25,000. Majority (75%) of which is donation and rest (25%) is the membership fee.

#### ***Linkages Aspects***

The club has undertaken various activities together with seven institutions – Panchkhal VDC, Kavre DDC, NGO Coordination Centre, Grameen Mahila Sanstha, Bal Udyan – Nava Jyoti (UNICEF), Dhairani CFUG, and PARDYP-Nepal. While, linkage with PARDYP is recent one, the others are two to four years old.

Interpretation of Organisational Capacity - 2004				
Planning	Management	Financial	Linkages	Overall
B	B	C	B	B

*Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap*

## Appendix 10 Institutional Capacity Profile of *Rani Pani Gram Sewa*

### **Rani Pani Gram Sewa Kendra, Dev Bhoomi- Baluwa VDC, Ward 8, Ranipani**

**Contact: Mr. Dinesh Choudhary, Coordinator**

The village service centre registered in 1995 has 67 members (male 78%) with Brahman majority (63%). Other members are from Newar, Shiva Bhakti, Chhetri and Tamang caste/ethnic groups. The executive committee has nine members (F5/M4) – all in the 21-40 age group. The education status of the males is up to certificate level, two females SLC level and three females are only literate. Only three of the members have taken some training.

#### ***Planning Aspects***

The **mission** of the services centre is to develop a model settlement (panchasheel gram) through building individual moral character and establishing physical infrastructures in ward numbers 7 and 8 of Dev Bhoomi, Baluwa VDC. The service centre seeks to fulfil its mission through **programs** on (i) promotion of individual moral character, and (ii) establishing physical infrastructure. To promote its mission, the club has ongoing **activities** on Pariyati Shikshya (class on Buddhism), Dana Shikshya (donation of grains, labour, knowledge), Shraddha (respect), natural life education, and awards and scholarships under program (i). Similarly, under program (ii), irrigation (starting from drip to mega irrigation), cottage industries promotion, drinking water management, hydro-met data collection, and health and other camps are planned.

#### ***Management Aspects***

There is strong agreement among the service centre members that their **executive committee** has good working relations with the community. They slightly agree that the executive committee is able to easily understand financial statements; communicates regularly and effectively with members; can credibly represent the service centre to outsiders; and can effectively advocate the service centre's case. Similarly, the **group members** strongly agree that they get equal share of program benefits. They slightly agree that they have clear understanding of their roles; and actively implement the service centre programs. Similarly, the membership turnover is gradual and manageable. The service centre members need **training** on accounting/bookkeeping, leadership, and strategic planning under organisational management and on agricultural inputs/seeds management.

#### ***Financial Aspects***

The service centre has net **assets** valued around Rs. 80,000 constituting mainly of one ropani land. Likewise, it has a steel almirah under **property or equipments** currently valued at Rs. 2,500. Many outside supports come in-kind and materials for which valuation are not done. Annual regular **income** in financial terms is Rs. 6,000 which is the value of grains donated by its members.

#### ***Linkages Aspects***

The club has undertaken various activities together with six institutions – Baluwa VDC, Kavre DDC, Rotary Club, Natural Health Organisation, Nepal Bouddha Pariyati Samiti and PARDYP-Nepal. The linkage with Natural Health Organisation is nine years old. While linkages with VDC and DDC are of ongoing type, it is one to three years old in other cases.

<b>Interpretation of Organisational Capacity – 2004</b>				
<b>Planning</b>	<b>Management</b>	<b>Financial</b>	<b>Linkages</b>	<b>Overall</b>
<b>B</b>	<b>C</b>	<b>B</b>	<b>B</b>	<b>B</b>

*Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap*

## Appendix 11 Institutional Capacity Profile of *Gramin Mahila Bikas Sanstha*

**Gramin Mahila Bikash Sahakari Sanstha Limited, Panchkhal VDC, Ward 8, Tinpile**  
**Contact: Ms. Goma Sapkota, Manager**

The women cooperative registered in 1995 has 871 female members. The caste/ethnic distribution of the members is Danuwar (35%), Brahman (31%), Chhetri (10%), Newar (10%) Dalits–Damai, Kami, Sarki (13%) and Tamang (1%). The executive committee has eleven members in the 22-35 age group. Six of them are only literate while rest have education up to SLC level. The chairperson has taken training in many areas.

### ***Planning Aspects***

The **mission** of the cooperative is to make women aware about institutional development through implementation of awareness raising programmes in Panchkhal and adjoining VDCs of Kavre district. The cooperative seeks to fulfil its mission through **programs** on (i) women's awareness raising, (ii) cooperative management, and (iii) partnership management. To promote its mission, the cooperative has ongoing **activities** on health check-ups, adult literacy, and eliminating unhealthy social customs under program (i). Similarly, under program (ii), upgrading the cooperative to banking level, upgrading the cooperative to district level, and increasing the shareholders to 1,500 are planned. Finally, under the third program, collaboration and coordination with others is ongoing. The cooperative has touched upon virtually all activities of a typical community development program.

### ***Management Aspects***

There is strong agreement that the **executive committee** of the cooperative has high meeting attendance; engages in strategic planning on a regular basis; has good working relations with the community; communicates regularly and effectively with members; can credibly represent the cooperative to outsiders; can effectively advocate the cooperative's case; and is small enough to be manageable. Similarly, there is strong agreement that the **group members** have clear understanding of their roles; regularly attend to cooperative meetings; engage actively in planning process; actively implement the cooperative programs and get equal share of program benefits. The cooperative members need **training** on accounting/bookkeeping, conflict resolution, leadership, and strategic planning and on agriculture and agro-based processing as well as on IG - weaving and sewing.

### ***Financial Aspects***

The cooperative has net **assets** valued around Rs. 435,000 constituting mainly of land/building and liquid assets. Likewise, it has furniture under **property or equipments** currently valued at Rs. 8,000. Annual **income** is around Rs. 1,600,000 half of which is the members' annual savings. Other major income heads are interest on loan (20%), and donation/grants (16%).

### ***Linkages Aspects***

The cooperative has undertaken various activities together with seven institutions – Panchkhal VDC, Kavre DDC, Women Development Fund, Nepal Rastra Bank, Manushi, Alternative Energy Promotion Centre and District Education Office. While, linkage with Manushi and Alternative Energy Promotion Centre is recent ones, the others are nine years old.

Interpretation of Organisational Capacity - 2004				
Planning	Management	Financial	Linkages	Overall
B	B	A	B	B

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap



## Appendix 12 Institutional Capacity Profile of *Laukeni Ghyangle Ban Samuha*

**Laukeni Ghyangle Bokse Ban Upabhokta Samuha, Anaikot VDC, Ward 2, Devasthan**  
**Contact: Mr. Kedar Nath Sapkota, Chairperson**

The Laukeni forest group registered in 1994 has 225 members (male 78%). The major caste/ethnic groups represented are Brahman (42%) and Tamang (40%). Rest are the Magars, Chhetris and Newars. The executive committee has nine members (1 female) in the 26-55 age group. Four are literate and rest have average secondary level education. None have taken special training thus far.

### ***Planning Aspects***

The **mission** of the forest group is to improve the local economy and environment through conservation and sustainable use of natural resources (mainly forest and water) in ward numbers 2, 1, 3 and 8 of Anaikot VDC. The forest group seeks to fulfil its mission through **programs** on (i) conservation of natural resources, (ii) utilisation of natural resources, and (iii) awareness raising. To promote its mission, the forest group has ongoing **activities** on provision of 2 forest guards, greenery expansion projects, and reviewing forest conservation maps under program (i). Similarly, under program (ii), scheduled forest opening, and devising penalty mechanism are ongoing. Finally, under the awareness raising program, individual consultations are held.

### ***Management Aspects***

There is strong agreement that the **executive committee** of the forest group is able to easily understand financial statements and the committee is large enough to be inclusive. However, there is slight agreement that the committee has good working relations with the community; communicates regularly and effectively with members; can credibly represent the forest group to outsiders; can effectively advocate the forest group's case; and is small enough to be manageable. Similarly, the **group members** strongly agree that those eligible have all been included in the group and they have clear understanding of their roles; actively implement the group programs, and get equal share of program benefits. The forest group members need **training** on accounting/bookkeeping, conflict resolution, fund raising, leadership and strategic planning under organisational management. Similarly, under natural resources management, training is needed on forest related issues as well as on income generating options.

### ***Financial Aspects***

The previous executive committee of the forest group has not yet handed over the records. It reportedly does not have any **assets** or liabilities. Likewise, it does not have any **property or equipments**. Annual **income** is in average Rs. 10,000 that is raised as membership fee.

### ***Linkages Aspects***

The forest group has undertaken various activities together with four institutions – Anaikot VDC, Nepal Australia Community Forest Project, Love Green Nepal and PARDYP-Nepal. While, linkage with PARDYP is recent one, the others are seven to ten years old.

Interpretation of Organisational Capacity - 2004				
Planning	Management	Financial	Linkages	Overall
B	C	C	C	C

*Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap*

## Appendix 13 Institutional Capacity Profile of Karkikhop Dhaireni Ban Samuha

### Karkikhop Dhaireni Ban Upabhokta Samuha, Anaikot VDC, Ward 1, Majhdihi Contact: Ms. Sharada Koirala, Chairperson

The Dhaireni forest group registered in 1991 has 67 members (male 97%). The caste/ethnic groups represented are Brahmans (58%), Newars (33%), and Shiva Bhaktis (9%). There are eight females in a nine member executive committee representing their male household members. The members belong to the 28-53 age group and almost all are just literate. Only three executive committee members have taken some training.

#### Planning Aspects

The **mission** of the forest group is to improve the local economy and environment through conservation and sustainable use of natural resources (mainly forest) in ward numbers 1, 3, 4 and 5 of Anaikot VDC. The forest group seeks to fulfil its mission through **programs** on (i) conservation of natural resources, (ii) production/utilisation of natural resources, and (iii) awareness raising. To promote its mission, the forest group has ongoing **activities** on provision of forest guards and greenery expansion projects under program (i). Similarly, under program (ii), scheduled forest opening, and rehabilitation of denuded land are ongoing. Finally, under the awareness raising program, provision of scholarship to school students is made.

#### Management Aspects

There is strong agreement that the **executive committee** of the forest group engages in strategic planning on a regular basis; has good working relations with the community; communicates regularly and effectively with members; can credibly represent the forest group to outsiders; can effectively advocate the forest group's case; is large enough to be inclusive; and is small enough to be manageable. Similarly, the **group members** strongly agree that those eligible have all been included in the group and they have clear understanding of their roles; regularly attend to group meetings; engage actively in planning process; actively implement the group programs, and get equal share of program benefits. The forest group members need **training** on accounting/bookkeeping, conflict resolution, leadership, strategic planning and group building exercise under organisational management. Similarly, under natural resources management, training is needed on forest related issues.

#### Financial Aspects

The forest group has net **assets** valued around Rs. 33,000 constituting mainly liquid assets. Likewise, it has furniture and cooking utensils under **property or equipments** currently valued at Rs. 20,000. Annual **income** is around Rs. 12,000 two third of which is the membership fee. Rest of income is made from sale of natural resources.

#### Linkages Aspects

The forest group has undertaken various activities together with four institutions – DFO-Local Forest Office (occasional), Nepal Australia Community Forest Project (five years), Love Green Nepal (one year) and PARDYP-Nepal (six years). Since eight years, it has also been a member of Federation of Community Forest User Groups of Nepal.

Interpretation of Organisational Capacity – 2004				
Planning	Management	Financial	Linkages	Overall
B	B	B	B	<b>B</b>

Legend: Rating A = Sufficient Capacity, B = Fair Capacity, C = Capacity Gap

## Appendix 14 Sample Capacity Improvement Plan of *Ekanta Basti Club*

**Ekanta Basti Yuwa Club, Dhotra Ward 8, Panchkhal**

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### CAPACITY IMPROVEMENT GOALS (DRAFT)

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*For Fiscal Year: 2061/062 BS*

<b>PLANNING CAPACITY</b>			
<b>Goal</b>	<b>Person Responsible</b>	<b>Date Due</b>	<b>Completed</b>
Follow-up DDC-Kavre for local plans on roads and drinking water	Narayan-ji	Continuous	
Get PARDYP-Nepal plans on agricultural technologies promotion	Govinda-ji	Asar 2062	
<b>MANAGEMENT CAPACITY</b>			
<b>Goal</b>	<b>Person Responsible</b>	<b>Date Due</b>	<b>Completed</b>
Look for training prospects for CBO staff	All members	End 2061	
<b>FINANCIAL CAPACITY</b>			
<b>Goal</b>	<b>Person Responsible</b>	<b>Date Due</b>	<b>Completed</b>
Seek financial resources / collaborative activities together with local NGOs	All members	Continuous	
<b>LINKAGES CAPACITY</b>			
<b>Goal</b>	<b>Person Responsible</b>	<b>Date Due</b>	<b>Completed</b>
Renew current relations with partner institutions through personal visits	All members	End 2061	