

Kingdom of Cambodia
Nation Religion King



Module 3
On
Planning and Implementing
Participatory Irrigation Management
and Development at the National Level

Prepared by: Ministry of water Resources and Meteorology

Dated: 22 / October / 2003

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Appendix N°...03...of Prokash N° 151...
Dated: 30 / 07 /2003

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Training Manual for Participatory Irrigation Management and Development in Cambodia

Module 3

PLANNING AND IMPLEMENTING PARTICIPATORY IRRIGATION MANAGEMENT AND DEVELOPMENT AT THE NATIONAL LEVEL

1. Overview of Module 3

Module 3 is about what needs to be done at the national level to plan and adopt PIMD. The objective of Session 1 of Module 3 is to give participants a clear understanding and consensus about how to adopt and implement PIMD effectively at the national level. The expected outcomes of Module 3 are the following:

1. Participants will know clearly the specific functions of the different organizations at the national level in the adoption, planning and implementation of PIMD, especially the National Secretariat for PIMD,
2. Two-year work plan for the National Secretariat for PIMD,
3. Two-year financial plan for implementing PIMD at all levels,
4. Brief plan prepared by each agency at the national level about how the agency will arrange suitable incentives and accountability measures to ensure their staff work effectively on PIMD,
5. A Memorandum of Agreement between national-level organizations involved in PIMD is prepared and signed to ensure effective coordination,
6. Mini training needs assessment,
7. Summary of module discussion and results of exercises,
8. Plan for future workshops and information exchange about PIMD,
9. Completed Working Group Assignment.

2. The context of PIMD in Cambodia

2.1 Challenges for PIMD

The main challenges for PIMD in Cambodia are:

1. Low profitability of irrigated agriculture,
2. Low productivity of irrigated agriculture,
3. Poorly developed markets, roads and financial services in rural areas,
4. Lack of strong rural institutions and support service providers,
5. Weak legal status of FWUC,
6. Lack of clear land and water rights,
7. Lack of coordination and consistency among the many aid agencies using different and contradictory strategies in the irrigated agriculture sector.

PIMD should therefore be designed to either overcome these constraints (in parallel with other programs) or to work within them. If coordinated well with agricultural extension, agri-business and rural development programs, PIMD can provide synergy to overcome constraints 1, 2, 3 and 4 above. PIMD policies and legislative action will be needed to deal with constraints 5 and 6. A National Secretariat for PIMD, coordinating arrangements and capacity building activities can overcome constraint 7.

2.2 Key advantages for PIMD in Cambodia

In contrast to the challenges, there is also a unique set of advantages in Cambodia for adopting PIMD. These are:

1. High level political commitment to PIMD,
2. Well placed and dynamic “champions” to promote PIMD,
3. There is no large, entrenched bureaucracy that is opposed to PIMD (as is the case in many other countries),
4. MOWRAM is a small agency, open to change and development,
5. FWUC will not displace any roles of MOWRAM, instead, they will substantially extend MOWRAM’s impact on the sector,
6. Lack of strong, rigid social structures to oppose PIMD,
7. Irrigated agriculture and institutional development are top priorities of government and donors,
8. Good potential for collaboration between irrigation and agriculture ministries,
9. Availability of experienced field workers and community organizers,
10. Openness of senior officials to learn lessons of PIMD in other countries.

The PIMD policy for Cambodia is designed to take advantage of the above situation. Broad-based strategic planning and implementation is required to make PIMD a success.

2.3 Review of four essential principles of PIMD

The PIMD program will be considered successful if the FWUC become capable of managing and financing irrigation systems and achieving acceptable levels of agricultural productivity in a sustainable way. PIMD must be designed to provide adequate incentives and capacity to water users to motivate and enable them to take over responsibility for managing irrigation systems.

For this, all four essential principles of PIMD are required. Let’s review these again. [The trainer should ask participants to state all four. They should be written on the board.] The participants and trainer identify the four principles, describe them and mention what can vary within each one. These are:

- 1) Empowerment and capacity building of FWUC -- This means that all water users served by a common irrigation system select FWUC leaders, establish the FWUC, agree on its constitution and rules and approve its basic policies. It means that the FWUC is established as an independent legal entity with the full decision-making authority to manage the irrigation system, based on the principles of ‘one irrigation system = one system of management.’ And it means that FWUC are capacitated to manage their irrigation systems, either directly or by commissioning service providers.

[What varies? Structure of the organization, what rules it has, policies of the FWUC, size and boundaries of the FWUC, how it enforces its policies.]

- 2) FWUC defines the water service and selects its service provider – FWUC leaders and members agree on what kinds of water services will be provided by the irrigation system and how they should be provided. The FWUC has the right to choose who will provide its irrigation services and to negotiate the terms and conditions for service provision. It appoints and authorizes the service provider to perform its functions.

[What varies? What kind of cropping pattern is desired by each FWUC? How does each FWUC want to schedule water deliveries? What is the schedule of activities for maintenance and repairs of irrigation facilities? Will the FWUC select its own members to provide the irrigation services or will it hire staff, make a contract with a contractor or request government staff to provide some services?]

- 3) Partnership and mutual accountability between the service provider, FWUC leaders, members of the FWUC, government and other service organizations – The service provider serves the FWUC leaders, as authorized. If not, service providers can be removed from their position. The FWUC leaders follow the will of FWUC members, as authorized by them in elections and meetings. If not, FWUC leaders can be removed from their offices. The FWUC, government and other organizations interact with each other as partners, not masters and servants. Arrangements for services, training, etc. are formalized by agreements between the parties concerned.

[What varies? The specific rules and arrangements that the FWUC uses to ensure that service providers are accountable to FWUC leaders and FWUC leaders are accountable to FWUC members; the specific kinds of support services that are provided to the FWUC (according to the local needs of the FWUC); the specific terms and conditions for service agreements between the FWUC and service provider.]

- 4) Demand-driven support system based on cost sharing – The government withdraws from direct management of the irrigation system and focuses on regulating the water sector, providing assistance and support services to FWUC and building capacity in the FWUC. New arrangements are created to provide support services on basis of requests from FWUC and based on the principle of cost sharing.]

[What varies? Specific details about restructuring government water sector departments, personnel redeployment, what services are provided to different FWUC.]

Why is it important that PIMD include all four of the above essential principles of PIMD? Because all essential elements are required in order:

- To produce enough incentives for farmers and government to support PIMD;
- To ensure accountability between farmers, FWUC leaders and government;
- To give FWUC the capability to take over management of their irrigation systems effectively; and
- To build capacity of government and the private sector to provide appropriate support services.

3. *Strategic planning for PIMD*

3.1 **Best practices for a strategic planning process**

Strategic planning is the process of preparing to make fundamental changes in the basic purposes, roles, responsibilities, structures and/or ways and means of doing business of organizations. Clearly, a complex change process like irrigation sector reform requires strategic planning.

The following are ten best practices of strategic planning for irrigation sector reform. They are taken from international experience and should be adopted for the PIMD Program.

1. Key stakeholders participate in discussions about the PIMD policy, implementation plan and assessments. This should include, among others, representatives of farmers (men and women); village, district and provincial government; NGOs; technical assistance projects and agencies; academic experts; agriculture, rural development, internal affairs, finance and water resources ministries; and, perhaps, the media.
2. Discussions with stakeholders are held in workshops, field visits, through research and other means. The objective is to share ideas and build common understanding and agreement among stakeholders about the vision and strategy for PIMD.
3. A National Secretariat and committees are created to coordinate formulation and implementation of policy and program.
4. Include experts from different organizations in the PIMD Secretariat and committees in planning and analysis activities. This could include people from different government agencies, technical assistance agencies, NGOs, universities, etc.
5. Mobilize high-level support for PIMD, both political and financial. Have statements by high-level leaders be issued publicly on a recurring basis. Put stories about PIMD into the newspapers, radio and television.
6. Action plans should be developed at the national, provincial and irrigation system levels by the stakeholders at each level. Higher-level planners should assist lower-level stakeholders to prepare their action plans, acting as facilitators, not dictators.
7. Action plans should not focus only on organizing FWUC. They should also include plans to restructure the support system for FWUC. New roles for government agencies should be identified and plans for restructuring and capacity building should be developed through a process of analysis and negotiation. This should include a human resources needs assessment and plans for personnel deployment, disposition and 'right-sizing' of agencies involved. This should include new roles for NGOs and the private sector in providing support services.
8. Include in the planning process explicit attention to ensuring that adequate incentives and accountability arrangements exist for stakeholders, including farmers and government staff, to support PIMD.
9. Implementation of capacity building for the National Secretariat, FWUC Support Teams and FWUC, through training courses and other methods.
10. Implement PIMD as a learning process, with monitoring, evaluation and continual dialogue, negotiation and improvement.

The above list could be used as a checklist by the National Secretariat for PIMD and other participants in the process to see to what extent the above practices are being implemented in the PIMD Program.

3.2 Basic tasks for adopting PIMD

In consultations, analysis and workshop discussions among professionals in the water and agriculture sectors of Cambodia, the basic tasks for adopting and implementing the PIMD policy have been identified. Details still need to be developed, but the following are the basic tasks for adopting PIMD.

[As a training technique, for each task the trainer should ask participants to identify how the task supports one or more of the four essential principles of PIMD. As a guide to help make the discussion complete, the following are some suggested linkages between the components and the essential principles.]

1. Complete the policy and legal framework

Circular No. 1 on Implementation Policy for Sustainable Irrigation Systems of 1999 states provides a legal status for FWUC, guidance about responsibilities for operations and maintenance, the principle of cost sharing and the role of government to provide support services, based on requests from FWUC.

The Policy for Sustainability of Operation and Maintenance of Irrigation Systems of 2000 elaborates the PIMD policy further regarding phasing out of government financing, the irrigation service fee, structure of the FWUC and responsibilities of the government for training and extension, monitoring and evaluation, environmental assessment and human resources planning.

In 2000, the Government issued a document entitled, Steps in the Formation of a Farmer Water Users Community. This provides a brief guide for how to establish FWUC.

Additional policy and legal issuances will be needed to provide a clear and comprehensive framework for all aspects of PIMD. Additional topics that will likely need further policy or legal issuances are about integrated water resources management, river basin organizations, allocation of water rights, roles of government in regulating the water sector and providing support services to FWUC, new arrangements for financing and providing government assistance to FWUC for irrigation system repairs and improvements and possible future restructuring of government departments.

2. Establish and develop the National Secretariat for PIMD

The purposes of the National Secretariat for PIMD are to provide the overall guidance and coordination for PIMD policy and program development, implementation, monitoring and evaluation. It will have the responsibility to ensure effective coordination with agricultural, agri-business and rural development programs. It will have full time and part time staff from different departments assigned to it.

As was discussed in Module 2, it is organized into several committees, including committees on policy and legislation; capacity building and service provision; financing irrigation; infrastructure maintenance, improvement and development; monitoring, evaluation and research; and irrigated agriculture and extension. Its staff will need to acquire new skills in participatory planning, irrigation finance, monitoring and evaluation, etc.

3. Mobilize support and public awareness

It will be important for PIMD planners to create awareness and understanding about PIMD among senior officials of government, members of parliament, donors, technical assistance agencies, donors, NGOs and provincial and district-level governments. They will need to conduct a public awareness campaign. Statements of support for PIMD from high-level government officials will need to be issued periodically.

4. Conduct strategic planning and mobilize resources

This involves development of action plans at the national and province levels, mobilizing funds and preparing budgets, assessments of future requirements for human resources and skills, training needs assessments, analysis of needs for restructuring government departments and designing a new model for providing financial and technical assistance to FWUC.

We consider a PIMD program as successful if the water users communities become capable of governing and financing the management of irrigation systems in such a way as to ensure the sustainable productivity of irrigated agriculture. International experience suggests that, to be successful, PIMD programs must be designed to provide adequate incentives and capacity to water users to motivate and enable them to take over responsibility for managing irrigation systems. And they must reorient government agencies to provide appropriate support services, as well as expanding the role of the private sector in supporting irrigated agriculture.

The following is a list of 14 essential lessons learned from international experience with PIMD. These are considered to be the essential components of an effective PIMD program for Cambodia and elsewhere:

1. High-level political commitment is mobilized and communicated,
2. Clear and consistent policies and legislation prevent interference with PIMD strategy by politicians.
3. Clear and strong legal status of FWUC,
4. Clear water use rights for FWUC,
5. Full decision-making authority for management transferred to FWUC,
6. Water users groups federate up to scheme-level FWUC,
7. New cost sharing arrangements for O&M, rehabilitation and modernization,
8. Clear high-level policy statement and information campaign about new cost sharing policy for O&M and rehabilitation,
9. During the PIM process, the irrigation agency puts first priority on building capacity of FWUC. Rehabilitation occurs only after transfer and new cost sharing arrangements are adopted,
10. The irrigation agency reorients its relationship to farmers from controlling to providing support services,
11. The irrigation agency goes through strategic planning to restructure itself (takes on new roles of regulation, river basin management, support services),
12. Strong parallel program to develop agriculture, marketing and agri-business.

Why is it important that PIMD be comprehensive and include the above-listed elements? (See Figure 3.2) Because international experience suggests that these elements are required in order to produce the necessary:

- incentives for farmers and government to support PIMD,
- accountability between farmers, FWUC leaders and government,
- capacity of FWUC to take over management of irrigation systems and
- capacity of government and the private sector to provide support services.

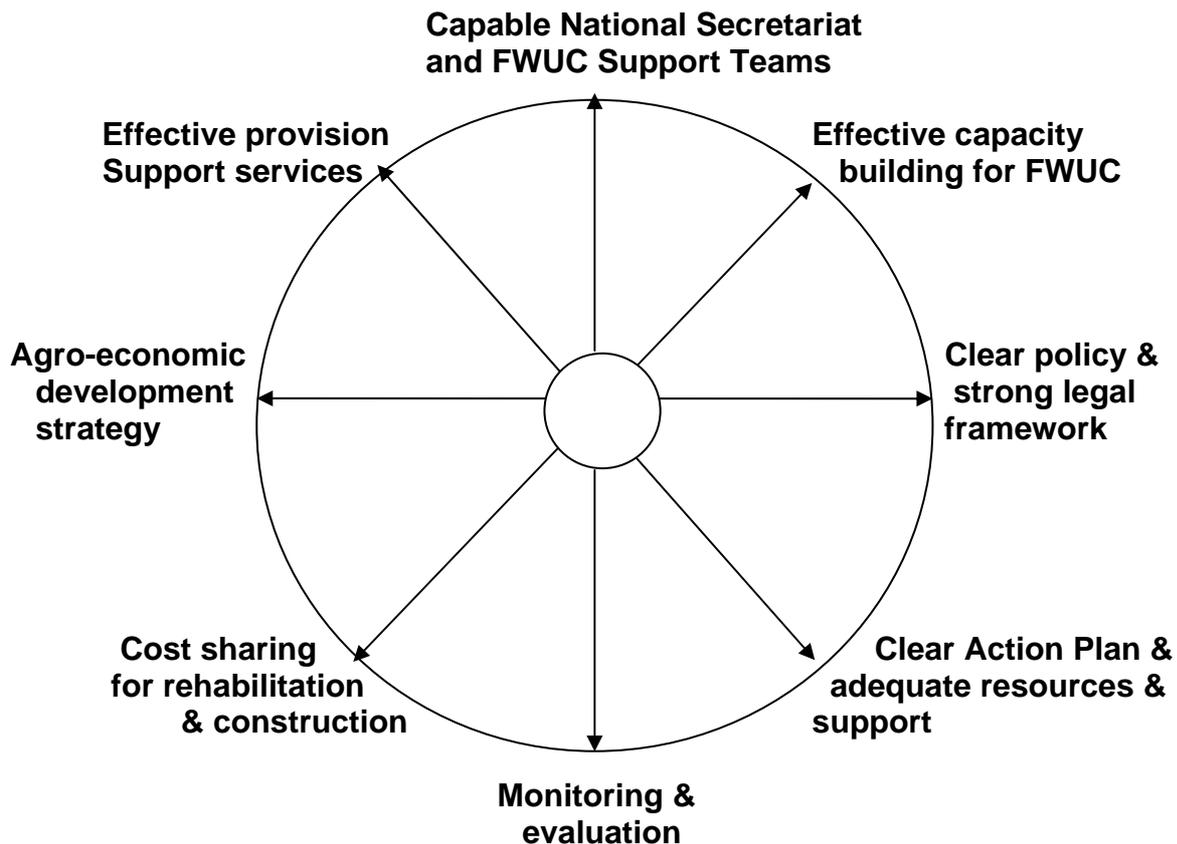


Figure 1. PIM Wheel of Basic Components

5. Training program

Training is needed for national-level officers, NGOs and others involved in planning, implementing monitoring and providing training at that level. Training is needed for FWUC Support Teams and elected leaders and management staff of the FWUC. Capacity building will be needed to help government staff to adopt their new roles and methods in providing support services to FWUC.

In addition to training conducted formally as part of the PIMD Training Program, the National Secretariat should hold regular meetings with FWUC Support Teams to discuss progress and solve problems together. In general, this will be more effective if done in the provinces, where the problems can be observed and discussed more directly. At the irrigation system level, the FWUC Support Team, District Resource Person and Farmer

Organizer should have periodic meetings with FWUC Management Committees to discuss their Irrigation Service Plans and walk along the irrigation canals to discuss problems and options. The FWUC Support Team and District Resource Person should act as a “coach” or “partner-in-development” with the FWUC, through frequent visits, rapid appraisals and attendance at key meetings.

6. Create FWUC and build capacity

FWUC will need to be created all over the country. Larger irrigation systems will have two or maybe three levels, starting with the Water Users Group on the bottom tier. Creation of the organizations must be facilitated and based on identification by the farmers themselves of their own irrigation system management requirements, the structure of their FWUC, their own rules and selection of their own leaders.

This requires a participatory approach that starts and ends with the farmers in charge of the process of FWUC development and management of their irrigation system. This will require a change in attitude and communication skills by many FWUC Support Team members. And it will require repeated meetings and walking-throughs of irrigation systems between FWUC Support Team staff and FWUC leaders. It will require periodic and continuing on site capacity building, training in on-farm water management, irrigation management audits and joint preparation of irrigation service plans, asset management plans, preparation of proposals for assistance and so on. This requires a long-term commitment by government and NGOs to work with the FWUC as partners, with the objective of building local capacity and self-reliance. Substantial time, human resources and budgets must be allocated to building the capacity of FWUC to manage their irrigation systems productively and sustainably. But the potential benefits are great and long lasting.

7. Develop new demand-driven arrangements for providing support services to FWUC

Additional dialogue, analysis and planning is needed for restructuring how assistance will be given to FWUC so that it is done in a manner that is consistent with the four principles of empowerment. This may involve establishment at provincial level of funds that can be allocated perhaps annually among irrigation systems based on requests and proposals received from the different FWUC. Criteria for eligibility and for prioritizing and selecting proposals should be identified and agreed to by government and FWUC representatives. Irrigation management audits and asset management plans may also be required, to ensure proper accountability in use of funds and in proper management of irrigation systems. A parallel agri-business development strategy should be developed, which will require a new farmer-driven approach for extension.

8. Design and implement monitoring and evaluation

Monitoring and evaluation (M&E) will be designed and implemented nation-wide, starting with the initial pilot provinces financed under the ADB Loan program, and eventually including all irrigation systems in the country. The M&E system will provide a data base on basic physical features of the irrigation scheme and its environment, condition of irrigation scheme infrastructure, the process and outcomes of organizing FWUC Support Teams and FWUC, process and outcomes of participatory infrastructure improvement, process and outcomes of agricultural extension and performance of irrigated agriculture.

The purposes of the M&E system are to provide a systematic database of all information necessary to enable the National Secretariat for PIMD to:

- Plan and supervise implementation of PIMD,
- Further revise and develop the PIMD policy and strategy and
- Mobilize additional resources for further actions in support of PIMD.

Specific objectives of the M&E system are to obtain all pertinent data, create an appropriate database and issue timely reports on PIMD. This will include information on at least the following components:

1. Condition of irrigation schemes prior to intervention,
2. Progress and problems encountered in building capacity in the RGC to implement PIMD successfully and provide essential support services,
3. Progress and problems encountered in establishing and building capacity of FWUC,
4. Progress and problems encountered in participatory infrastructure improvement,
5. Outcomes of FWUC development, infrastructure improvement and provision of support services,
6. Impacts of FWUC development, infrastructure improvement and provision of support services.

9. Establish new approach to planning, design and construction of new irrigation systems

International experience has shown that when the government identifies sites for construction of new irrigation systems, designs and constructs them without farmer participation or investment and then manages them for awhile, farmers have little motivation to take over management and feel that the system belongs to the government. It is the responsibility of the government to go on maintaining and paying the cost of managing the system. This is not a sustainable arrangement, even in more wealthy countries like Thailand, or even in the USA, where management transfer was a national policy beginning in the 1960's.

The following list outlines a new procedure for developing new irrigation systems in Cambodia consistent with the philosophy and principles of PIMD, which have as their objective the sustainable management of irrigation systems by the water users themselves (as much as is possible).

1. Farmers or government may identify a potential site for construction of a new irrigation scheme.
2. MOWRAM conducts a preliminary feasibility assessment, which includes extensive public consultation.
3. The potential service area and total set of prospective water users are identified.
4. In public consultation meetings, the prospective water users either agree or disagree to proceed with the project.
5. If it is decided to proceed, farmers must agree to pay a significant part of cost of construction (at least 25%, which could be contributed in labor).
6. Farmers agree to pay the future cost of the desired irrigation service.

7. The FWUC is established and an Irrigation Service Plan is prepared jointly by the FWUC Committee and DOWRAM. The IS Plan is then agreed upon before design and construction can begin.
8. Farmers and MOWRAM agree on a design.
9. Construction of the scheme is implemented with the FWUC and MOWRAM each conducting their parts of the work in parallel.
10. FWUC agree with the results of construction.
11. Training in irrigation system management and gradual capacity building is provided to the FWUC in irrigation management.
11. A Transfer Agreement is prepared and signed between FWUC and DOWRAM.
12. FWUC and DOWRAM prepare a revised first Irrigation Service Plan.

10. Adopt parallel FWUC-based agro-economic development strategy

The National Secretariat for PIMD should promote close collaboration with the MAFF agricultural extension department for activities that promote agricultural development and development of agri-business by FWUC. The FWUC Support Teams at the provincial level should also promote close cooperation between MAFF and MOWRAM. The FWUC should be seen as a vehicle for both irrigation management and agricultural development.

Success in these two areas will be important for ensuring success in PIMD. Crop diversification, commercialization of agriculture, development of markets and access to markets, increasing profitability of irrigated agriculture and expansion of income-generating opportunities through agri-business development will add importantly to the capacity and motivation of farmers to become self-reliant in managing their irrigation systems. Implementation of PIMD will enable water management to improve, which is a pre-condition for a successful agricultural development strategy. The Secretariat and FWUC Support Teams should support an expanded role for the private sector to provide agricultural support services.

3.3 Planning stakeholder participation in the PIMD process

In order to develop consensus and broad support for the PIMD process, the National Secretariat for PIMD will need to involve all key stakeholders in the processes of planning, capacity building, implementation and monitoring and evaluation. Stakeholders are those people who have some direct interest in the objectives and outcomes of PIMD. Table 3.3a below shows a list of stakeholders in PIMD and suggests what their key interests might be. They may have other interests which will become more clear as they participate in PIMD meetings and events.

3.4 Preparing a national-level Action Plan for PIMD

The National Action Plan for PIMD will identify specific tasks to be implemented, how these will be implemented and by whom, budgets required, sources of funds and time schedules for implementation. The National Secretariat should take the lead in coordinating this activity in cooperation with all departments involved in implementation or financing. The National Action Plan for PIMD should include plans for all the ten components described in section 3.2 above, plus any others identified during the planning process.

Table 3.3a Different Stakeholders in PIMD

<u>Stakeholder</u>	<u>Main Interest?</u>
FARMER	Farm Income
MOWRAM	Viable FWUC, budget for projects & assistance, capacity building
Urban consumer	Variety of cheap food
Traders & food merchants	Limited competition in marketing food
Local government	Success with projects, new projects, cooperation between departments
MAFF	Increased rice yields, crop diversification & commercialization; project funds
MEF	Better results from development expenditures
FWUC Committee	Improved irrigation, drainage & agriculture, support of farmers

4. *Summary of Session 1 of Module 3*

[Reporters present their reports of key points raised in discussions and exercises. Participants make corrections or additions as needed.]

End of Session 1 of Module 3

5. *Module 3 Session 2: Working Group Assignment*

Task 1: Prepare two-year work plan for the National Secretariat, including budget and assignment of responsibilities

Task 2: Prepare short plan about how each agency involved in PIMD will arrange suitable incentives and accountability measures to ensure their staff work effectively on PIMD

Task 3: Prepare a Memorandum of Agreement between national-level organizations involved in PIMD that specifies roles of each department and the arrangement for effective coordination

Task 4: Conduct a training needs assessment for government staff relative to implementing PIMD and reorienting to provide new support services

Task 5: Prepare a plan for future workshops and information exchange activities for PIMD

Task 6: Prepare and present a report to the National Secretariat (which provides comments) and subsequent finalization of report