



# **Guide for Planning and Conducting Process Documentation in the IEM Framework and LGU ENR Planning and Implementation (Draft)**

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## **IEM as a new approach to natural resource management**

Integrated ecosystem management (IEM) is the process by which political and resource management units in a certain ecosystem jointly recognize the benefits of collective efforts and decide to work together in planning and implementing individual programs so that each will contribute towards common goals. This approach is recognized and promoted in the Convention on Biological Diversity as well as the Philippine development plan for 2011 to 2015.

The IEM approach highlights the fact that all environment and natural resources (ENR) concerns and subsectors converge and interact at the watershed-ecosystem and political unit levels. A political unit may be of a larger watershed, ecosystem or sub-watersheds and a large watershed ecosystem on a ridge-to-reef landscape may include different types of ecosystems.

It requires close collaboration among stakeholders and governance bodies, with each one playing its own role and contributing to the overall agreed upon IEM vision. Collaboration enables greater result that can be achieved through individual efforts and ensures that the health of the whole ecosystem is sustained.

## **The IEM Project**

The National Program Support to Environment and Natural Resources Management Project (NPS-ENRMP) pilots the planning and implementation of IEM. With funding support from the World Bank and the Global Environment Facility (GEF), the project addresses the need for testing and refining tools and processes as well as translating policies and intentions into development outputs. The purpose is further refinement of processes/tools/techniques/policies and adjusting policies so that they become more effective and efficient.

As an innovation targeted for wider scale adoption, it is necessary to do process documentation on the pilot level implementation of this approach in the NPS ENRMP to enhance learning and adoption of IEM.

## What is Process Documentation, Why do it in IEM

Process documentation is a tool for providing an agency that adopts new intervention strategy continuous information about problems and issues emerging from field activities. The information fed back into decision-making is a major source for improving strategies, rules and procedures, thus helping the agency become more participatory and responsive (UNDP- WSP 1999).

Related to this, Knowledge Management (KM) comprises a range of strategies and practices used in an organization to identify, create, represent, distribute, and enable adoption of insights and experiences captured through process documentation. Such insights and experiences comprise knowledge, either embodied in individuals or embedded in organizational processes or practice. The conduct of process documentation on a project like the NPS ENRMP generates innovative approaches and mechanisms that need to be shared and disseminated to other development workers. Thus, these innovations and build up lessons are packaged in simplified and easy to follow literature that are referred to as knowledge products (KPs). The resulting process documentation and knowledge products are envisioned to be of paramount importance to policy and decision making bodies in the local governments and the DENR.

## Objectives of this Guide

This guide is intended as a handy and concise material to help facilitate process documentation in the field. It comes ahead of a more detailed process documentation manual that has been drafted through the NPS ENRM Project. Specifically, this guide has the following objectives:

1. To guide the formation and operation of a process documentation team in the field
2. To guide and enhance knowledge and skills on process documentation among field implementers of the project
3. To guide field level management in the processing and use of process documentation reports
4. To guide institutional arrangements and partnerships in process documentation

## Intended Users of this Guide

Intended users of this guide are the following:

- Field implementers of the NPS ENRM Project in the local government units (LGU) and Department of Environment and Natural Resources. These partners have been trained and oriented earlier on process documentation
- May also be used as reference guide by other IEM-related projects in DENR and other national government agencies as well as for local governments and non-government organizations

## Formation, Training and deployment of a Site ProDoc Team

### Composition:

In the context of the NPS ENRMP Project, process documentation is coordinated at the level of the site-based Project Management Office (PMO) working in tandem with the counterpart staff at the local DENR and partner LGUs. Thus, the typical composition of the Process Documentation Team is as follows:

Process Doc Team Coordinator: Site Project Manager or designated senior staff

### Team Members:

- LGU-Municipal Planning and Development Coordinator or Municipal Environment and Natural Resources Office (MENRO) staff from each partner LGU
- DENR community/city/provincial environment and natural resources officer (CENRO/PENRO) or regional level staff

Thus, there could be as small as five people in a team as in the case of the Kanan Watershed (i.e., the Site Project Manager, 1 from DENR 4A, 1 from CENRO Real and 1 each from the LGUs of Infanta and General Nakar), to as much as much as 18 people as in the case of Liguasan Marsh (i.e., 1 from the PMO, 1 from DENR Autonomous Region of Muslim Mindanao, 1 from DENR 12, 1 each from the three covered PENROs and 1 each from the 11 covered LGUs).

In terms of technical field or discipline, it is desirable that team members include those who have completed a degree in forestry, agriculture, social science, communication, and engineering. However, even if there are members who have different or unrelated fields, they can be taught and assisted in their responsibilities through process documentation trainings and on-the-job coaching.

## Orientation and Training

To appraise and capacitate the team in performing their responsibilities, they should be duly oriented on their process documentation functions and equipped with skills on journaling, interviewing key informants, conducting focus group discussions as well as field observations. They can use the Process Documentation Manual prepared under the NPS ENRMP Project as a ready reference.

## Deployment and Posting

In the case of the NPS ENRM Project, the deployment and post of each member of the Process Documentation Team is right in the LGU or DENR office where they hold office. Most of them are actually members of the Technical Working Group that back up the Watershed Management Council. They shall keep track and make written documentation of IEM project related meetings and activities that they undertake and submit their documentations to the Project Management Office-based Pro Doc Coordinator, who will in turn file them systematically for ready reference when preparing monthly process documentation reports.

## The IEM Steps and Processes (4 phases)

To situate well the task of process documentation in the NPS ENRM Project, it is important to be familiar with the steps and processes followed in IEM which comes in four phases with 14 steps within these four phases. These four phases as illustrated in Figure 1 are described below:

### **Phase 1** **Preparatory steps**

This phase is focused on the identification and selection of prioritized site that is to be the subject location of IEM planning and implementation, and the orientation, organization and capitiation of people who will be involved in the IEM planning and implementation. It involves an analysis of the chosen site, consultation with stakeholders concerned, formation, training and cross exposure of the Watershed Management Council and Technical Working Group who will be involved in the processes of IEM planning and implementation.

### **Phase 2** **Formulation of IEM** **Framework and LGU ENR** **Plans**

This phase tackles the preparation, review, and approval of the IEM Framework Plan and the subsequent LGU ENR Plan. These documents are reviewed and endorsed by the concerned LGU and DENR field units and approved by the Watershed Management Council.

The IEM Framework is a document that reflects the overall vision, direction and guiding principles for the conservation, development and management of an ecosystem area. Generic strategies are identified which are supportive of the vision, mission and goals set forth in the IEM Framework.

The LGU ENR Plan, on the other hand, is a document that takes off from the IEM Framework. It is meant to pursue into more site-specific actions the generic strategies spelled out in the IEM framework. An IEM framework may be fleshed out into two or more LGU ENR plans depending on the number of LGUs within the geographical coverage of the IEM ecosystem area for which the IEM framework was prepared, as well as the number of sectors/resources therein.

### **Phase 3** **Formulation of IEM** **Framework and LGU ENR** **Plans**

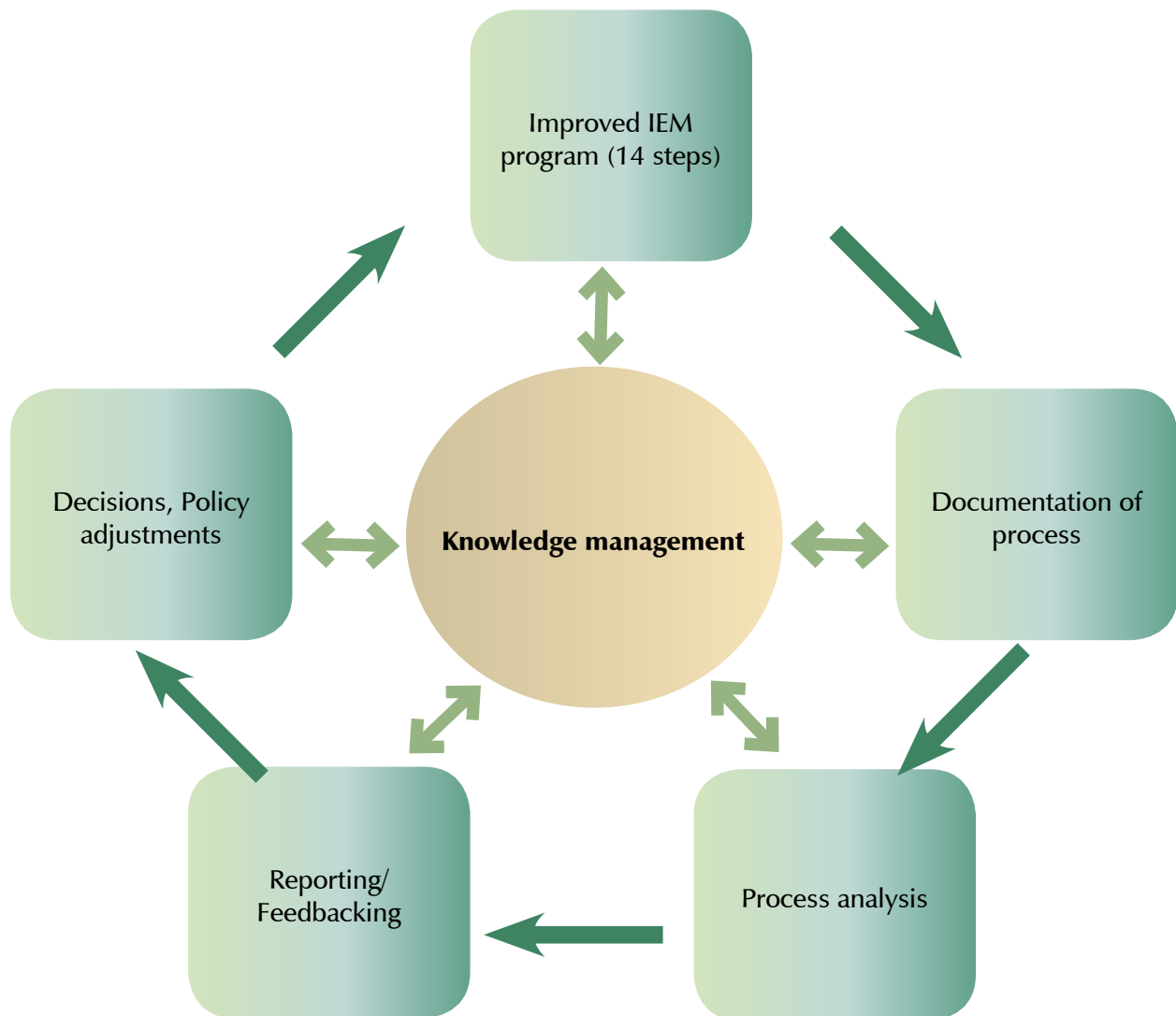
This phase centers on the implementation of the IEM Framework through the formulated LGU ENR Plans, along with the undertaking of enabling and support activities such as investment promotion, establishing ENR-sourced financing mechanism including payment of environmental services, aligning and leveraging funding from public and private sector in support of IEM implementation, information education and communication (IEC), and policy advocacy. At this stage, the LGU ENR plans are supported by developed and implemented sub-projects on rehabilitation of degraded areas



and income generating livelihoods. This phase requires oversight supervision of project implementation by the Watershed Management Council as supported by the TWG.

#### **Phase 4** **Monitoring and Evaluation**

This phase tracks progress of implementation and movement of the project accomplishment towards the preset IEM vision, mission and goals through a performance- based monitoring and evaluation system.



Cyclic process for improved implementation of IEM program aided by process documentation and knowledge management

## Attributes of a Good Process Documentor

Considering that the work of process documentation requires relating to people, keen observation, deep sensitivity and the ability to process and analyze a lot of information, the following attributes are desirable qualities for the process documentor:

- Is non-judgmental and can listen to many perspectives without an expert hat on.
- Can ask questions that stimulate critical thinking.
- Can dig below the surface or beyond the obvious and/or 'politically correct' answers.
- Is able to stay objective while also seeing the big picture, placing learning in context of the larger vision.
- Is culturally aware and conversant with the realities of the team's dynamic, most especially during pressured and tense situations.
- Has a good understanding of the change process the intervention is aiming to achieve.
- Is trusted by stakeholders, but can report findings without bias.
- Can synthesize large volumes of information to identify key lessons.
- Is skilled at communicating messages in positive ways.
- Has the technical know-how to operate a camera, video, as well as to write insights and edit materials gathered.

## Tools and Techniques in Process Documentation: Guide for Data Gathering and Note Taking

Information or data gathering can be done in two ways:

- Observing and recording activities with participant knowledge
- Collecting information indirectly

Tips:

- Cultivate habit of asking appropriate questions
- Never be satisfied with one answer: validate with others
- Resort to beat reporters' 5Ws, 1H. (What, Who, Where, When, Why, How)
- In recording information, don't weed out or interpret information unless analysis is part of your task
- Carry yourself not as an authority but as a student wanting to learn from your informants/respondents
- Know and call informants by name

## Guide for Preparing and Conducting Interviews:

Communicate and arrange interview schedule well in advance

- Date, time and venue
- Who are requested to attend (key informants)
- Documents, maps, pictures to make available

Prepare paraphernalia/materials to bring, such as:

- Questionnaire/checklist
  - Notebook, pen
  - Camera
  - Attendance sheet
  - Maps
- 
- Assign responsibilities as to interviewer, note taker/documentor, visual observer
  - Have a dry run or visualize the interview process
  - Introduce and be familiar with everybody, the interviewer's side and respondents
  - Explain purpose of the interview
  - Make the respondents feel relaxed and at ease
  - Maintain conversational, casual tone and where appropriate, some sense of humor
  - Maintain eye contact
  - Ask simple, easily understood questions
  - If needed, ask follow up, probing questions
  - Encourage participation from everyone
  - Be adept at discerning consensus with respect to the group's answer
  - Where necessary, conduct voting by raising of hands or by secret balloting then ascertain simple majority
  - Note discussions including divergent responses
  - Synthesize or summarize now and then to facilitate learning on side of interviewers and respondents
  - Avoid a situation where only one or two respondents monopolize the answering

## JOURNALING

Journaling is a term derived from journal and is increasingly being used to refer to the practice of recording observations on events and one's personal experiences. It originates out of, and has its roots in diary keeping. Applied to IEM process documentation, it is a tool to put on paper observations and personal thoughts and insights on developments at particular phase or step in IEM planning and implementation as they happen from day to day. Thus, it can be used in meetings, field activities and field visits. Some tips in journaling are as follows:

1. Write down key ideas only so as not to rush and be rattled in note taking
2. Have prior knowledge of the day and time of the activity; come early, leave later than the rest
3. Journal entries should be chronological; some blank space may be left unfilled for subsequent follow up notes
4. Review notes at end of day and enrich further
5. Be guided by the 5Ws, 1H (What ,Who, Why, When Where, How)

## Observing/Documenting Meetings: Tips and Guiding Questions

When documenting meetings,

- Note the agenda, the subsequent deliberations and resolutions on issues at hand
- For unclear statements said, seek clarification later from the speaker(s)
- Note action points and responsibilities assigned
- Record the next steps agreed upon

## KEY INFORMANT INTERVIEW (KII)

A key informant is person who has broad knowledge of the community and its concerns or has more specialized knowledge on a subject than others. KII is a data gathering technique that involves in depth interview with the key informant.

KII can be employed to gain more insights on specific subject or highly complex subject matter, to identify the gains, emerging issues, problems in project implementation. It is also useful identifying sectors that should be involved in the project as well as in the evaluation of proposed solutions to community problems.

Advantages of KII include quick insights on specific subject or highly complex subject matters. It helps secure highly sensitive data or when peer pressure may influence respondents answer in a group.

On the other hand the limitation of KII is that the key informants may represent only personal and local interests and not of the general population. Thus it is helpful, if needed to ask others as well to validate the information gathered.

Some tips in doing KII:

1. KII can be done as one-on-one interview.
2. Use earlier prepared topic guide and open ended questionnaire.
3. Use follow up or probing technique to get more detailed and truthful information.

## FOCUS GROUP DISCUSSION (FGD)

Focus Group Discussion is a data gathering technique where a group of participants are asked to meet to discuss specific topics. FGD is suitable for gathering sectoral information, assessing potential impacts of a development/activity on a specific sector, and evaluating community programs.

The identification and selection of a group to be interviewed may be based on socioeconomic class type of resource user (e.g., fisherfolks, upland farmers, wood carvers), level of expertise, and cultural or ethnic grouping.

FGD takes advantage of group dynamics, stimulating richer responses and allowing new information to emerge. It can also be done separately/repeatedly where there is felt difference among the various groups.

The disadvantage or constraint in FGD is that it requires high level of skills in managing or facilitating the group discussion. Generally, FGD is difficult and time consuming task as it entails transcription, reorganization, compilation, evaluation, and data analysis.

Some tips in doing FGD:

1. Selection of participants-requires that diverse views be represented
2. Participants are asked to meet and discuss specific topics with guidance from the facilitator
3. Use earlier prepared topic guides and open-ended questionnaire
4. Use probing questions to get more detailed and honest to goodness information

## USE OF PROBING QUESTIONS

In the course of interview, either with key informant or focus group, it is profitable to learn the art of asking probing questions to generate further detailed information on a subject under discussion. The sequence of discovery- understanding- and application questions as explained and illustrated below can help probe for deeper answers. The excerpts below came from an interview with a MENRO personnel of General Nakar, Quezon relative to their IEM project.

- **Discovery Question** - to surface facts
- **Understanding Question** - to dig deeper for better comprehension of the factual information first given or on related matter of particular interest to the project
- **Application Question** - to put into use or action the comprehensively understood information

Examples:

### **Discovery Question:**

Question: What benefits has your LGU derived from your established partnership with the DENR in the management of your forestlands?

Answer: It has helped us perform our devolved function of managing natural resources within our territorial jurisdiction.

### **Understanding Question:**

Question: In what way is that benefit important to your LGU?

Answer: As we are able to improve management of our natural resources, it redounds to better environmental services to our people.

**Application Question:**

Question: So as these benefits are accruing to your LGU and your constituency, what do you plan to do to sustain your partnership with the DENR?

Answer: We will also sustain our support for this partnership by incorporating it in our annual investment plan and provide needed ordinance support to pursue natural resource-based decisions.

**Guide For Conducting Retrospective Process Documentation****What and Why Retrospective Process Documentation**

Retrospective Process Documentation is coming up with recollective or reconstructive narrative account to complete the picture of what happened earlier in the implementation of an ongoing project from the start to the present. Said account leads to and would help explain the current implementation stage of the project.

There are some cases of programs and projects who realize the need to do process documentation at a time when they have already progressed in their implementation. Hence, the need to reckon with the past with more or less accurate account. This is especially true in the case of the NPS ENRM Project which follows a 4-phase, 14- step implementation process. There was realized the need to initiate and start process documentation right from the start of the project to capture the processes the project went through in the planning and implementation of IEM in the four pilot sites. This way, best practices are documented while maximizing opportunities for learning and thus improving project implementation. The insights gained will also be helpful in replicating and upscaling IEM in other regions of the country.

**Sources of Information**

As the project is in progress, there is usually rich source of information to complete the narrative account for the past period of implementation. It just requires concerted effort to access and retrieve information with full cooperation of all persons concerned. Listed below are the possible sources of information in the context of the NPS ENRM Project:

1. Project documents
2. Memorandum of agreements
3. Official communications
4. Work and financial plans
5. Inception reports
6. Progress reports
7. Technical assistance reports and updates
8. Minutes of meetings of TWG, WMC, committees
9. Reports of travels and exposure trips
10. Activity reports
11. Memory accounts of projects partners
12. Project brochures, publications, press releases
13. Project photos
14. Observations in project site visits

## Method

The methodology for retrospective process documentation may be broadly categorized into three, namely, document review, interview and site visit/observation. Guiding tips for each of these are given below.

### *Document Review*

1. Note the type of document being reviewed, who prepared it and to whom it was submitted
2. Go through and read all the documents, take down notes and get a grasp of their overall content, relating it to the overall IEM phases and steps
3. As you progress, list other documents you can refer to, individuals to interview, or visits to do to have better picture of the subject being documented

### *Interviews*

1. List key informants to interview and arrange interview schedules with them. Persons to interview may include the project manager and staff, consultants, project partners in the DENR field offices, LGUs and other partner institutions or organizations, and project beneficiaries in the community
2. Systematically record and file information collected for easy access and retrieval for analysis and processing

Tips for doing Key Informant Interviews and Focus Group Discussion are given in the subsequent sections below in this Process Documentation Guide

### *Site Visit/Observation*

1. Plan ahead and arrange with persons concerned for the conduct of the visit, informing them of the purpose of the visit and the information you wish to secure
2. List the information to obtain and the part or aspect of the field operation you wish to observe. Be ready with questions you wish to ask, particularly relative to the completed phases and steps of IEM as implemented in the field
3. Note who the project partners are, their role in project implementation and the emerging benefits and impacts of the project to them.
4. Note the emerging impacts of the project to the environment
5. Note problems, issues, needs, and opportunities in the course of project implementation

## Writing the Report

Having obtained all the needed information, the retrospective narrative account can now be written following a chronological sequence of the IEM phases and steps so far completed. At the end of the report, the following IEM guideposts to IEM implementation can be responded to:

1. What are our major achievements so far relative to our project vision, mission and objective?
2. What are lessons we are learning in IEM planning and implementation?
3. What are implementation issues and problems do we have to resolve to better pursue our targets?
4. How can we improve further the way we are doing things (enhanced strategies)?
5. What are best practices, success stories we can share to benefit others?
6. What are fresh challenges and opportunities to enhance IEM implementation?

## Guide in Preparing the Monthly Process Documentation Reports

Using and referring to the compiled minutes of meetings, activity reports, pictorials for the current month, the focal person for ProDoc at the Regional PMO shall prepare a monthly process documentation report referring to the guide questions for each of the IEM steps as indicated in the table below. Further to this, based on the process documentation report for the month, a summary document on the Six Guideposts for the Management for the month (see next section below) shall be prepared by the RPMO for submission and inclusion to the agenda of the TWG and WMC in their upcoming meeting.

Steps in IEM and corresponding process documentation guide questions

<b>IEM Steps</b>	<b>Process Documentation Guide Questions</b>
1. Identify, prioritize, carry out scoping, and select IEM sites	Q1. What did you do under each of the process? Who were involved? What triggered the process?
2. Conduct stakeholders consultation and IEM orientation	Q2. What guides, template, instrument, manual, or technique did you employ for each process or step?
3. Create, form, and orient expanded PAMB or WMC and TWGs for the IEM Framework and ENR Planning	Q3. What reports, agreement, policy, actions, or outputs resulted from each of the process?
4. Conduct training on IEM planning and implementation including cross visits to IEM-related initiatives	Q4. What kind of institutional arrangements or official actions ignited collaboration?
5. Prepare, review, revise, and approve IEM Framework Plan (authorizations of SBs by each LGUs including provinces, and endorsed by DENR field units)	Q5. Who covered the cost for these processes?
6. Prepare, review and approve LGU ENR implementation plans with selected ENR sub-sectors as entry points (endorsement or approval by SB and LCE, and affirmed by the WMC or expanded PAMB)	Q6. What issues, challenges, problems did you encounter in each of the process? How did you cope up or resolve them?
7. Implement LGU ENR plans in support of the approved IEM framework plan	Q7. What are you doing to implement your IEM framework and LGU ENR plans?
8. Implement DENR and province-wide IEM activities that cut across LGUs such as M&E, IEC, investment promotions, and policy advocacy for regional or national actions	Q8. What do you plan to do in the future?
9. Hold periodic meetings of LGU-DENR Steering Committees to review progress, plan, resolve issues, and direct LGU-specific ENR plan implementation	Q9. What kind of tools (guides, templates, instruments, policy, ordinance, etc.) will you need to strengthen implementation, financing, and M&E?



IEM Steps	Process Documentation Guide Questions
10. Hold periodic meetings of expanded PAMB or WMC to review IEM implementation plan -DENR and province-led activities; provide oversight; plan; resolve issues and discuss lessons.	Q10. What problems, issues, challenges do you expect to come up?
11. Prepare sub-projects to leverage funds from MDFO, NGAs, NGOs, and provide counterparts. Under ENRMP, SPs through the DoF/MDFO for livelihoods and rehabilitation	Q11. What do you intend to do in anticipation of the expected issues and problems?
12. Align and/or leverage financing from public and private sectors in support of the IEM and LGU ENR plan implementation	Q12. Who will shoulder the cost for these steps or processes?
13. Establish ENR-sourced financing mechanism including PES and others to sustain implementation of approved IEM framework and LGU ENR plans	Q13. What are the processes that this went through and what are the agreements reached?
14. Establish simple, useful, and replicable M&E system for the whole IEM site and in each LGUs	Q14. What assistance will you need outside DENR or the LGU?

### Six Guideposts for the Management Based on the Process Documentation Reports

1. What are our major achievements so far relative to our project vision, mission and objective?
2. What are lessons we are learning in IEM planning and implementation?
3. What are implementation issues and problems we have to resolve to better pursue our targets?
4. How can we improve further the way we are doing things (enhanced strategies)?
5. What are best practices, success stories we can share to benefit others?
6. What are fresh challenges and opportunities to enhance IEM implementation?

## Management Decisions and Actions

At the site level, the Watershed Management Council shall discuss and deliberate on the Technical Working Group- prepared and endorsed synthesis report on the above six guideposts. Lessons learned, challenges opportunities, and implementation issues and problems shall be considered in their decision for enhanced strategies of project implementation. Policy decisions or improvement of existing policies may also be arrived at to improve local ENR management. Screened best practices and success stories can be recommended for knowledge product development and subsequent dissemination so others can learn and adopt IEM.

At the national DENR level, recommendations generated from the M and E technical assistance and the Process documentation- elevated major achievements, lessons learned and best practices from the regional pilot sites shall be inputted to the drafting and finalization of a Department Administrative Order on the nationwide promotion and adoption of IEM.



