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Discussion paper - Brazil

## ***Stronger by association***

*Improving the understanding of how forest-resource based SME associations in Brazil can benefit the poor*



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*Stronger by association: understanding how small forest enterprise associations can work for the poor*

This study is part of a cross-country initiative coordinated by the International Institute for Environment and Development (IIED) with the above title and supported by DFID. It spans Brazil, China, Guyana, India, South Africa and Uganda. The overall research objective is to improve understanding about how forest resource-based SME associations can work for the poor. It will be achieved through the generation, spread and application of knowledge regarding enabling policy frameworks and key features of the functioning of effective, equitable and sustainable associations. Association lies at the heart of attempts by small and medium enterprises (SMEs) to foster pro-poor growth –fighting scale disadvantages and political marginalisation to capture the benefits of globalization. SMEs based on forest resources can play a major role for sustainable livelihoods in many rural areas where few other alternatives to subsistence and poverty exist.

Reports in the series available from IIED on request, and soon to be downloadable from [www.iied.org/forestry](http://www.iied.org/forestry), include initial analyses of small-medium forestry enterprise associations.

For a wide range of published reports from IIED's previous 3-year initiative on ***Instruments for sustainable private sector forestry*** see [www.iied.org/psf/publications\\_def.html](http://www.iied.org/psf/publications_def.html)

## **Executive Summary**

The creation and consolidation of associations based around small and medium enterprises (SMEs) in frontier areas are often an attempt to overcome poverty and disadvantages of political marginalization. These associations of marginalized migrants, dependent on both agricultural and forest resources can therefore play major role in enhancing sustainable livelihoods in many rural areas.

The formation and function of these associations is the focus of this report. The report describes and analyses 12 associations now active at the forest frontier in Amazônia – through interviews with association leaders. The report's objective was to assess what characteristics determine a "good" or successful association. In order to triangulate the views of association leadership with those of association members we also conducted a survey of 265 people linked to those same forest sector associations. This two-fold approach afforded greater clarity in understanding the critical characteristics of association.

The report set out to test four hypothesis about associations and conclusions relating to those hypothesis are listed below:

***Cohesion*** – does association functionality depend on particularly strong mutual aspirations?

- In frontier areas people do not share a common history and background - and this initial context constrains and challenges the formation of associations.
- Most association form ostensibly to promote long term social and environmental good such as "community self-help" – but they often have other important short term economic interests as well.
- There are significant instances of associations being used as political tools that tend to favor certain groups associated with them. In such cases, concerns over economic equity are often not adequately addressed with problems in the long term
- While external support is vital, it is not sufficient if there is no internal cohesion and motivation for participation.

***Resilience*** – does association functionality depend on the credibility and legitimacy of decision making?

- Almost all associations stipulate adequate attendance at meetings as a membership requirement

- Dynamic leadership was correlated with association health – but longer term resilience requires the development of robust institutional procedures (e.g. as in RECA)
- Many associations fail after not more than 5 years, or suffer a decline in performance due to the incremental loss of motivation – often associated with failure to pay membership costs or attend meetings.

**Equity** – does association functionality depend on the adequate representation of interests (including gender)?

- Most associations' problems can be traced to loss of trust in leadership, lack of proper management or failure to collect and administer financial resources properly.
- Membership tends to be biased towards men – which may explain the flourishing of several strong women's associations to promote their interests.

**Support** – does association functionality depend on the degree to which policies and institutions are supportive?

- External support, including financial, administrative, technical and logistical help is both widespread and essential to keep associations running. None of the associations in our survey had been strictly self-sufficient.
- A striking feature of the survey results is the degree of interdependency among the different associations – some of whom have mutual interdependency.

In terms of success, many associations meet their short-term objectives – which are often economic in nature - but the longer term reasons for which associations form such as “community self-help” or less frequently cited environmental sustainability may not be achieved. In select cases, the triumvirate of social, environmental and economic objectives are met, but this is not common.

Associations fail in many instances due to a fall off in interest, not primarily because of a lack of results. The pattern seems to be one in which associations at the Amazon frontier are formed with extraordinary frequency – but that they have difficulties in continuing indefinitely. A useful approach may therefore be to accept expectations based on short-term economic goals for associations – but ones which are consonant with longer term social and environmental benefits, and to judge success by the achievement of those goals.

Despite the take-home message about how strong collective action can further sustainable development at the forest frontier, it is important to note that this is not the only determinant of success for agricultural associations. Other constraining factors exist. For instance, barriers may include the lack of market infrastructure, inadequate

access to information, or inadequately skilled human capital. Moreover, sociocultural heterogeneity, geographic isolation and lack of access to infrastructure / communication and risk aversion also prove to be significant obstacles.

Within the Brazilian Amazon, the emergence of collective action has grown substantially since the end of the military regime in the middle 1980s. Rural workers unions, associations and other grassroots organizations have flourished with support from the Catholic Church and NGOs, and are now beginning to consolidate in the region.

In frontier regions in the Brazilian Amazonia, farmers' organizations are one of the most important factors in supporting permanent settlement. Analysis of frontier development that emphasizes only market forces and other structural features will fail to capture the nuances and dynamism of frontiers because it ignores the power of farmers' collective action.

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## 1. Introduction

The creation and consolidation of associations based around small and medium enterprises (SMEs) in frontier areas consist of an attempt to overcome poverty and or disadvantages of political marginalization. SMEs based on agricultural as well as forest resources can play major role for sustainable livelihoods in many rural areas.

### *1.1 Introduction to collective action*

Farmers' associations are concrete examples of institutionalized collective action<sup>1</sup>. Throughout human history individuals have relied on the collective for their survival, defense, and safety (Sandler 1992). Existing organizations can facilitate collective action. However it can happen without a coordinating organization. Collective action is particularly visible in community level efforts to build and maintain local infrastructure for natural resource management and agricultural activities (Meinzen-Dick et al., 2002; Knox et al. 2002)

Davis and North (1971) base their principles for organizational capacity on transaction costs. In their analysis, transaction costs influence whether people only realize the potential benefits of collective action and whether they organize for it. Collective action tends to take off when participants are fewer and share socio-cultural values. It helps if the net benefits of cooperation are large and relatively certain, or if participants are less risk averse. It also helps if there is good access to transportation and communications infrastructure and if there are existing organization structures for pursuing new collective action (Meinzen-Dick et al. 2002; Knox et al. 2002).

Recent commentators have proposed that collective action is composed of the following elements: interests, organization, mobilization, and opportunity (Tilly 1978; Hall 1997; Tilly 2004). Interests are seen as gains or losses resulting from a group's interaction with other groups. Organization refers to the structural processes, which have a direct impact on the capacity of a group to act on its interests. Mobilization is seen as the process of acquiring collective control over the resources needed for action. Opportunity has to do with the relationship between a group and the political environment around it.

Although groups are usually constituted to pursue the collective well being, the pursuit of private gains by constituent agents may lead to outcomes that spell disaster for collective benefits. According to Olson (1965), collectives may fail to form, or, when formed, may fail to achieve an optimal level of action because of such personal disruption.

Sandler (1992) has suggested that the success of collective action depends on basically three themes: groups size, group composition, and institutional design. Yet other authors note the additional importance of motivation as component of successful collective action processes. Motivation to cooperate depends not only on quantifiable economic benefits and costs, but also on social factors such as time involved and the gratification or tension associated with participation. When there are sufficient incentives but governance mechanisms are lacking, local leaders or external community organizers can play an instrumental role in developing local mechanisms. This assistance can be seen as reducing the transaction costs of organizing. However to be sustainable over time, these governance mechanisms must be institutionalized and not be dependent of single person's actions (Meinzen-Dick et al. 2002, Knox et al. 2002)

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<sup>1</sup> The Oxford Dictionary of Sociology (Marshall 1998: 85) defines collective action as: "action taken by a group (either directly or on its behalf through an organization) in pursuit of members' perceived shared interests."

Despite the important implications of collective action in achieving successful associations, it is important to note that this is not the only determinant of success or failure. Other issues are also critical, such as market infrastructure, information flows, and human capital (Knox et al. 2002, Meinzen-Dick et al. 2002). Lack of collective action could also be due to: sociocultural heterogeneity, lack of access to infrastructure and communication facilities, and aversion to risk (Meinzen-Dick et al. 2002, Knox et al. 2002).

Within the Brazilian Amazon, the emergence of collective action has grown substantially since the end of the military regime in the middle 1980s. Rural workers unions, associations and other grassroots organizations, with support from the Catholic Church and NGOs, have started to consolidate within in the region (Hall 1997). During the 1980s, services provided by the state were very weak, but farmers organized themselves for mutual support, such as technical assistance or marketing. In the mid 1990s they finally had access to credit for investing in agriculture (Muchagata 2002).

In frontier regions, farmers' organizations have become one of the most important factors in supporting permanent settlement. Analysis of frontier development that emphasizes market forces and other structural features alone fails to capture the nuances and dynamism of frontiers because it ignores the powers of farmers' collective action. Frontier development has been a result of the action of different actors, and farmers' organizations can play a very particular role in this (Muchagata 2002).

### *1.2 Our conceptual framework for collective action*

In this study we analyzed 12 associations in two frontier areas in Brazilian Amazonia, the Transamazon Highway, Pará State, Eastern Amazônia and Acre. In this analysis we considered external as well as internal factors that contribute to associations' success. When interviewing the leaders of the associations and describing the associations themselves, we tested four main points hypotheses:

- 1 - COHESION – Association functionality is dependent on particular strong mutual aspirations
- 2 - RESILIENCE – Association functionality is dependent on the credibility and legitimacy of different types of decision-making processes and association governance
- 3 - EQUITY – Association functionality is dependent on the extent and adequacy of representation of different interest groups including gender representation
- 4 - SUPPORT – Association functionality is dependent on the degree to which policies and institutions are supportive

As our survey deliberately assessed the historical emergence of associations we became aware of the importance of human actors and their collective impact in transforming the frontier, as opposed to the general emphasis found in the literature on structural or policy factors. The varied patterns of resource use are typically the result of human actor's interactions with one another in local and broader arenas. Strategic and heterogeneous groups confront each other for access to and control over resources. Social alliances develop based on shared interests, material or symbolic, more or less attuned. In the process of forging these alliances, boundaries are set and identities defined. These alliances can often join together in specific social or political action, uniting people from different social classes, to shape the social, economic and environmental landscape.

In the same way that associations and broader social alliances shape the social, economic and environmental landscape, so the landscape affects the social alliances that form within it. The pattern of establishment, alignment and death of association in the Amazon can be thought of as an important part of the broader human ecology of the region.

### *1.3 Importance of NGOs the Catholic Church and FNO-Special*

Another important preliminary point is that it is difficult to disaggregate associations from the activities of diverse types of local NGOs within the region. These local NGOs perform a number of key functions in assisting communities to organize and articulating their views more effectively. NGOs are particularly critical in cases where there is little tradition of collective action and high heterogeneity within populations, such as the case of the colonist farmers in the Brazilian Amazonian frontier. Yet the expanding role of NGOs and Churches in the frontier was—and continues to be—quite sensitive. On one hand, they stimulate the creation and strengthening of grassroots movements. On the other hand, they want to control the grassroots organizations, sometimes showing paternalists behavior.

One of the best examples of the mutual interaction between NGOs and associations among colonist farmers of Amazônia was the case of the new line of agricultural credit negotiated in the 1990s. In order to cover the financial gap caused by the withdrawal of the World Bank's support for large scale development projects, Brazil's new constitution of 1988 created the *Fundos Constitucionais de Financiamento* (Constitutional Funds for Financial Support). According to the new constitution 3% of national taxes would be diverted to a fund to be applied in productive sectors in the least developed regions such as the North, Northeast and Central West. Of this 3% 0.6% were earmarked for the North (including Amazonia, called FNO), 1.8 % for the Northeast (FNE) and 0,6 % for the Central West (FCO) (Tura 2000: 29)<sup>2</sup>.

In the 1990s, organized colonist farmers represented by state FETAGRI and CUTs<sup>3</sup>, as well as by the National Rubber Tappers Council and other support organizations, questioned the form in which the FNO was being channeled into the Amazon. In the 90's the democratization and simplification of access by small farmers to the FNO became the most important political goal of the Amazon's *Movimento Sindical de Trabalhadores Rurais* (MSTR- Rural Workers Union Movement) The MSTR advanced this goal through a well-organized form of protest, called a *Grito do Campo* (literally translated as Cry from the Field), in major cities of the Amazon. Beginning in 1991, the *Grito do Campo I, II and III*, and *Gritos dos Povos da Amazônia* (Cries of the Peoples of the Amazon) mobilized thousands of farmers, leading BASA (Bank of the Amazon, responsible for the FNO) to change the credit policies they had adopted (FOE 1996).

This new credit line became known as *FNO-especial* (Special FNO). It included several important innovations. For example, it eliminated the requirement that farmers hold legal title to their land to qualify for funds, allowing them, instead, to request funds as communities of farmers through associations. Through the *Gritos* the rural workers had succeeded in organizing themselves, reflecting on their own conditions, and fighting for their own voice and political

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<sup>2</sup> We do not discuss the consequences of the implementation of the FNOs. The main discussion here is the acquisition of these benefits through grassroots movements. For details about the projects and its consequences see Tura 2000.

<sup>3</sup> FETAGRI is an organization that represents more than 300 small farmers organizations. CUT stands for *Central Única dos Trabalhadores* and it is a very important worker organization in grassroots scenario in Brazil.

power. What makes the *FNO-especial* different than the previous regional policies is that it was not established by a top-down mandate, but, rather, it was the product of intense social mobilizations of rural family producers trying to shape their own reality, making government funds more accessible (Tura 2000).

An unfortunate consequence of the FNO Special was that it catalysed a wave of associations built purely out of the need for credit. Associations stand greater chance of survival if they arise through a bottom-up process. In other words they should be born and evolve in a social, politic, economic and cultural context. They should be a product of people's struggle and hunger for change. In this case, the role of the government should have been to give incentives not only for their formation, but also for their activities – rather than simply imposing the formation of associations (like the FNO Special did!). As a consequence, people got together only to obtain access to credit, and not necessarily to work together for any other improvement in their livelihoods. Therefore, throughout the Amazon there are thousands of associations that are merely “paper associations” that were only created to access credit.

## **2. Methods and sample**

### *2.1 Leadership questionnaire and description of associations*

Descriptions prepared in this document were taken from knowledge of the associations gained through a survey of association leaders. The results included the following elements (see section 5).

- (i) History of association formation, its longevity and the drivers of collective action
- (ii) Decision making processes and governance – the transparency of decision making, accountability mechanisms and re-election
- (iii) Credibility of representation including selection procedures, measures to address gender balance, criteria for membership and extent of active enrolment
- (iv) Presence of active support structures or constraints – either policies or institutions, their origin and functioning and level of interaction with associations.

This report describes 12 associations linked to the forest sector in the Brazilian Amazon. Eight of the associations are from the state of Acre and four are from the Transamazon highway in the state of Pará.

The associations described in the report include the following (see section 5 for more details):

**Table 1. Associations described in this report**

<b>No.</b>	<b>Name of association</b>	<b>Description</b>
1	<b>AMOPREB</b> - Associação dos Moradores e Produtores da Reserva Extractivista Chico Mendes de Brasiléia	Represents and defends the interests of the Chico Mendez extractive reserve
2	<b>AMMPAE-CM</b> Associação dos Moradores e Produtores do Projeto Agroextractivista Chico Mendes. Colocação Fazendinha, Seringal Cachoiera, Xapurí, AC	Represents certified community forest management in an extractive reserve
3	<b>APLUMA</b> - Associação dos Produtores Rurais em Manejo Florestal e Agricultura. BR 364, Km 80, Ramal Nabor Junior, Km 22, Senador Guiomar, AC, and Ramal Grenada, Acrelândia, AC	Represents externally established certified community forest management association
4	<b>CAPEB</b> - Cooperativa de Produção Agropecuária e Extrativista dos Municípios de Eptaciolândia e Brasiléia	Represents a cooperative of small agricultural producers and agro-extractivists (inc. Brazil nut)
5	<b>CHICO MENDES</b> - BR 317, Km 52, Seringal São Cristóvão, Brasiléia, AC	Represents a small group of commercializing extractivists and ecotourism
6	<b>RECA</b> - Reflorestamento Econômico Consorciado e Adensado. BR 364, Km 1071, Nova Califórnia, RO	Represents a large cooperative for agroforestry produce
7	<b>STR</b> - Sindicato de Trabalhadores Rurais de Brasiléia e Eptaciolândia	Represents a large association of rural producers playing a role in environmental management in the Amazon
8	<b>WILSON PINHEIRO II</b> - BR 317, Km 5, Ramal Esperança, Brasiléia, AC	Represents a small group of producers and extractivists of NTFPs
9	<b>APRAAR</b> - Associação Dos Pequenos Produtores Rurais De Altamira E Região	Represents a now diversified grouping set up to allow STR to benefit from new credit lines
10	<b>COOPERSAME</b> – Cooperativa dos Agricultores de Medicilândia	Represents a group dealing with highly competitive cocoa production
11	<b>EMANUELA</b> - Associação De Mulheres E Campo E Cidade De Porto De Moz	Represents womens interests to improve income generation in forest areas
12	<b>MMCC</b> - Movimento de Mulheres do Campo e Cidade do Municipio de Placas	Represents womens interests for helath, education and income generation

The associations, their leadership and affiliates were selected and targeted for surveying and interviewing based upon a set of informal criteria. It is important to note that they were not chosen randomly. First, associations of all sizes (size is defined by number of members and

sphere of influence) were identified based upon their geographic location, eg. in the state of Acre. Based upon key informants, associations were further filtered-those chosen have a strong link to the “forest sector” We defined the forest sector loosely as encompassing agroforestry, agro-extractivism, small-scale agriculture on the forest/agriculture interface, environmental rights and activism, forested protected areas, and working with timber or non-timber forest products. Once identified and located physically (often the association headquarters were located in rural, remote areas), if possible, initial contact was established with the leaders prior to their being surveyed to explain the objectives and purpose of the survey and subsequently, a date and time was established to administer the survey. More often than not due to lack of communication means (telephones, etc.), field researchers scheduled field visits and approached and surveyed leadership in the field, and administered the survey at that time. In addition, after completing the leadership survey, leaders were then asked for permission to survey association members. No leadership refused granting permission to survey members.

The surveys for leadership (Annex 2) were translated from the IIED template provided and tailored to reflect Brazilian Portuguese and particularly, the Amazon context. This survey was revised approximately three times and tested with several individuals and leadership *in situ* before being administered.

The surveys for association members and affiliates was collectively created by the research team and adapted from the IIED template, but shortened. Like the leadership surveys, the survey was devised in Brazilian Portuguese and vocabulary adjusted to reflect the different regions of the Amazon (Transamazon Highway and Acre). The survey was revised five times and tested three times with at least three different individuals from the region in their local setting. The survey was revised after each test until a final version was established and administered (Annex 2).

## *2.2 Quantitative survey of association members*

In addition to the survey of leaders, we also cross-referenced our results through a survey of community members affiliated to one or more of those associations (using the template in Annex I). The objective was assessing what characteristics determine a “good” or successful association. A survey of 265 people in associations linked to the forest sector was conducted during November 2004.

The process for surveying association members was the following two-fold approach. First, once leadership was interviewed and permission was granted, researchers identified, visited and administered the survey to association members in the field. In addition, other associations where leadership was not interviewed, but linked to the forest sector were chosen, located physically and then surveyed in the field. Due to the size of the association and constraints of members traveling, working, etc. on the day we administered the survey, there is different percentage representation from each association. Our research team consistently attempted to survey at least a few members of the associations where leadership was interviewed. Associations in which leadership was interviewed will also have several members interviewed (12), and there were also a select few association members interviewed that belonged to associations where we did not interview their leadership.

These surveys give us the data and perspectives presented below. We included members of both small and large associations. Because we attempted to cover a wide variety, the distribution of interviewees between association is uneven – ie, the sample percentage differs

between associations. However, the objective was to complete a thorough qualitative analysis rather than rigorous statistics so we feel this sample distribution is sufficient.

Surveys were conducted by one of the authors with the help of three other enumerators. We will be returning to the associations to give presentations of the results by August 2005.

### 2.3 Survey distribution

Table 2 shows the distribution of interviews by association. The range in association population went from an estimated 12 to an estimated approximately 5,000 members. The associations were conducted in the the Municipapities of Brasília 62 %, Xapuri 20 %, Porto Velho (RO) 7 %, Bujari 5 %, Senador Guimar 4 %, and Capixaba 2 %.

**Table 2. Percentage distribution of interviews by association**

<b>Association</b>	Number of interviews	Estimated association members	Percent interviewed	
Esperança	1	12	12	8%
<b>Apluma</b>	<b>11</b>	<b>17</b>	<b>17</b>	<b>65%</b>
Cristo reis	2	18	18	11%
São Francisco Figueredo	4	20	20	20%
São Lucas	5	20	20	25%
Alegria do Carmo	1	20	20	5%
Amazônia	1	20	20	5%
Nova Esperança	1	20	20	5%
Novo Progresso	2	20	20	10%
Tranquedo Neves	1	20	20	5%
1º de Maio	1	22	22	5%
Nova Aliança	3	22	22	14%
Alto Alegre	2	23	23	9%
<b>Chico Mendes</b>	<b>9</b>	<b>24</b>	<b>24</b>	<b>38%</b>
Vicente de Melo	1	24	24	4%
Santa Luzia	6	24	24	25%
Juscelino Kubischek	8	24	24	33%
Água Branca	1	25	25	4%
Betel II	7	25	25	28%
Kairala José Kairala	1	25	25	4%
Pão de Açucar	8	26	26	31%
Aliança do Picadão	2	30	30	7%
Paraíso	1	30	30	3%
RIBERACRE	12	30	30	40%
Boa Esperança	2	32	32	6%
APPAA-SE	9	32	32	28%
Fé em Deus	1	37	37	3%
<b>AMPPAE-CM</b>	<b>18</b>	<b>40</b>	<b>40</b>	<b>48%</b>
AMPPAE-SE	1	40	40	3%
São Luís de Ramás	5	42	42	12%
APC	1	42	42	2%
São João Batista	1	43	43	2%

Porto Carlos	16	44	36%
<b>Wilson Pinheiro II</b>	<b>11</b>	<b>45</b>	<b>24%</b>
Agronorte	7	49	14%
Antimary	1	52	2%
São Luís	6	53	11%
Asfea	12	55	22%
15 de Novembro	1	60	2%
AMPÆ-SQ	13	68	19%
APCRAX	3	75	4%
ASPAC	1	78	1%
CAEX	2	300	1%
<b>Reca</b>	<b>18</b>	<b>380</b>	<b>5%</b>
<b>Capeb</b>	<b>7</b>	<b>500</b>	<b>1%</b>
<b>Amopreb</b>	<b>20</b>	<b>1,263</b>	<b>2%</b>
<b>STR</b>	<b>10</b>	<b>4,833</b>	<b>0%</b>
Coaepa	1	Not available	
Fortaleza	1	Not available	
Lua Nova	3	Not available	

**Bold** also have leadership interviews and association descriptions above

### 3. Survey results and analysis

In terms of basic status of the interviewees, 80 % of interviews were conducted with men and 20 % with women. The average age of the interviewees was 42 years old. The average estimated number of families in the communities interviewed was 141 (range 12 to over 5,000); 97 % of the respondents said there was a community association and 20 % said that they participated in associations outside their community. The average numbers of years of participation in an association for any individual is 6.5 years. Many people have participated in more than one association.

#### 3.1 Cohesion – reasons behind the formation of association

Table 3 gives basic information about the stated reasons for the formation of associations.

**Table 3. Reasons to form an association**

Reason	Percentage of positive responses
Community self-help	75 %
Access to rural credit	38 %
Management of non-timber forest products	26 %
Economies of scale in production	23 %
Management of forest products	16 %
Access to economic projects	5 %
Other	5 %
Preserve the forest	3 %
Access to land	3 %
Don't know	3 %
Government initiative	2 %
Individual initiative	1 %

Almost all associations are created for financial reasons – either credit, cash, economic projects, or other financial offers) and only 9 % of the respondents reported that their associations did not offer incentives. It is important to note that although 75% of informants responded that the association was formed for self-help, often this push for community organization and association is financially motivated. One example is the association AMPPAE-CM, a small association working with community forest management from the seringal of the late Chico Mendes, Seringal Cachoiera near the city of Xapuri, Acre. AMPPAE-CM was formed after the period of land reform in the early 90's in which the traditional "seringal" was divided by INCRA into an agroextractivist settlement (assentamento agro-extractivists) and title to the land was given to each landholder. During this process, INCRA stipulated the creation of a community association in which it could channel financial resources to build a school, community meeting area, etc. Thus, if Seringal Cachoiera was to receive the financial resources for these community improvements and infrastructure, the association had to be formed and was viewed as the only legal mechanism by which INCRA could channel its resources. Only recently, after obtaining these resources, has AMMPAE-CM began working with more market-based projects focusing on timber management and extractivism.

Other examples include the case of APLUMA, RECA and CAPEB. APLUMA was formed as a legal means for channeling financial resources and benefits (cash) to beneficiaries for timber management occurring on their land. Most clearly, cooperatives like RECA and CAPEB clearly distinguish between members and non-members for financial and social benefits.

### *3.2 Resilience – credibility and legitimacy of decision-making*

It was encouraging to find positive examples of democracy within associations - 90 % of the respondents declared themselves eligible for the presidency of the association. Most leaders are chosen by popular vote (94 % of respondents identified this method), which is done by anonymous voting (45 %) or a show of hands (54 %). Most presidents live in the community.

Basically all of the associations have written regulations, which were created by members (identified by 50 % of respondents), the leaders (35 % chose this method), and 20 did not know how their association guidelines were created. Only 27 %, however, have a copy of the written regulations, but 69 % of those who do not have a copy have seen the statutes and 80 % have heard them read out loud. In general people consider themselves reasonably informed (36 %) or well informed (29 %), but 32 % consider themselves poorly informed, while only 3 % consider themselves very well informed.

The associations meet, on average, 13 times per year or slightly more than once a month. The meeting time vary from more than 4 hours to less than one hour, but about 50 percent of the meetings last more than 3 hours.

- (< 1 hour) 1%
- (1 to 2 hours) 19%
- (2 to 3 hours) 31%
- (3 to 4 hours) 15%
- (>4 hours) 34%

Regardless of the duration, participation in associations is an important aspect of rural life. Our survey showed that 26 % of the respondent attend all of the meetings, 52 % frequently, 19 % rarely, and only 2 % never. The average person attends 80 % of the meetings. During these

meetings five % of the people say they coordinate, 26 % describe themselves as participating actively, 38 % participate sometimes in the discussion, and 32 % only listen.

Often participation is a direct result of strong leadership. The associations Chico Mendes and Wilson Pinheiro II are excellent examples of how leadership has defined participation, information sharing and ultimately, the success of the association. Both Chico Mendes and Wilson Pinheiro II essentially have similar challenges- small associations working with non-timber forest product management. Both are participating in the same projects (açai and Brazil nut) and work in collaboration with the same cooperatives.(COOPERVACRE, CAPEB) and NGOs (WWF- Brazil). Although the association Chico Mendes is clearly located in a more remote area with more limited access (50 km to the main, paved highway) than Wilson Pinheiro II (5-10 km), it is clearly a more tightly knit association and appears to be more successful. We attribute this to the strong leadership of the association Chico Mendes in comparison to the weak leadership of Wilson Pinheiro II. Of those surveyed from Wilson Pinheiro II, 81% felt their well-being improved by being a member of the association, while of this 81%, 22% felt it improved little, 67% responded it improved moderately and 11% responded that it improved greatly. Of Chico Mendes, 100% of those surveys responded that their well-being improved by being a member of the association, while of that 44% felt it improved little, 22% felt it improved moderately and 33% felt it improved greatly. The perception of improved well-being of the members of Chico Mendes is most likely due to its strong leadership.

Strong leadership may also be important in the efficacy of information sharing in associations. Thirty-three percent of the members of the association Chico Mendes responded that they consider themselves well-informed while only 18% of the association Wilson Pinheiro II considered themselves well-informed and interestingly; 33% of Chico Mendes considered themselves moderately informed to Wilson Pinheiro II's 27%. Thirty-three percent of Chico Mendes considered themselves poorly informed to Wilson Pinheiro II's 54%. These statistics are interesting considering the leadership of the association Chico Mendes stated that it meets less (3 times a year) than Wilson Pinheiro (monthly), and the distance between Chico Mendes' members is farther.

### *3.3 Equity – adequacy of representation of interests*

In terms of the distribution of costs and benefits to association members - some 57 % thought that the associations achieved their stated objectives “sometimes”, 25 % said the association achieved these objectives “ almost always”, 14 % said “rarely, and only 4 % thought that the associations “never” achieved their objectives; in all, a remarkably positive result.

In all, 90 percent of the people reported that the associations had made them better off, with a gradient of improvement listed as much better (21 %), reasonably better (52 %), and a little better (27 %). Not surprisingly, 98 % of the individuals intend to continue within the association. And many (79 %) would do so even with out any significant changes in their life. For those who will not stay in the association with major changes, 30 % would wait at least a year for change and 23 % would wait between 1 to 1.5 years another 19 % would wait up to two years and 46 % would wait more than 2 years.

When asked to judge the condition of the association, 12 % said their association was stopped, 56 judged it to be reasonable, 28 % good, and only 2 % judged the association to be working excellently.

After interviewing leadership and members from all sizes, we can attribute success in association it more to leadership, organization, information sharing and transparency than to any particular scale of operation. In the decline of associations, members may lose interest and jeopardize success because of a lack of transparency and trust in the organization (AMOPREB and APLUMA are good examples of lack of trust due to lack of transparency in leadership, a large and small organization respectively; while RECA has mechanisms that serve as checks and balances and give responsibility to members).

### 3.4 Support – adequacy of external institutional and policy help

Fifty five percent of the respondents said that their communities had received help is setting up their organizations and 58 % said that the association continued to receive help in the organization. The most important support has come from the government, other associations, NGOs, and businesses

In addition, the success of associations should be attributed greatly to cultural unity, bottom-up push, strong leadership, and importantly, ample outside financial support. For example RECA which has bottom-up push from small farmers, strong leadership, formidable outside financial and technical support (Catholic Church, PESACRE and everyone else...). Also AMPPAE-CM (push from INCRA, STRONG cultural identity and unity due to being Chico Mendes' seringal, strong leadership, outside financial/technical support (Catholic Church, WWF, everyone else...). In addition, the Catholic Church not only focused on supporting these organizations financially, but also helped them to organize and learn of their rights, while entities like EMBRAPA focused more on just the technical and financials.

**Table 4. Reasons for association failure**

<b>Reason</b>	<b>Percent identified</b>
No results	11 %
Do not provide help/support	16 %
Lack of interest of members	61 %
Poor administration	23 %
Lack of support from the State	2 %
Other	26 %

### 3.5 Summary

Without doubt, associations form an important part of rural life in Amazônia, more than 75 percent of the people interviewed went to association meetings frequently (associations meet on average once a month). The survey results show that associations are formed for community self help, and that access to rural credit is one of the most popular reasons for forming an association. Management of non-timber forest products and capturing economies of scale were other popular reasons for starting associations. Many communities receive outside help in forming association and in the organization and on-going management of those associations.

Although short-lived – about 6 years – associations are in general thought to have achieved their stated objectives. Most associations are formed for economic reasons, and have made the people better off. Almost everyone tends to stay with the association.

But, as mentioned, associations last only about five or six years. The main reason for the demise of associations is that the interest of members dies off after a period. Other reasons are poor administration and a lack of results (27 %).

One of the possible reasons that members lose interest is that settlers and migrant smallholders do not have good enough training in associativism or in participation in associations (the leadership surveys showed this). Thus, unity and cultural identity among members appears to be extremely important.

#### **4. Conclusions**

Associations are prominent institutional elements of frontier life in Amazônia. They represent the first step towards de-marginalization of the rural population. Important results emerging from the combination of leader and individual surveys include:

**Cohesion** – does association functionality depend on particularly strong mutual aspirations?

- In frontier areas people do not share a common history and background - and this initial context constrains and challenges the formation of associations.
- Most association form ostensibly to promote long term social and environmental good such as “community self-help” – but they often have other important short term economic interests as well.
- There are significant instances of associations being used as political tools that tend to favor certain groups associated with them. In such cases, concerns over economic equity are often not adequately addressed with problems in the long term
- While external support is vital, it is not sufficient if there is no internal cohesion and motivation for participation.

**Resilience** – does association functionality depend on the credibility and legitimacy of decision making?

- Almost all associations stipulate adequate attendance at meetings as a membership requirement
- Dynamic leadership was correlated with association health – but longer term resilience requires the development of robust institutional procedures (e.g. as in RECA) that ultimately distribute the association’s responsibilities to all members.
- Many associations fail after not more than 5 years, or suffer a decline in performance due to the incremental loss of motivation – often associated with failure to pay membership costs or attend meetings.

**Equity** – does association functionality depend on the adequate representation of interests (including gender)?

- Most associations’ problems can be traced to loss of trust in leadership, lack of proper management or failure to collect and administer financial resources transparently.

- Membership tends to be biased towards men – which may explain the flourishing of several strong women’s associations to promote their interests.

**Support** – does association functionality depend on the degree to which policies and institutions are supportive?

- External support, including financial, administrative, technical and logistical help is both widespread and essential to keep associations running. None of the associations in our survey had been strictly self-sufficient.
- A striking feature of the survey results is the degree of interdependency among the different associations – some of whom have mutual interdependency.

We conclude with a set of steps that people should try to take if they want to nurture healthy associations:

1. Provide training in associativism and administration to association leaders and members.
2. Provide training to how to tailor association statutes (legalities) to represent the actual happenings of the association (eg. most associations have a template statute promoted by STR that stipulates they meet once a month, as in the case of Chico Mendes, the statute should be tailored to represent their actual situation of not being able to meet as often). This will better legitimize and legalize the actions of the association as it grows.
3. Provide training and support in administration (accounting, etc.) and organization to association leaders.
4. Provide training in leadership to association leaders.
5. Provide training in and promote information-sharing to and among leadership of associations.
6. Provide support in market access particularly to cooperatives.

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## **Annex 1. Description of associations**

### **5.1 AMOPREB- Associação dos Moradores e Produtores da Reserva Extractivista Chico Mendes de Brasília**

AMOPREB is a large association comprised of approximately 700 members (75% men and 25% women) who are the inhabitants of the Chico Mendes Extractive Reserve (Resex) located in Brasília, AC. AMOPREB was created in 1994 with the support of the Conselho Nacional de Seringueiros (CNS) when the Resex was founded with the objectives of: 1) representing the needs of the inhabitants of the reserve, 2) helping conserve the forest of the reserve, and 3) improving the socioeconomic situation and quality of life of the inhabitants of the reserve. Aside from being the representing body of the inhabitants of the reserve, AMOPREB seeks to improve their access to health, education, and transportation.

In regards to infrastructure, AMOPREB has several Toyota 4x4 trucks, motorcycles, an office in Brasília with computers, and a radio for communicating with the communities of the Resex. AMOPREB is a formally established association with a CNPJ and has a statute that stipulates leadership positions (president, vice-president, etc.). The association also has a position “Secretary of Youth and Women”, whose job is to better represent these two groups. The statute stipulates that the association has a deliberative council meeting every three months. Two leaders from each community and the leadership of the association meet during this meeting. In addition to these meetings, the association has two general assemblies per year in which the leadership and all members gather to vote on important issues.

In order to become a member of AMOPREB, one must: 1) live in the Resex, 2) be a small producer (not a middle-man buyer), 3) be older than 16 years of age, 4) respect the regulations of the Resex, and 5) pay dues of \$R 10 per year. Once a member of the association, one must: 1) follow the statute, 2) participate in the general assemblies, and 3) pay the yearly fees. Benefits of being a member of AMOPREB include the following: 1) better representation (especially before government entities), 2) access to credit, 3) access to participation in socioeconomic projects, 4) access to information sharing, 5) orientation on how to obtain personal documentation, and 6) access to community development projects.

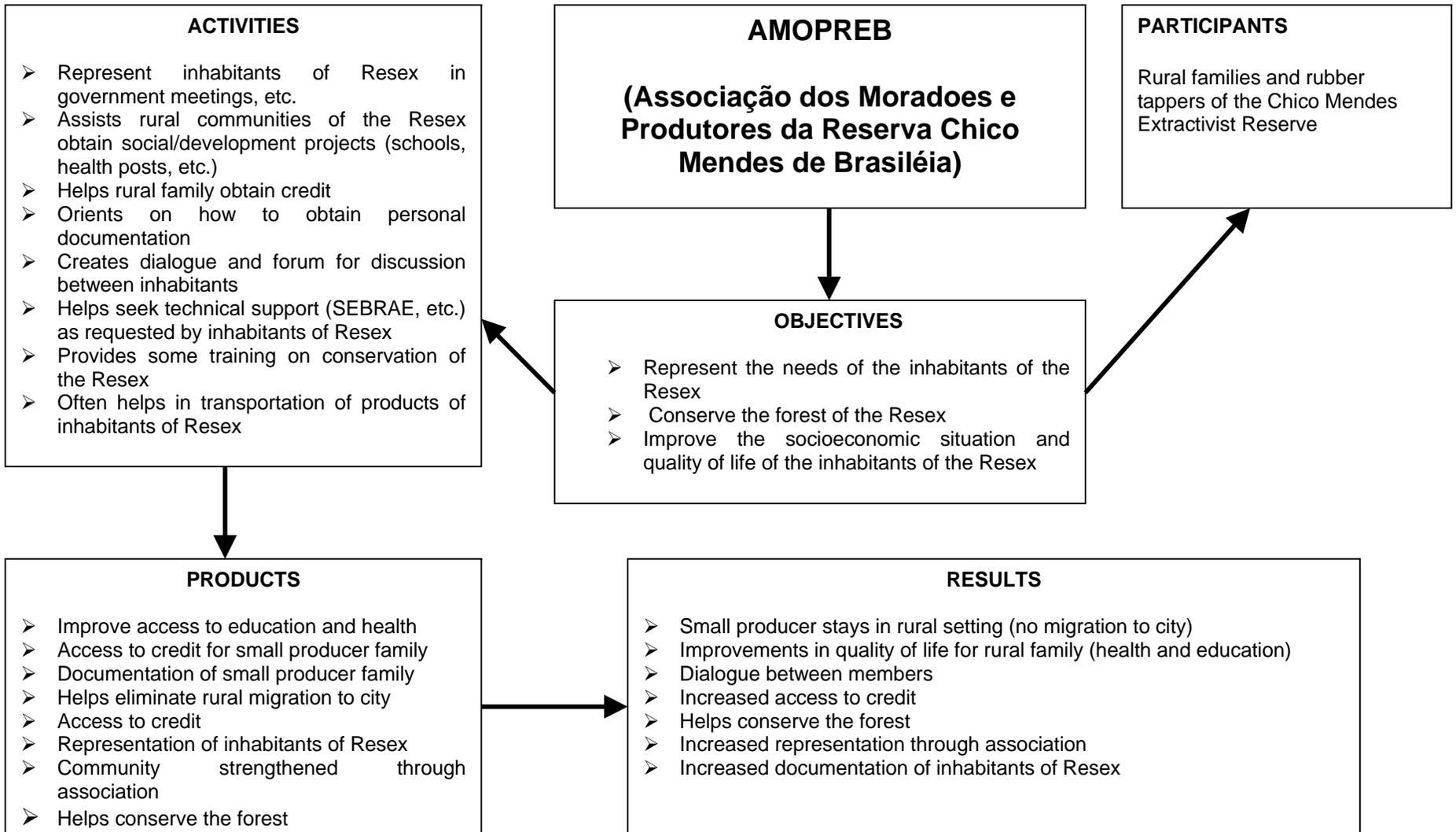
AMOPREB faces several difficulties as an association. One of these is the lack of trust in and ownership of the association by its members. Several members of AMOPREB interviewed complained of a scandal in which members’ money had been funneled away by leadership, and during the time of this interview the public prosecutor was investigating the association. This situation eroded member’s confidence in the association’s performance. Another difficulty AMOPREB encounters is the barrier in communication and organization of members. The association serves many communities of the Resex that are isolated and hard to access. Although the association has a set calendar of community meetings and visits, sheer distance creates barriers in

communication and organization. AMOPREB also lacks leadership that is sufficiently educated and trained in administration. The president himself stated that most of the association's leadership has had very little formal schooling and does not possess the basic knowledge of administration and associativism necessary to help the association function efficiently and effectively. These are just a few of the observed difficulties that jeopardize the success of AMOPREB.

AMOPREB has had support from outside entities including 1) CNS, 2) Sindicato de Trabalhadores Rurais (STR) de Brasília, 3) IBAMA/CNPT, and 4) the World Bank. CNS and STR were important in supporting the founding of the association including its documentation and organization. IBAMA/CNPT and the World Bank provided the financial resources for the founding of the Resex and the association and both helped and orient on the reserve's functions and regulations.

Although AMOPREB is a large association, it does not appear to function very efficiently due primarily to lack of organization and transparency in its administration. The president at the time of the interview was new (a little over a month as president) and did not yet possess good understanding of the objectives of the association or a long-term plan for obtaining goals. In addition, the association seems to lack sources of funding and support from outside entities.

AMOPREB was chosen because it is an association that represents the inhabitants (rubber-tappers) of the Chico Mendes Extractive Reserve and has the overarching goals to protect the forest through this representation. The following summarizes the objectives and functions of AMOPREB:



## **5.2 AMMPAE-CM Associação dos Moradores e Produtores do Projeto Agroextractivista Chico Mendes. Colocação Fazendinha, Seringal Cachoiera, Xapurí, AC**

AMMPAE- CM is a small association with approximately 45 members. The members established it themselves in 1995 when this traditional “seringal” was divided by INCRA into an agro-extractivist settlement, “PAE” Chico Mendes, created the association and title to the land was given to the rubber-tappers who had been living there. In order for the inhabitants to receive some benefits from INCRA (roads, houses, etc.) they were encouraged to form an association to channel these and other financial resources. Traditionally this “seringal” and the association has had strong leadership and cultural cohesion- this was where the environmental martyr, Chico Mendes, lived and many of his relatives still live today. As a result, this area and the association have received much outside attention and assistance.

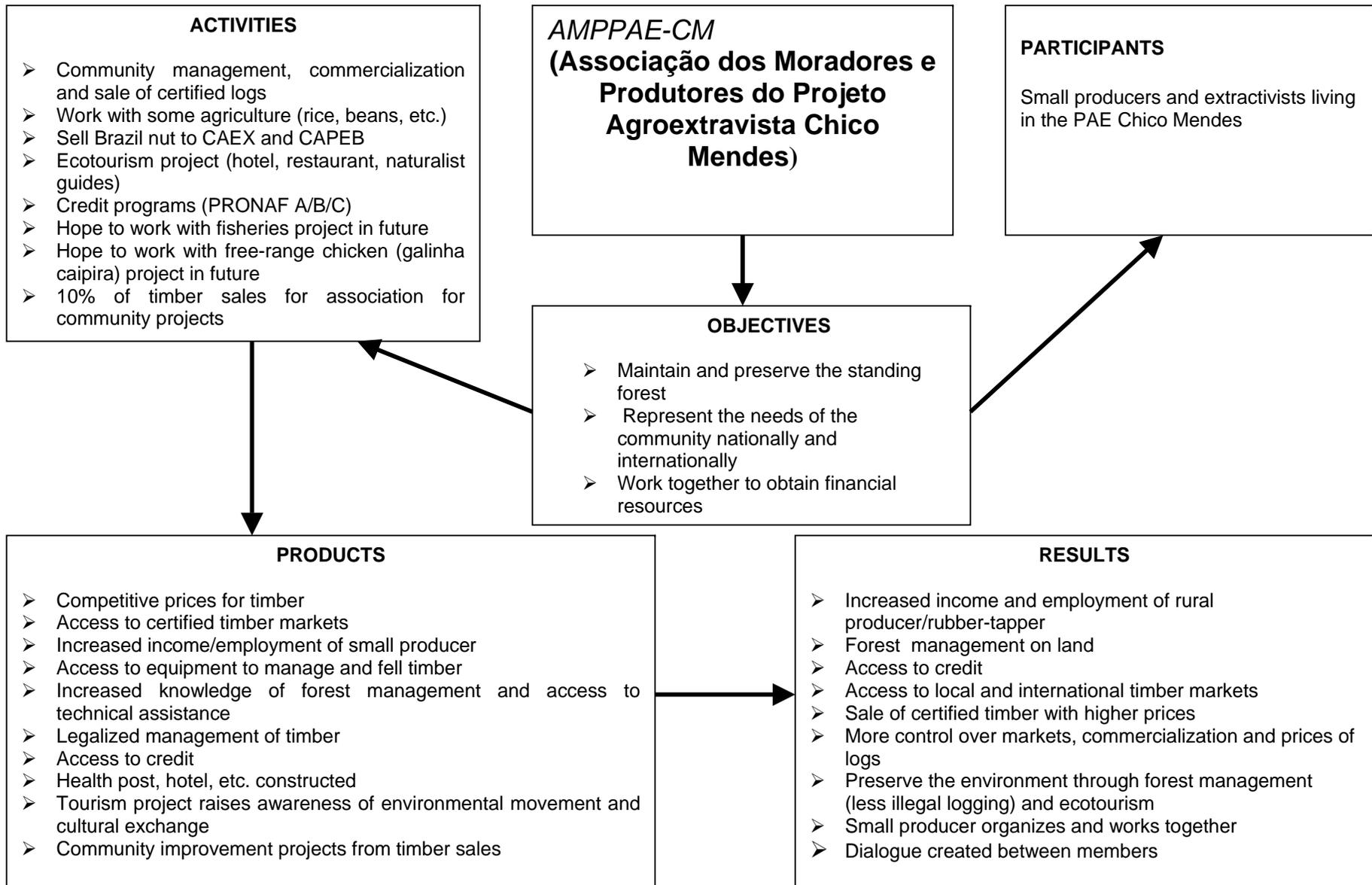
The objectives of AMMPAE-CM are: 1) to maintain and preserve the standing forest, 2) represent the needs of the community nationally and internationally, 3) work together to obtain financial resources, and 4) monitor the environment of the agro-extractivist settlement. The association is currently administering several development projects with the support of WWF and SEATER including a community forest management project and an ecotourism project. Members also sell Brazil nuts to the cooperative CAEX in Xapurí. The association has an infrastructure in place to obtain these objectives- it has a meeting area “barracão”, a rustic hotel for tourists, a small restaurant, a health post of medicinal plants, equipment for felling and for forest inventory, and several animals for skidding and transporting timber. Although the lots of members are distant from each other, this is one of the few “seringais” visited that has a well-maintained road connecting houses and possesses electricity. The road and electricity facilitate in the transportation of products and tourism.

In order to become a member of the association one must: 1) live in the agro-extractive settlement, 2) have claim/title to the land, and 3) be an extractivist. Once a member, one must: 1) pay a monthly fee of \$R 1, 2) participate in the meetings, and 3) respect the environmental regulations of the agro-extractive settlement. There are many benefits to being a member of AMMPAE-CM including: 1) participation in the economic projects, 2) 10% of total sale of timber of management project goes to the association for community development projects, 3) working together with the community to obtain improvements and community development, 4) access to technical assistance, 5) access to employment, and 6) access to financing (credit).

The association AMPAEE-CM is formally documented (CNPJ), and has a statute that stipulates and has a general assembly must be held every three months, however, the association meets more often- at least once per month. Often those participating in the forest management project must meet more often than once a month. Aside from having strong leadership and much outside attention, the association does face some difficulties. Currently a group within the association has divided and is forming their own association due largely to conflicts between members. The association lacks organization and planning and the president felt that leadership could use more training in administration and how to seek financial resources. In general, however, the association seems to function rather well. An indicator of this is that with the support of WWF, the association has been able to obtain FSC certification of its timber, allowing it to sell its certified logs to international markets.

Outside entities that support AMPAEE-CM are numerous and include 1) SEATER, 2) WWF, 3) Centro de Trabalhadores da Amazônia (CTA), 4) state government of Acre, 5) Ford Foundation, 6) EMBRAPA, 7) ProManejo, 8) INCRA, 9) IMAFLORA, 10) the Catholic Church, 11) the Protestant Church, 12) IBAMA, and 13) Sindicato de Trabalhadores Rurais (STR) of Xapurí. STR was fundamental in organizing the members and founding the association. SEATER and WWF have provided organizational, technical and financial support to the forest management project. WWF also funds and supports the ecotourism project. CTA assists with technical assistance and training, while the state government of Acre, ProManejo and INCRA have assisted with financial resources. The Ford Foundation, EMBRAPA, SEATER, IBAMA, Catholic Church and Protestant Church supported the establishment of the health post of natural medicines. Finally, IMAFLORA assisted in the FSC certification of wood.

AMPPAE-CM was chosen because it is an association that is currently working in certified community forest management. In addition, the association represents the traditional rubber-tapper of the region and plays a key role in forest conservation in this area. The following summarizes the objectives and functions of AMPPAE-CM:



### **5.3 APLUMA- Associação dos Produtores Rurais em Manejo Florestal e Agricultura. BR 364, Km 80, Ramal Nabor Junior, Km 22, Senador Guimar, AC, and Ramal Grenada, Acrelândia, AC**

APLUMA is a small association created in 2000 with approximately seventeen members. APLUMA was founded largely in part by EMBRAPA who created and experimental forest management project in this area and in order to manage and distribute the benefits from the sale of timber, created the association. This timber management project was established as a research project to examine the viability of forest management on private land located within the INCRA agricultural settlement, Pedro Peixoto. The objective of the EMBRAPA experiment and the association are to involve small landholders (80-100 ha plots) in a forest management project to 1) develop models of forest management, 2) learn new methods of community forest management, 3) manage and sell legalized sawn timber, 4) raise the standard of living of the rural producers through forest management and sale of timber, and 5) preserve the forest through management (vs. illegal logging). EMBRAPA established the experimental areas in two different regions of the Peixoto settlement- in the Nabor Junior entrance and the Grenada entrance- areas more than 20 km from each other along the highway BR 364 and nearly 20 km inside along a dirt road. These areas are forested and were mostly populated by rubber-tappers before being established as the Peixoto settlement in 1982.

In order for the community members to benefit from the sale and management of the timber, EMBRAPA involved an informal association that was already existent in the region, Capricho Ideal - an association that focused on small agriculture. Initially, wood was managed and was sold using the CPF of members of this association. It was shortly after that members and EMBRAPA legally established APLUMA- to better facilitate timber sales. Since then, EMBRAPA and SEATER have provided organizational, financial and technical support of the forest management project and the association. The association's infrastructure includes a large truck and Toyota 4x4 truck ( both on loan from EMBRAPA), a motorcycle, two small sawmills (one in each entrance), machines for the sawmills, chainsaws and other felling and inventory equipment, several generators, and a woodshop and equipment for furniture making. At the time of the interviews, the woodshop was not functioning due to problems with the energy and internal, organizational conflicts between members.

The association is formally documented (CNPJ), has a statute, and has a general assembly every three months. In order to become a member of the association one must: 1) live in the Nabor Junior or Grenada entrances, 2) be a small producer, 3) own a parcel of land (INCRA plot), 4) pay a fee of R\$ 2,000 (currently not enforced), 5) must attend at least

three meetings and read the statute, 6) attend meetings and participate with other members, and 7) manage timber on at least 55% of his/her land. Once members enter the association, EMBRAPA and SEATER facilitate all aspects of forest management providing technical, organizational and financial assistance. EMBRAPA plays a large role assisting with the forest inventory and all permission and approval from IBAMA of forest management plans. As members, benefits include: 1) access to all machinery to manage and benefit wood, 2) access to the sawmill and woodshop, 3) access to credit, 4) access to transportation of timber, 5) access to transportation to meetings (EMBRAPA), 6) access to bulls for skidding and to haul wood (two at Nabor Junior Entrance and three at Grenada entrance), 7) access to technical training, 8) access to commercialization and certified timber markets, and 9) access to a percentage of total timber sales of the association (distributed at the end of the year via the association).

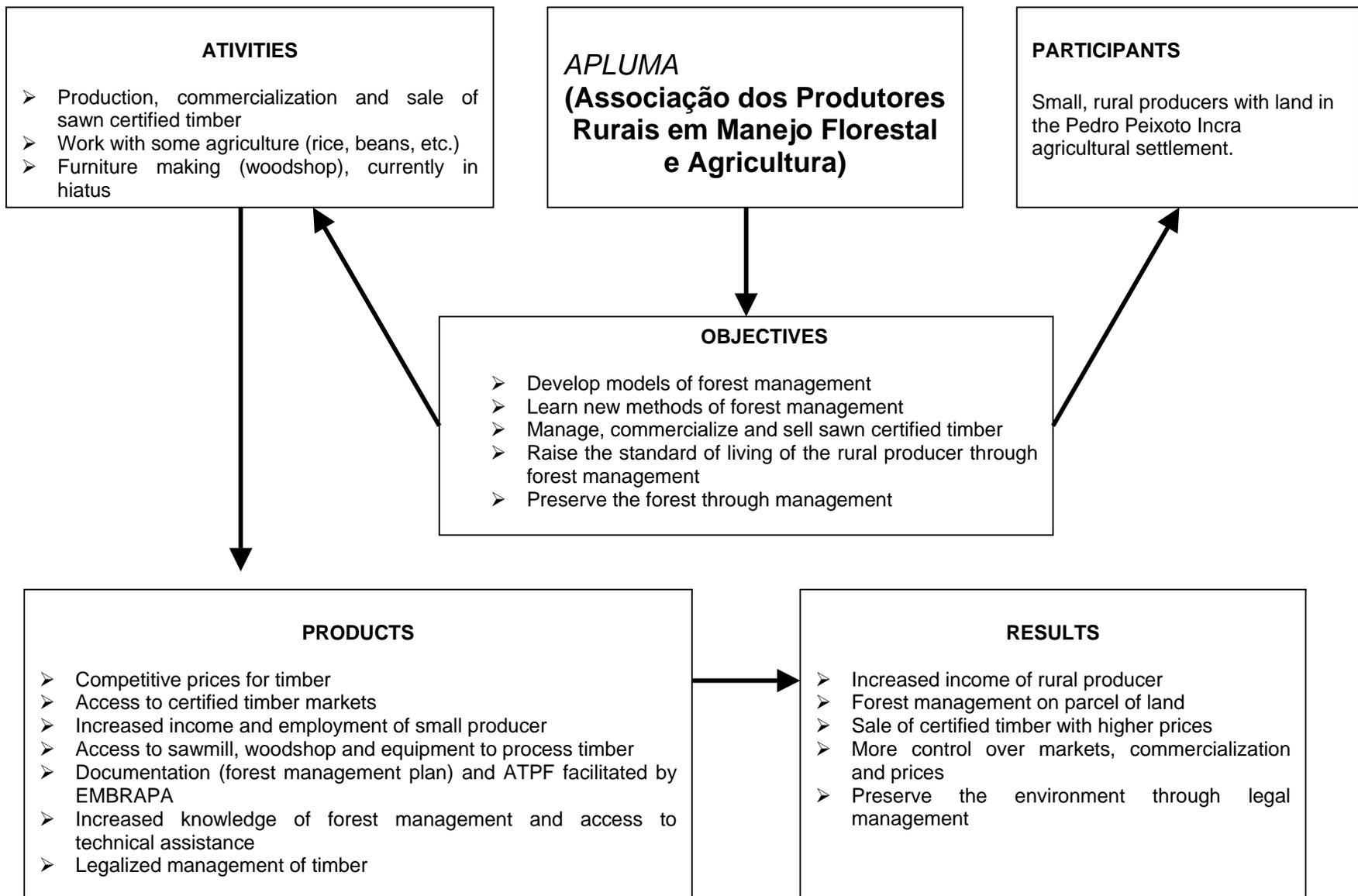
Interviews were conducted with the vice-president of the association who lives in the Nabor Junior entrance, and then with the president together with the former president (currently “conselho suplente”) who live in the Grenada entrance. This association is highly unorganized and suffers from internal conflicts between members. Members complained of the lack of leadership and cited that money that was supposed to be distributed amongst the members of the association from timber sales was funneled away by the president and secretary (who are brothers). In addition, in the interview with the president and former president, the former president responded almost entirely for the president, indicating that the former president currently still has much control over the association and leadership. This conflict between members can be attributed in part to the distance between the members- only six members live in the Grenada entrance- and thus communication and distance between them is great. There is lack of ownership of the association by members, a lack of trust in the leadership, and lack of union between members and leadership. Although this association has financial, organizational and technical support of EMBRAPA, it does not function very well.

Despite the difficulties in organization mentioned above, in 2004 the association obtained FSC certification of its wood. This process was supported highly by EMBRAPA and SEATER. The certified timber sold to international markets demands a higher price, and thus the association also caters to international (Japan primarily) as well as markets in southern Brazil (São Paulo and Rio de Janeiro).

Outside entities that support APLUMA include 1) EMBRAPA, 2) SEATER, 3) Centro de Trabalhadores da Amazônia (CTA), 4) state government of Acre, 5) ProManejo, 6) WWF, and 7) KFW (Germany). EMBRAPA assisted in the organization and supports all aspects of forest

management including all infrastructure, transportation to meetings, trucks, and documentation. SEATER provides technical support while ProManejo and the state government of Acre provide financial support (gasoline for the transportation of timber). CTA provides assistance in the commercialization of wood and originally assisted with the costs to establish the association. WWF provides financial assistance through EMBRAPA, and KFW (Germany) provides technical support.

APLUMA was chosen because it is an association that is currently working in certified community forest management. The following summarizes the objectives and functions of APLUMA:



#### **5.4 CAPEB - Cooperativa de Produção Agropecuária e Extrativista dos Municípios de Epitaciolândia e Brasiléia, Brasiléia, AC.**

CAPEB is a large cooperative of rural producers and extractivists from the municipalities of Brasiléia and Epitaciolândia, AC. The cooperative currently is undergoing a process of re-registering members and by the end of 2004 will encompass nearly 500 families. Founded in 1993 with support from the Pastoral Commission of the Catholic Church (CPT), CAPEB was originally an “association of associations”- a central association comprised of 23 smaller associations. CAPEB functioned as a central association but evolved to focus more on the production, commercialization and sale of products as a cooperative. For legal purposes, in 1998, CAPEB became a cooperative with the name of COMPAEB functioning with nearly 35 associations participating. Recently in 2003, after some restructuring of the statute, the cooperative returned to its original name of CAPEB, under which it functions today.

The original objectives of CAPEB as defined by the CPT and founders of that time were to: 1) unite and organize the rural worker/extractivist, 2) eliminate the middle-man buyer (give small producer autonomy), 3) keep the rural worker on the land (eliminate migration to cities), 4) transport, store, and commercialize the products of rural producers, 5) improve access to markets for products, 6) improve the economic and social situation of the rural family (raise their standard of living), and 7) generate income for the rural family. Since then, these objectives have evolved to include: 1) processing and adding value to products, 2) accessing international markets, 3) creation of an organized, efficient and modern cooperative, and 4) maintain a spiritual base in the functioning of the cooperative.

CAPEB buys, processes, commercializes and sells many products but focuses on the Brazil nut, which it is in the process of certifying organic. CAPEB buys coffee, rice, beans, corn, and manioc flour from small producers and then sends these products to the processing plant, KARJACRE, for processing, packaging and commercialization, while CAPEB itself has the facilities for processing the Brazil nut. CAPEB in the near future hopes to begin 1) producing products that add value to the Brazil nut (salting, fillings, flakes, etc.), 2) a project to develop animal feed from the Brazil nut shell, 3) a rubber project (artisan bags and rubber flooring in collaboration with a French company), 4) processing açai pulp (COOPERVACRE and WWF), and 5) buying and producing dairy products (yogurt, etc.) CAPEB has a developed infrastructure- a motorcycle; trucks; facilities for storage, processing and packaging products; a central office with computers and a large grocery store where much of the production is sold.

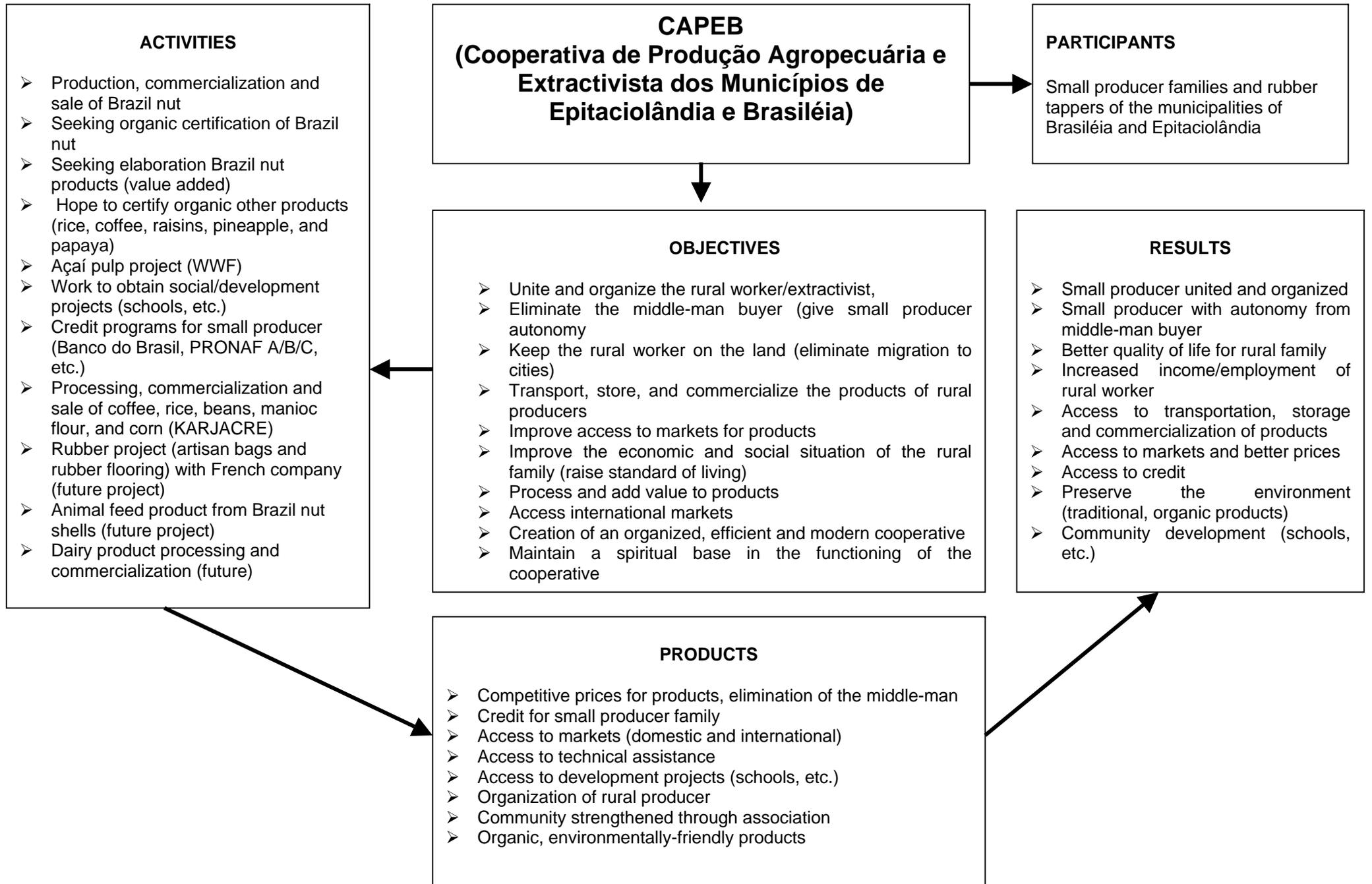
CAPEB is formally documented (CNPJ) and possesses formal leadership positions (president, vice-president, etc.) and representatives from each association participating. CAPEB has two general assemblies per year with all of its members and leaders and may summon an extraordinary meeting if necessary. In order to become a member of CAPEB, one must: 1) be a small producer or extractivist, 2) be a member of a participating association, 3) pay a fee of \$R 200 over a two-year period (this may be paid with production), 4) participate in two assemblies, and 5) understand the statute. Once a member, obligations include: 1) participation in the assemblies and meetings, 2) voting, and 3) remaining informed of happenings of the cooperative. Benefits of being a member of CAPEB are: 1) access to credit, 2) access to the transportation, storage, processing, and commercialization of products, 3) access to markets (domestic and international), 4) competitive prices for products, 5) a percentage of total sales of production of the cooperative (determined by the proportion of the production of the small producer in relation to the total sales of the cooperative), and 6) access to the supermarket (may pay with production). CAPEB also buys products from non-members and non-members may also access the supermarket. Non-members, however, receive less competitive prices for the sale of their products and do not receive a percentage of the total sale of the cooperative as members do.

CAPEB has received support from outside entities. These entities include 1) the CPT, 2) bishops and priests of the Catholic Church, 3) state government of Acre, 4) municipal governments, 5) UFAC, 6) Amigos da Terra, 7) Ministerio do Meio Ambiente (MMA), 7) SEBRAE, 8) AUSEIA, and 9) WWF. CPT and the bishops and priests of the Catholic Church provided organizational, political, and financial support for the formation of CAPEB and the CPT continues to be a partner with some of CAPEB's current projects. The state government of Acre assisted with financial support to build the Brazil nut storage and processing facilities, while the municipal government supports with financial support for the transportation and storage of products. UFAC assists CAPEB with laboratory facilities and product research. Amigos da Terra helped with training and donations of organizational software for administration. MMA and SEBRAE assist with financial resources and technical trainings and courses, while AUSEIA has provided courses on associativism and cooperativism. Finally, as mentioned earlier, WWF is supporting the organic Brazil nut and açaí pulp projects.

CAPEB is a large, relatively well-organized, structured cooperative. The president, a native of the state of Paraná, is a strong, well-known, outgoing leader and has a personal vision to run CAPEB as an efficient business. CAPEB is very prominent in the local markets of Brasiléia and Epitaciolândia- its grocery store is one of the largest in the two municipalities and is often the entity that sets the prices for regional

products. CAPEB faces some difficulties, however, including barriers in the processing and commercialization of products, organizational difficulties, lack of trust between members and leadership, and the leadership's lack of education in cooperativism and administration. The president cited that CAPEB hopes to begin investing more in younger, small producers and in more in social, development programs to benefit members, particularly in education.

CAPEB was chosen because it is a cooperative comprised of small producers and agro-extractivists of the region and buys, processes, commercializes and sells non-timber forest products. CAPEB also has a strong environmental mission- to certify organic Brazil nut and buy traditional products that help maintain the forest standing. The following summarizes the objectives and functions of CAPEB:



### **5.5 Chico Mendes - BR 317, Km 52, Seringal São Cristóvão, Brasiléia, AC**

Chico Mendes is a small association created in 1992 with approximately 28 members. This association is comprised of extractivists and small producers living in and around the seringal São Cristóvão, within and close to the Chico Mendes Extractive Reserve (Resex). Chico Mendes was created by the members themselves with the support of the Rural Worker's Union (STR) of Brasiléia and the Pastoral Commission of the Catholic Church (CPT) with the idea of organizing to: 1) better sell products, 2) improve living conditions of the community (roads, schools, etc.), and 3) obtain credit. Since its founding, these original objectives have remained fundamental but have also grown to include: 1) elimination of the middle-man buyer, 2) access to better prices and markets for products, 3) obtain funding and credit, and 4) obtain economic development projects.

Chico Mendes is currently participating in several economic development projects. Like the association Wilson Pinheiro II, with support of WWF in collaboration with the cooperative COOPERVACRE, the association is hoping to process, commercialize and sell açai pulp. Members of the association currently sell Brazil nut and other traditional products (coffee, rice, etc.) to CAPEB for subsequent processing and commercialization. Also with WWF, the association has mapped areas of açai and Brazil nut and will soon begin to obtain organic certification of Brazil nut. The association is also beginning a tree seed selection and collection project for sale for reforestation and artisan purposes. The association also participates or has participated in several other projects including an ecotourism project that ended when funding was suspended, a chicken-raising project, and other credit programs.

In regards to infrastructure, the association has a meeting area ("barracão"), a rice-processing machine, and access to the facilities and machines for processing açai pulp through COOPERVACRE. Unlike the association Wilson Pinheiro II, access to the association Chico Mendes is more difficult- it is located 52 km from Brasiléia and within the Resex on a dirt road. There is a great distance between members, up to seven hours walking. Although the statute of the association stipulates a general meeting once per month, the association meets less frequently due to the distance between members. In addition, this distance often creates difficulties in the organization and communication of the association and transportation of products to the city and markets.

Chico Mendes is formally documented (CNPJ), has a statute and formal leadership structure (president, vice president, etc.), and meets on average three times per year. In order to become a member of the association one must: 1) have land in or near the Resex, 2) must be interested in the association, 3) must attend six meetings, 4) must be

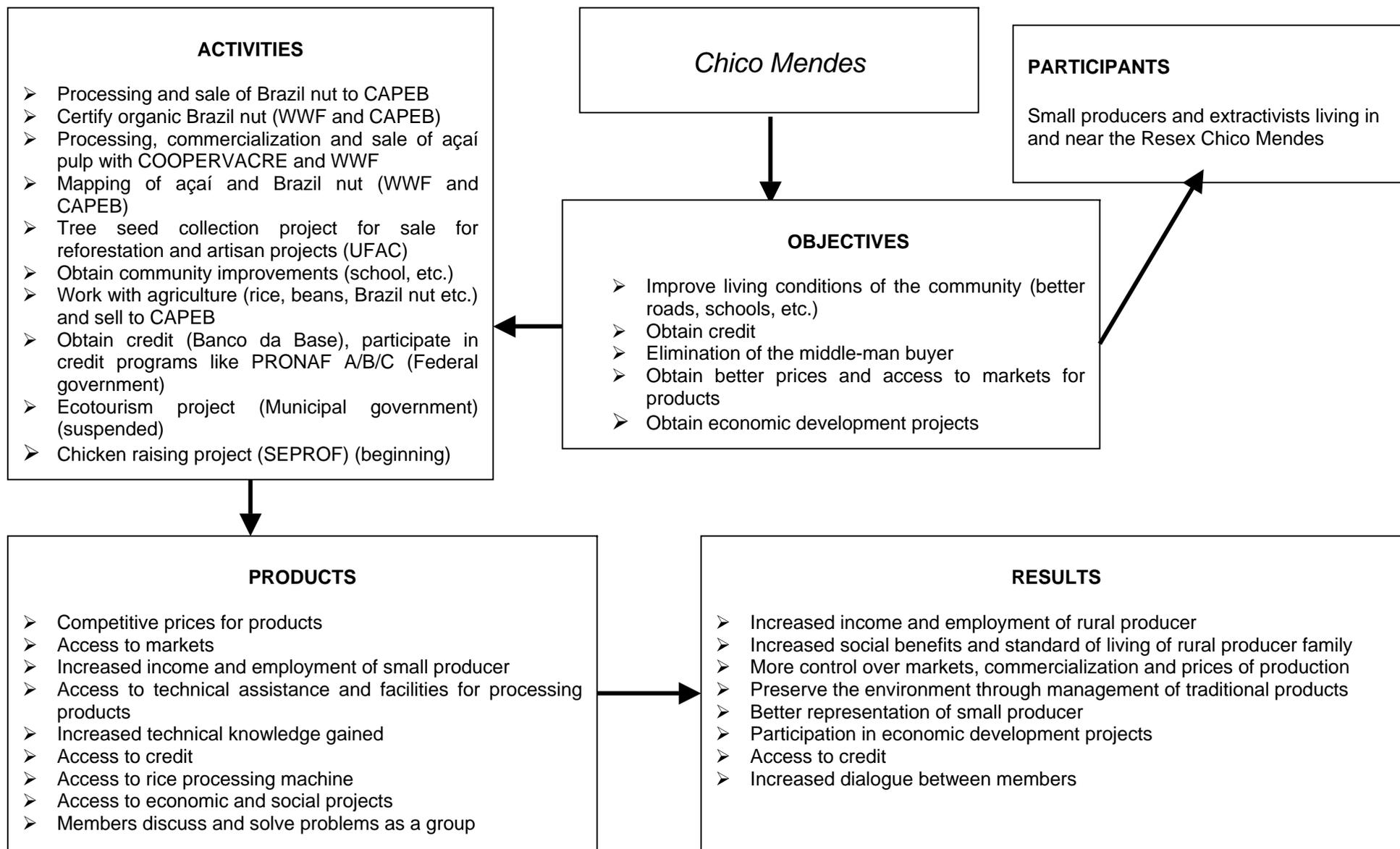
an extractivist or small producer, and 5) pay an entry fee of \$R 2,000. Although the statute specifies that a fee be paid to enter the association, this fee is currently not enforced and all new members are admitted by the vote of current members. Once a member of the association, obligations are: 1) not miss more than three meetings (if missed, one cannot obtain credit until after attending six make-up meetings), and 2) must pay a maintenance fee of \$R 250 (although this is not enforced). Benefits of being a member of Chico Mendes include: 1) access to credit, 2) access to the rice processing machine, 3) better representation (leadership seeks benefits for the association as a whole), 4) access to economic projects, and 5) access to social/community development projects.

Although Chico Mendes is a small association, leadership is strong. The president, a native of Santa Catarina living in Acre for seventeen years, is particularly communicative, articulate and possess strong leadership skills. He has excellent knowledge of the objectives and goals of the association and has a long-term vision for its development- this is different from other small associations encountered in this region. Members interviewed also seemed well informed of the objectives of the association, most likely due to strong leadership. The president identified several barriers to the functioning of the association and things that could be done to make it function better. Barriers include lack of knowledge of associativism between members and leadership, lack of administrative skills of leadership, and lack of communication between members and lack of infrastructure (computers, etc. for administration). The president also felt outside funding agencies and NGOs should be more responsible in following through with project funding/administration rather than discussing and planning projects and then never implementing them, or implementing them and then suspending them without execution.

Outside entities that support Chico Mendes include: 1) WWF, 2) CPT, 3) STR, 4) SEPROF, 5) Secretary of the Municipality, 6) UFAC, 7) SEBRAE, 8) Caixa Econômica, 9) AMOPREB, 10) CAPEB, and 11) the municipal government of Brasiléia. WWF provides financial, organizational and technical support for the açai and Brazil nut projects. CPT and STR were instrumental in the organization and formation of the association. SEPROF and SEBRAE provide technical support in the commercialization of products and supporting the chicken-raising project. UFAC also supports with technical training and the seed collection project. The Caixa Econômica has provided courses in administration. The Secretary of the Municipality and municipal government have provided financial resources (for schools, etc.) and for projects (ecotourism project). Finally, the association receives organizational support from AMOPREB and the cooperative CAPEB.

Chico Mendes was chosen because it is an association of small producers and extractivists located within and near the Resex Chico

Mendes. The association also works largely with the sale and commercialization of non-timber forest products (açaí and Brazil nut) and formerly with an ecotourism project. The following summarizes the objectives and functions of Chico Mendes:



## **5.6 RECA- Reflorestamento Econômico Consorciado e Adensado. BR 364, Km 1071, Nova Califórnia, RO**

RECA is a large cooperative of rural producers founded in 1988 by the producers themselves and has grown to encompass nearly 300 families as members. RECA's members are small producers who live in a large INCRA settlement formed in the early 80's in a traditional area of rubber-tappers. Initially after the settlement of this area, many small producers began to encounter difficulties in selling their products (rice, beans, coffee, cocoa, etc.) and suffered harsh living conditions (particularly in regards to health and malaria). These conditions caused many of those living in the settlement to abandon their plots and migrate to the city. As a result of this situation, two small associations were formed from the producers themselves to unite to combat these difficulties. Eventually these two associations, with much financial and organizational support of the Pastoral Commission of the Catholic Church (CPT), united and formed RECA.

The original objectives of RECA as defined by the small producer founders of that time were to 1) keep the small producer on his land and halt migration to the city, 2) improve the quality of life for the producer families, 3) create dialogue between the producers, 4) integrate entire families into the association, 5) preserve the environment, and 6) provide incentive for rural producer to use agroforestry systems. Since then, RECA's objectives have evolved to also include the sale, production and commercialization of products produced by the small producer. RECA is now a cooperative that is practically self-sustainable and processes and commercializes native products including 1) acaí and cupuaçu pulp, 2) palm (pupunha) hearts, 3) palm seeds (pupunha), 4) essential oils and cosmetic butters (cupuaçu, andiroba, cumarú and Brazil nut), and 5) jams and jellies from tropical fruits (women's groups).

In order to process and commercialize these products, RECA has a developed infrastructure- a tractor, two Toyota 4x4 trucks, motorcycles, factories and facilities for storage, processing and packaging products, an office with computers, a small store, and a meeting area and dormitory. Within RECA there are also several women's groups (not formally established with CNPJ) that work with artisan products, medicinal plants and producing jams and jellies. RECA is also seeking to certify its palm heart production as organic and in the future hopes to certify its essential oils and butters.

RECA is formally documented (CNPJ) and possesses an unique organizational structure in which the INCRA settlement area is divided into eleven groups that represent different geographic areas- each of these groups possess a coordinator, leader and woman representative. These coordinators and leaders then chose a coordinator-president, coordinator-vice president, etc. In order to become a member of RECA, one must 1) live in the area, 2) be a small producer, 3) participate in all

activities of the group of his/her area for at least one year without missing an activity. After a year of participation, the group decides if him/her can become a member. Once a member, obligations include 1) preserve the environment of the area (as the statute specifies), 2) produce using organic agroforestry systems as stipulated by RECA, 4) sell production to RECA, and 5) participate in 80% of meetings. Benefits of being a member of RECA include the following 1) access to credit, 2) access to money/loans for medicine, etc., 3) help with formal documentation, 4) access to markets 5) access to processing and commercialization of products, 6) access to community improvements (projects) in health and education, and 7) access to technical training and courses.

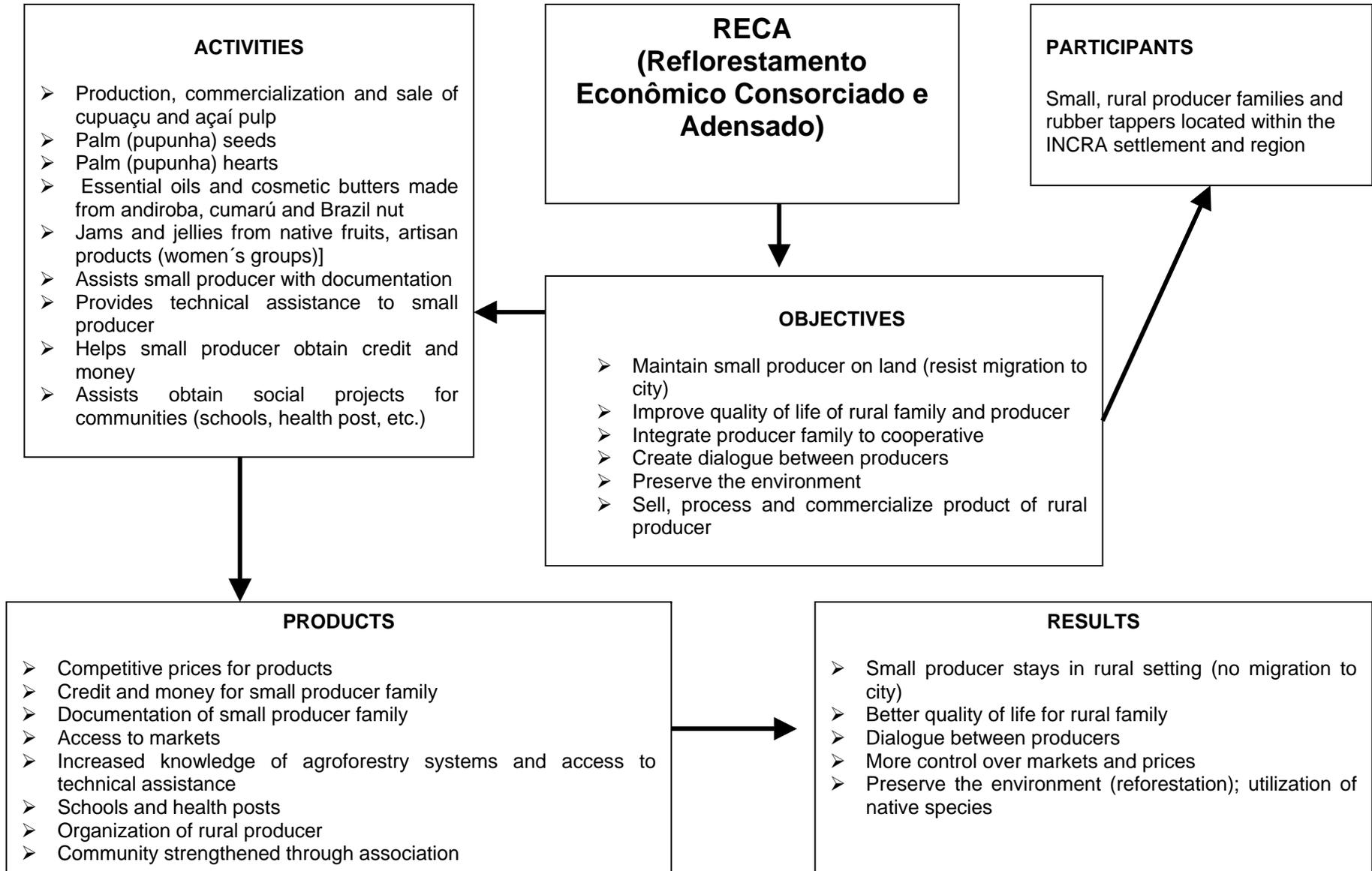
To understand how RECA works, each member's sale per kilo of production is tracked in the central office. He/she has access to this money as he/she sees fit at any time. In addition, at the end of the year, each group receives an equal percentage of the total sale of production of the entire cooperative and the group then distributes to the producer. Non-members of RECA may also sell their products to RECA but at lower prices and do not receive any of the benefits from the total sale of the cooperative.

RECA has a formal system for meeting and voting. Members meet in their groups at least once per month. Once per month leader-coordinators, coordinators, leaders and the woman representatives from each group also meet to discuss topics in a representative assembly. A general assembly is held once per year between all members and coordinators and leaders. It is during this general assembly when members vote on issues.

Although RECA grew out of the producers themselves, it has had much support from outside entities. These entities include 1) SEBEMA (a Non-Governmental Organization from Holland), 2) Pastoral Commission of the Catholic Church (CPT), 3) CERES, 4) individuals from the Catholic Church (bishops and priests), 5) PESACRE, 6) EMATER, 7) Banco Basa, 8) INPA, 9) EMBRAPA and 10) SEBRAE. The Pastoral Commission of the Catholic Church was fundamental in helping with the organization and legalities of the formation of RECA. RECA received its first financing from with the assistance of a bishop, Dom Moacyr. Since then, these entities of the Catholic Church (CPT and CERES) have continued to accompany the development of RECA. The ONG from Holland, SEBEMA, assisted RECA with its first large loan to work with agroforestry systems. PESACRE, EMBRAPA and INPA currently are involved with research and technical assistance, while EMATER and SEBRAE also help with technical assistance. Finally, the Banco Basa provides credit for many of RECA's members.

RECA is a well-organized, structured cooperative. Leadership is strong and members are well educated about the functions and objectives of the cooperative. RECA has probably been successful in part to the

high participation in and ownership of the members of the association. RECA does face some difficulties, however, including barriers in the processing and commercialization of products, difficulties in organization, and politics (outside and within the cooperative) that often divide members. RECA was chosen because it is a cooperative that through agroforestry systems utilizing native, traditional products of the Amazon is able to generate local income and provide incentive for reforestation. The systems used in RECA also discourage deforestation caused by growing cash crops like coffee, rice and beans. Finally, RECA is located in a forested area that was once a region of rubber- tappers- many who still lives in this area today and are members of the cooperative. The following summarizes the objectives and functions of RECA:



## **5.7 STR - Sindicato de Trabalhadores Rurais de Brasília e Eptaciolândia, Brasília, AC**

STR is a large association comprised of approximately 7,000 members (70% men and 30% women) who are rural workers and extractivists from the municipalities of Brasília and Eptaciolândia, AC. STR is a well-known association formed in 1965 by the rural workers of the region with support from the Catholic Church. STR was formed during the time when ranchers were forcing the rural rubber-tapper of this region off the land. Out of this situation emerged social and environmental movements that influenced the formation of STR. The association was formed to: 1) give an “identity” and voice to the rural rubber-tapper/worker, 2) help guarantee land rights of the rubber-tapper/worker, 3) unite the rural worker, and 4) represent the needs of the rural worker, 5) raise the standard of living and quality of life of the rural worker, and 6) combat deforestation. The association has evolved to currently focus more on assisting the rural worker obtain documentation to receive social benefits from the local and federal governments (retirement, health benefits, etc.) and credit, and obtain improvements in health and education.

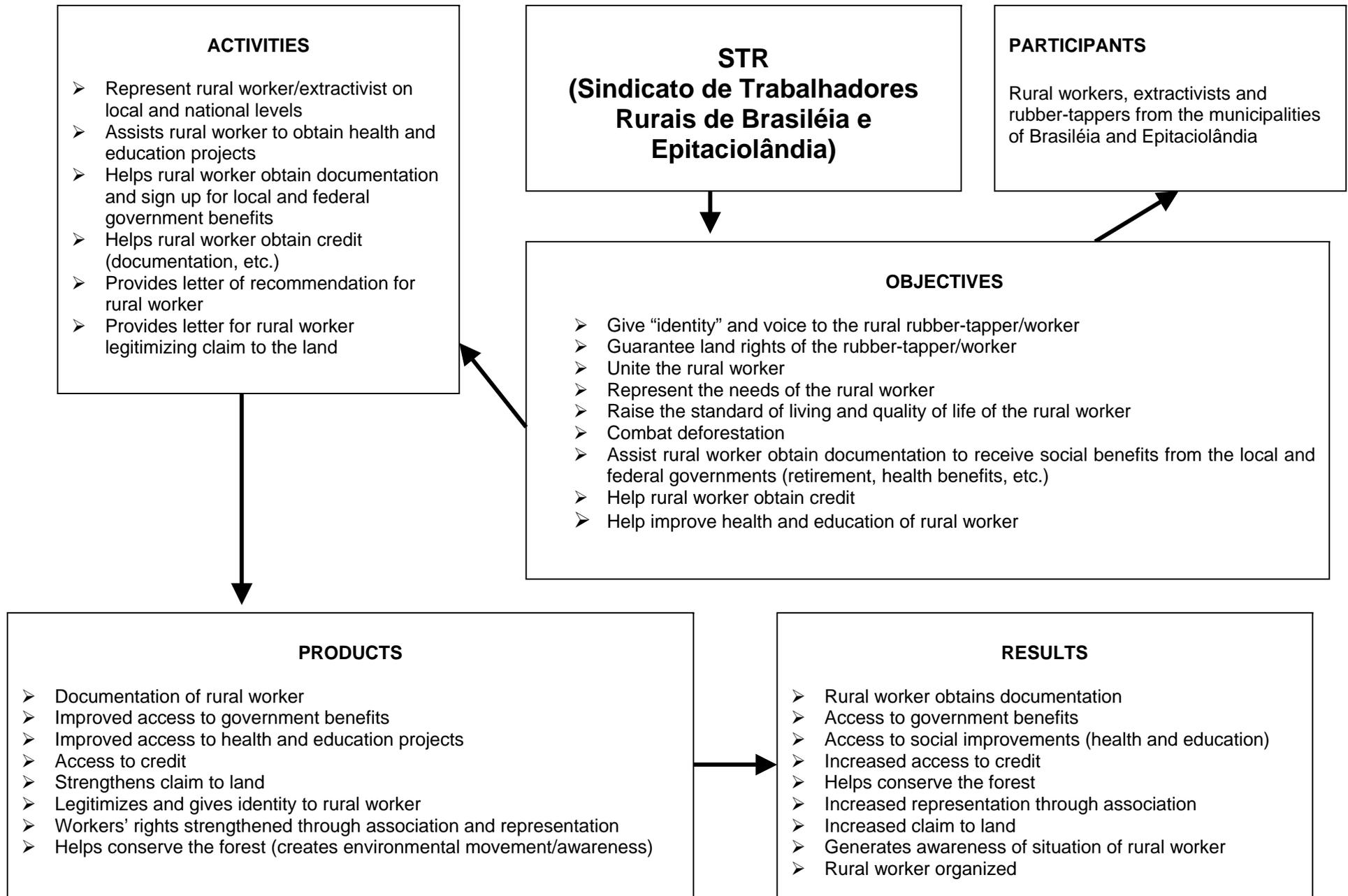
STR is a formally established association with CNPJ and has a statute that stipulates leadership positions (president, vice-president, etc.). The association also has the positions “Secretary of Women and Youth”, and “Secretary of Extractivism and Family Production,” whose jobs are to better represent and encourage participation in the association of these groups and sectors. Every three months a meeting is held with assigned delegates and the leadership of the association. A general assembly with members and leadership is held once per year. During this general assembly important decisions are voted upon and accountability of the association’s money is presented to the members. Aside from these formal meetings, STR also has a set calendar of visits and meetings in local communities with its members.

In order to become a member of STR, one must: 1) live in the municipalities of Brasília or Eptaciolândia, 2) be a small producer or extractivist (cannot be a rancher, businessman, etc.), and 3) pay an entry fee of 2% of a minimal salary (\$R 240) (although this is not currently enforced). Once a member of STR, one must: 1) participate in meetings, 2) pay a monthly fee of \$R 4, 3) participate in activities as necessary (strikes, etc.), and 4) wait 90 days as a member before he/she can begin to receive benefits. There are many benefits to being a member of STR including: 1) orientation to obtain personal documentation, 2) access to social benefits from local and federal governments, 3) access to credit, 4) a declaration from STR legitimizing claim to the land, 5) a recommendation letter from STR supporting the member as a rural worker, and 6) representation as a rural worker before entities.

In regards to infrastructure, STR has 4x4 cars, motorcycles, and an office in Brasília with at least 6-10 staff members. Although STR has these facilities, administration, accounting and documentation is all done using outdated, handwritten systems. Perceptions are that these types of systems could easily be falsified. STR does not appear to be run very efficiently and at the time of interviews members complained that STR's staff lack human relations skills and members are treated badly and must often wait hours to be assisted. Given that STR has such a large membership and should have sufficient finances from that membership, its facilities and administration should be more modern and efficient than what is currently encountered.

In addition, the leadership of STR is overstretched in their time and duties and lack administration skills and often, formal education. The president, although an experienced union and association leader who understands well the objectives of STR, expressed his concerns of lack of medium-and long-term planning in the administration of the association. As a result, he feels the association focuses only on short-term concerns and does not have a long-term vision or strategy. Aside from these difficulties, STR also faces another difficulty- given STR caters to a rural population, often communication and organization of members is difficult. Many members are located in isolated places where access is limited. Although STR has a set schedule of community meetings and produces a bi-monthly bulletin to inform members of happenings, attending to the needs of these rural populations and communicating with members is difficult due to sheer distance and accessibility.

STR receives support from outside entities including: 1) the Conselho Nacional dos Seringueiros (CNS), 2) the Catholic Church, 3) Federação dos Trabalhadores do Acre (FTA), 4) ACOUT, and 5) Grupo de Trabalhadores da Amazônia (GTA). CNS supported the founding of STR by providing funding, information and assistance in the documentation of the association. The Catholic Church also supported in the organization of STR and encouraged the social movement backing the association. FTA and ACOUT currently assist STR in its representation before the state government, while GTA helps represent STR on the national level. STR was chosen because it is an association that plays a key role in the environmental movement of Acre and the Amazon; aims to represent and give identity to the rural worker, extractivist and rubber-tapper; and has the goal of preventing deforestation.



## **5.8 Wilson Pinheiro II - BR 317, Km 5, Ramal Esperança, Brasília, AC**

Wilson Pinheiro II is an association created in 2000 with approximately 57 members (39 men and 18 women). This association is comprised of extractivists and small producers living in the seringal Porvir Velho, within the Chico Mendes Extractive Reserve (Resex), Brasília, AC. The members themselves created Wilson Pinheiro II when another small association in the seringal, Hilton Sena, was disbanding. The objectives of Wilson Pinheiro II as defined by its members are: 1) to work together to obtain community development projects (schools, health post, etc.), 2) obtain financial resources for the seringal, and 3) obtain economic projects that raise the standard of living of the small producers.

Wilson Pinheiro II is currently participating in several economic development projects. With support from WWF in collaboration with the cooperative COOPERVACRE and several other small associations from the region, the association is hoping to process, commercialize and sell açai pulp in 2005. With the support of EMBRAPA, the association has mapped areas of açai and Brazil nut and participated in research of the ecology of these species. In 2003, again with the support of EMBRAPA, the association sold 766 "latas" (unit of measurement) of Brazil nut to a Rio Branco- based company. The small producers of Wilson Pinheiro II also sell their traditional crops (rice, beans, coffee, some Brazil nut, etc.) to the cooperative CAPEB in Brasília. Currently, CAPEB is seeking to certify organic all Brazil nut it buys from small producers, thus the members of Wilson Pinheiro II that sell Brazil nut to CAPEB will soon be complying and receiving technical assistance to obtain organic certification.

In regards to infrastructure, the association has two meeting areas ("barracão")- one that serves as a dryer and storage area for Brazil nut and other tropical fruits, a rice processing machine, and access to the facilities and machines for processing açai pulp through COOPERVACRE. Although access to Wilson Pinheiro II is via a dirt road, the community is located close to the city of Brasília (5 km) and has relatively better access than other similar areas in the Resex. Distance between members can be great, however (many hours walking between lots) and this often impedes communication and organization of the association. In general, however, Porvir Velho is accessible, and this may work positively for the association in regards to the transportation of products, etc.

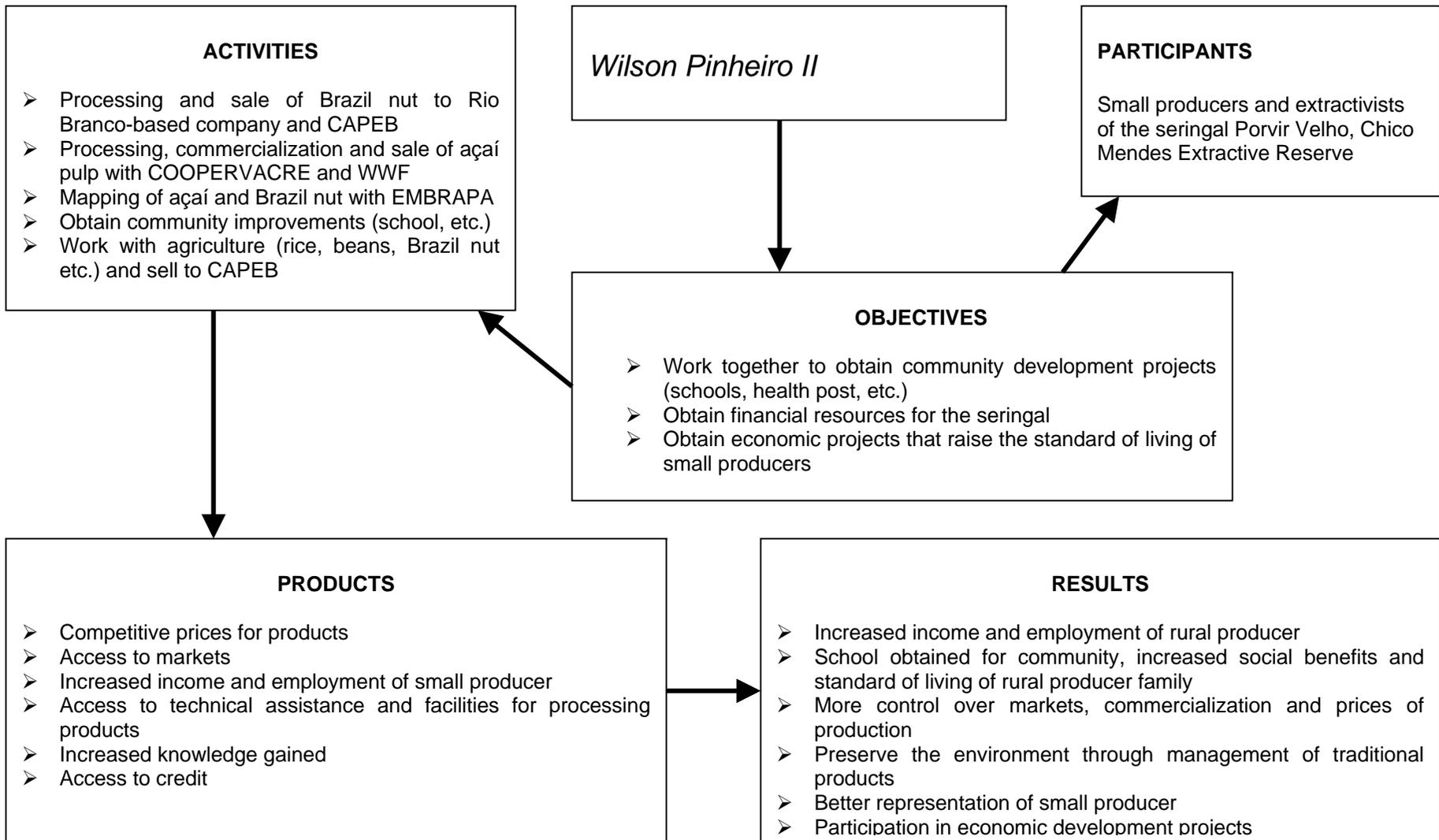
Wilson Pinheiro II is formally documented (CNPJ), has a statute and formal leadership structure (president, vice president, etc.), and meets once per month with members and leadership. There are several stipulations to become a member of Wilson Pinheiro II and they are: 1) participation in at least three consecutive meetings to better understand the statute, 2) must be an inhabitant of the Resex, 3) must

be a small producer or extractivist, 4) must be older than 16 years of age, and 5) must pay an entry fee of \$R 50. Once members of the association, obligations include: 1) pay a fee of \$R 1/month, 2) not miss more than three consecutive meetings, and 3) support the objectives of the association. As members of Wilson Pinheiro II, benefits include: 1) access to credit, 2) access to information and recognition, 3) better representation in general, 4) access to the rice processing machine, 5) access to economic projects, and 6) access to social/community development projects.

Through interviews conducted with the president and members of Wilson Pinheiro II, perceptions are that the association is disorganized and members are unsatisfied with the current leadership and in particular, the president. Members frequently complained of the president's lack of initiative, administration skills and organization. There also appears to be a lack of trust and union between members due to personal conflicts. Personal observations demonstrate that the president indeed lacks communication skills and does not appear to know or understand well the objectives of the association or the statute. All of these barriers jeopardize the functioning of the association.

Outside entities that support Wilson Pinheiro II include: 1) WWF, 2) state government of Acre, 3) federal government, and 4) EMBRAPA. WWF provides financial, organizational and technical support to the association. The state and federal governments provide financial support the association while EMBRAPA has provided technical/research assistance and facilitated the sale, processing and marketing of Brazil nut. The cooperatives COOPERVACRE and CAPEB also provide some organizational support to the association.

Wilson Pinheiro II was chosen because it is an association of small producers and extractivists located within the Resex Chico Mendes. In addition, the association works largely with the sale and commercialization of non-timber forest products (açai and Brazil nut) and is thus dependant on the forest. The following summarizes the objectives and functions of Wilson Pinheiro II:



## **5.9 APRAAR - Associação dos Pequenos Produtores Rurais de Altamira e Região, Altamira, PA**

APRAAR is one of the pioneer associations in the Transamazon region. It was created in 1990<sup>4</sup> in the municipality of Altamira, Pará State. Since its foundation, APRAAR works in close alliance with Altamira's Rural Workers' Union (*Sindicato dos Trabalhadores Rurais, STR*).

The reason for this close relationship is that in 1990 pushed by string grassroots mobilization, the Brazilian government created a credit line for small farmers, called FNO Especial. One of the requirements to access this credit line was that small farmers had to be part of a formal association. Since the STR itself could not access credit, they created APRAAR as a legal organization for obtaining access to small farmers. Therefore, it was first created to help small farmers to get access to credit<sup>5</sup>, and later create a cooperative.

One of their main objectives is political. As stated above the association works very closely with the Altamira's Rural Workers Union (*Sindicato dos Trabalhadores Rurais, STR*) and they strengthen activities promoted by the STR and emphasize the importance of small farmers being united as a category.

Moreover, APPRAAR creates and promotes alternatives for better income generation for small farmers. They also had what they called "alternative" projects: honey production (about 50 families) and rice produced in communal machines. Both project were support financially by Cáritas<sup>6</sup>. The Altamira's STR commercializes all the honey production. And it is also involved in providing seedlings necessary for the implementation of the SAFs<sup>7</sup>

In addition, APRAAR helps and informs small farmers about relevant issues and therefore consists as a forum to gather and transfer information about important topics related to family-based agriculture and small farmers livelihoods.

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<sup>4</sup> The rural workers union (*Sindicato dos Trabalhadores Rurais, STR*) in Altamira was founded in 1968. However, since its foundation it was coordinated by ranchers political interests, and not by the small farmers. In 1989/90 the small farmers took over the union. Therefore, the association was created right after this change in the STR leadership.

<sup>5</sup> In 1988 as a result of intense social mobilization, it was created a new credit line for smallholders called FNO-Especial (FNO-Special). It was a different credit line since it was designed for small producers and to have access to this credit they had to be organized in associations.

<sup>6</sup> Caritas is a institution affiliated with the Catholic Church. The 50% of the money was given to the projects, and the other 50% had to be returned in a couple of years.

<sup>7</sup> The plant composition of SAFs was fixed and they could only choose from few species, such as cupuaçu, coffee, coconut, black pepper, cocoa, andiroba, ipê and other timbers species

As future plans, APRAAR will start a project of honey production with native bees (supported financially by MMA). In this projects they want to manufacture the tools they need. The families will receive these materials and participate in workshops<sup>8</sup>. They also plan to revitalize the seedlings production<sup>9</sup> and to stimulate fish production in artificial tanks as part of the colonists' farmers productive system

Currently, APRAAR receives external financial Support from several organizations: FVPP<sup>10</sup>, Cáritas (Catholic Church), Brazilian Ministry of Environment (MMA), and PRONAF (federal credit for family-based agriculture)

In terms of leadership structure, there are 6 people that coordinate the association: one president, one vice-president, first and second secretaries, and first and second treasurers. The president has a 3-year mandate and can be reelected only once. Its current president is a strong grassroots' leader trained by Catholic Church

They have one assembly a year to discuss budget use. Every two years they vote for a new president. In the previous elections everybody, even the ones that had debts to the association could vote for President<sup>11</sup>. Voters are only the ones that have no debts with association. Election is mostly by acclamation (not secret vote!)

APRAAR has had several problems since its creation. The problems vary from financial and technical ones to socio-political. Financial problems stem from a lack on operating capital, created because the members don't pay their monthly fees<sup>12</sup>. It has only survived because of its intimately connection with the Altamira's STR. The STR and the association shared several of the leadership and then the STR pays for their gratitude and that saves associations' money.

During the time of accessing credit, APRAAR faced several problems with the bank and the small farmers. According to the credit line requirements, the bank was the institution that would establish where the cattle, seedlings and other materials from the credit line could be bought. They favored big landowners and didn't support the association.

There is a high cost to be a leadership and stay in the city. To do a good job the leadership has to live and the city and practically abandon their properties. The remuneration is very low and to make things

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<sup>8</sup> In these workshops several environmental problems resulted from bad agriculture practices, soil degradation, deforestation along rivers, and others are discussed.

<sup>9</sup> Seedlings will be necessary for a new credit line that is about to be institutionalized, in which colonist farmers get credit for forest restoration.

<sup>10</sup> FVPP is an umbrella foundation that represents more then 150 grassroots organizations in the Transamazon and Xingu regions.

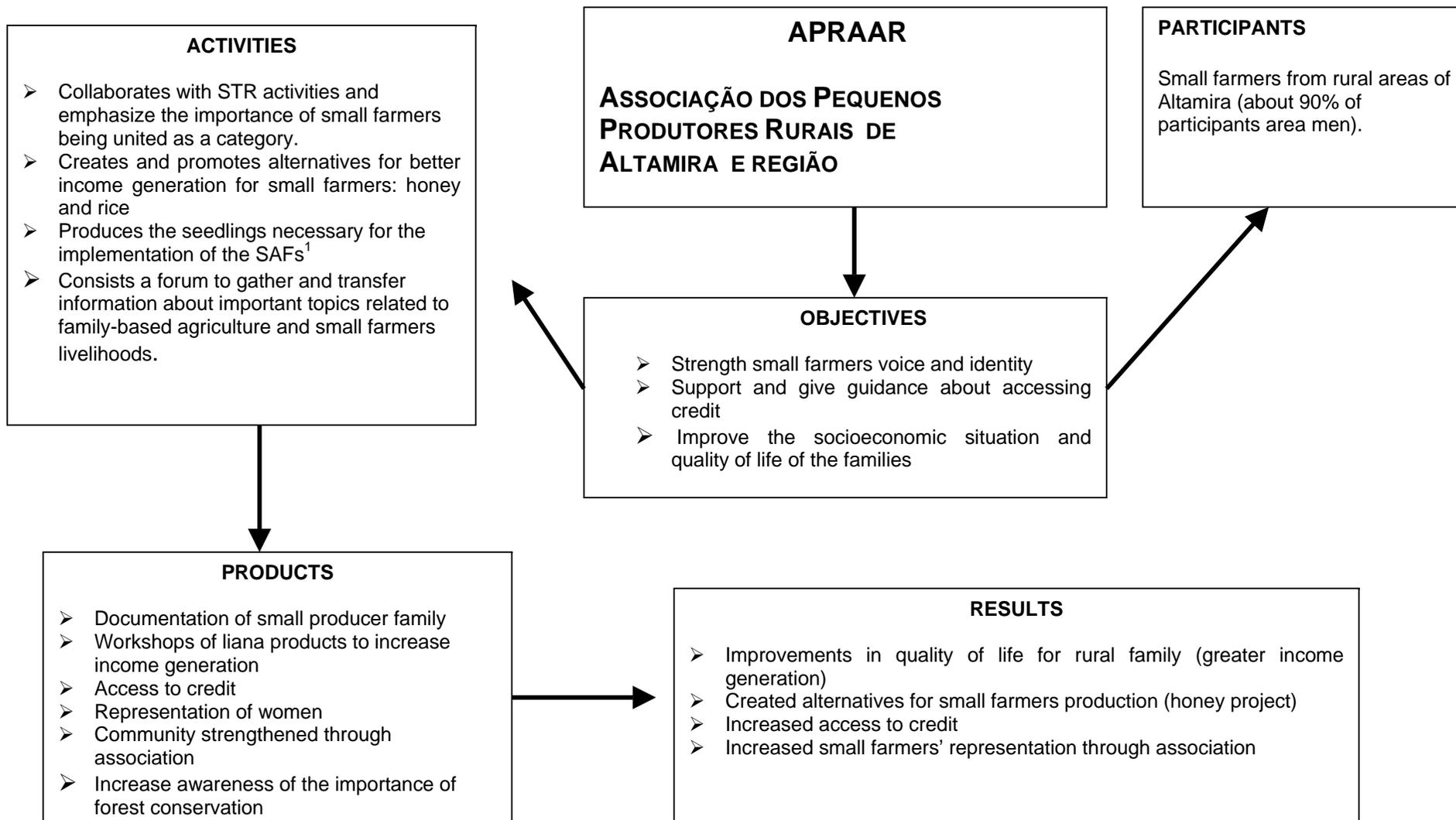
<sup>11</sup> However, changes in the Brazilian Civil Code, only people who have paid their association dues will be able to vote for President and other associations' leadership.

<sup>12</sup> Members have to pay one sac of manioc flour per month.

worst, they have most no profits from their land. Moreover, the sense of associativism and cooperation is very rare among smallholders in the region<sup>13</sup>. Also, the leaders and members of APRAAR suffer strong opposition from big producers and middlemen, who do not want associations to get bigger and stronger in the region.

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<sup>13</sup> We believe that getting together in enterprises is harder in frontier areas, especially in the beginning where small farmers don't know their neighbors well.



### **5.10. COOPERSAME – Cooperativa dos Agricultores de Medicilândia, Medicilândia PA**

COOPERSAME first created in 1990 as the association ASAME (Association of Agriculturalists of Medicilândia), it became a cooperative in 1992. The main reason for its creation was try to improve the commercialization of cocoa in a way that would favor the small producers. Medicilândia is the municipality that has the highest cocoa production in Brazil.

At the time of its creation, cocoa chain of commercialization in the region was constituted of big companies and several middlemen. The price paid for the cocoa was much lower in comparison to other areas in Brazil<sup>14</sup>. Therefore, the main objective was to restructure the cocoa chain of production and commercialization by selling directly to the companies and eliminating the middlemen.

Its main achievement was being able to export its cocoa directly to companies in France and Germany. Another important accomplishment was the analysis of cocoa quality. The quality of the cocoa produced along the Transamazon region was portrayed as inferior in comparison to other regions. COOPERSAME was able to request a scientific analysis of the regional cocoa and it turns out that its quality was superior to the cocoa produced in other parts of Brazil<sup>15</sup>

However, the commercial relationship with the foreign companies failed because COOPERSAME was not able to fulfill the amount of 100 tons/month. Afraid of competition and the complications that a successful cooperative could mean, the large companies, such as Cargill, started to offer higher prices for the cocoa produced by the small farmers. Moreover, they established a relationship of dependency with the small producers. The middlemen hired by the companies started lending money to small farmers before the harvest season. So, whenever small farmers needed money they asked for advance payments, which forced them to sell their cocoa to the big companies. COOPERSAME unfortunately did not have enough money to do the same and lost the cocoa production from several farmers. In short, the intervention of big and powerful companies, the lack of money in the cooperative to fulfill the small farmers needs, and the loose of alliance between small farmers were the main reasons why consequently, COOPERSAME could not fulfill the agreements.

According to the leadership thee most difficulties are financial, and lack of capital to invest in supporting small farmers during non-harvest

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<sup>14</sup> In the Transamazon region the kilo paid for cocoa was three times less than the price paid for cocoa in Bahia, another big cocoa producer are in Northeast Brazil.

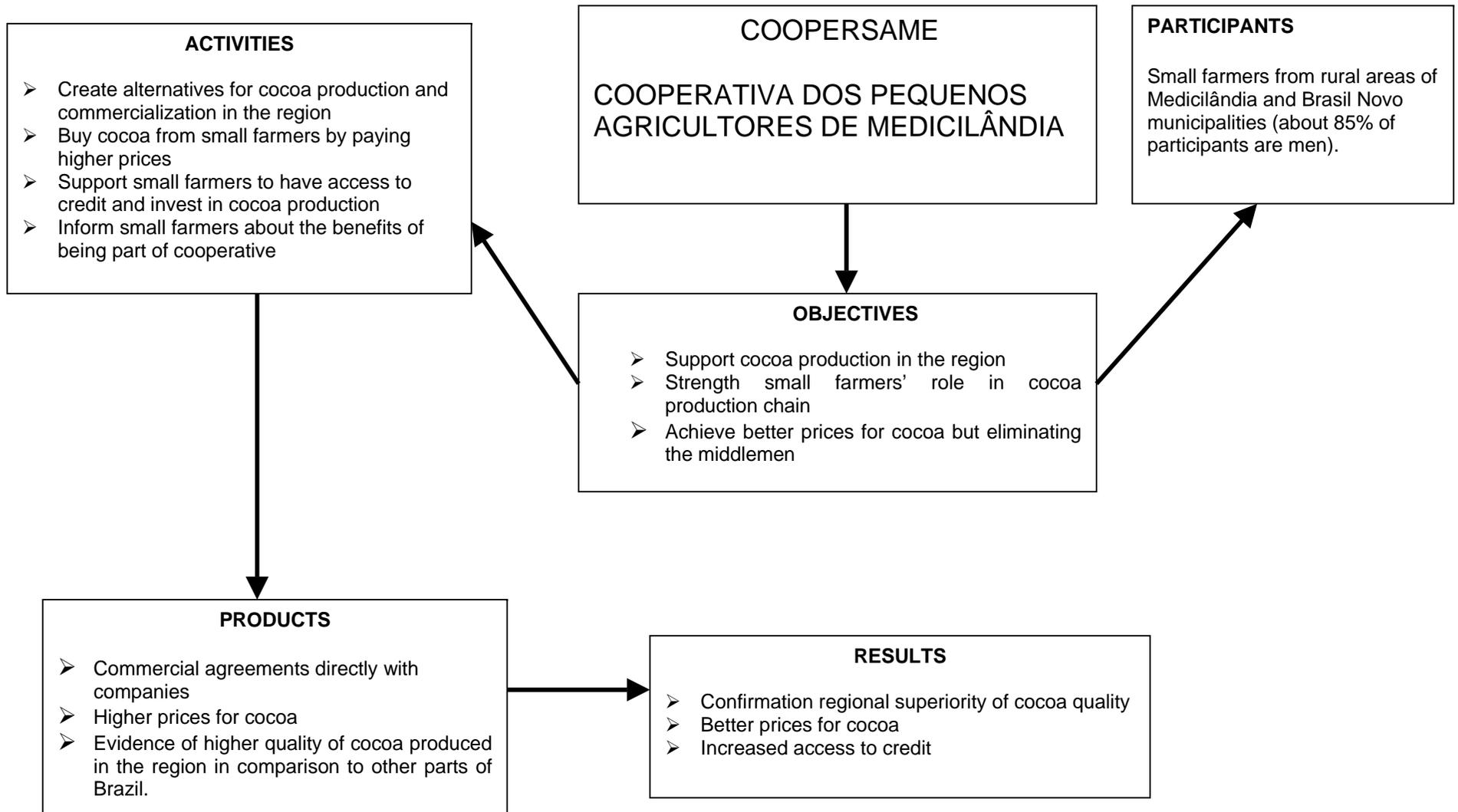
<sup>15</sup> The cocoa produced along the Transamazon has 2% more fat than the cocoa from other parts of Brazil. This higher concentration of fat makes harder for the chocolate to melt.

periods. Moreover, the lack of understanding about the importance that the cooperative could have in their future has also challenges the cooperative activities. It is necessary that COOPERSAME promotes a better dialogue and inform small farmers about the importance of the cooperative and how successfully that could impact their lives if they stay together.

In terms of leadership structure, there are six people that coordinate the association: one president, one vice-president, first and second secretaries, and first and second treasurers. The president has a 3-year mandate and can be reelected only once.

There are 280 members of the cooperative are small farmers that reside in the municipalities of Medicilândia and Brasil Novo. The members recognize the importance of the cooperative, and they know that it will always try to get the best price and that it will help them with assistance to obtain credit. The members' obligations are to sell 100 kg of cocoa to the cooperative, participate in the meetings and pay its debts on time. However, members are free to sell the products to other people. Currently, the cooperative has not been well managed, and members complain about lack of transparency and delays in receiving credit money.

COOPERSAME's future plans consist in trying to increase productivity em smaller areas through irrigation systems and strength community cocoa production. Moreover, they want to invest in an educational program that would inform about the importance of the cooperative for their livelihoods. Medicilândia is the biggest municipality in terms of cocoa production and that can still be increased. A better management and unity in the cooperative could be a big difference for farmers' income in the region.



### **5.11. EMANUELA - Associação de Mulheres e Campo e Cidade de Porto de Moz,<sup>16</sup> Porto de Moz, PA**

EMANUELA is a small association with about 150 members and its located in municipality of Porto de Moz, along the Xingu River, in Pará state. It was created on September 13, 1998. About 90% of its members are women that live along the Xingu River.

During its existence they have received support from different organizations and people, and this has been vital for the survivorship. They have received financial Support from: FVPP<sup>17</sup> and Brazilian Ministry of Environment (MMA). Political support from State Deputy: Airton Faleiro (worker's party), and technical support: LAET<sup>18</sup> and EMBRAPA/CIFOR. More recently, EMANUELA also has a partnership and financial support, for project related to gender issues from DED, Germany.

The association's leadership is composed by 6 people: one president, one vice-president, first and second secretaries, and first and second treasurers. The president has a 2-year mandate and can be reelected only once. They have one assembly a year to discuss budget use. Every two years they vote for a new president. In the previous elections everybody, even the ones that had debts to the association could vote for President<sup>19</sup>. The current president is Maria Creuza da Gama Ribeiro, a very strong and vocal from the women's movement.

The main objectives of EMANUELA are: 1) to help women to get their documents (which are crucial for benefits such as pregnancy and retirement); 2) to give orientation in women's health issues, and 3) to help women generate greater income

Their first campaign was related to obtaining documents such as birth certificates, national identification cards, and worker's card. It was an essential first step into the recognition of people there since for example, there were several women that didn't have even their birth certificate. Also, the campaign wanted to explain them the importance of having their documents in order to receive federal and state benefits. This campaign was very successful and it was supported financially by FVPP.

The second activity developed by EMANUELA aimed to improve women's income generation. The main income generation that women

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<sup>16</sup> Rural and Urban Women's association of Porto de Moz - EMANUELA

<sup>17</sup> FVPP is an umbrella foundation that represents more than 150 grassroots organizations in the Transamazon and Xingu regions.

<sup>18</sup> LAET is a regional research NGO and stands for Agro-ecological Laboratory of the Transamazon Highway. LAET helped them to conduct community forestry management before the creation of the association.

<sup>19</sup> However, changes in the Brazilian Civil Code, only people who has paid their association will be able to vote for President and other associations' leadership.

have there is manioc flour. They realized that in most communities there were women that knew weaving using lianas and palm fibers. Then 1998-9 they had a workshop in the communities, in which women touch others what they knew. Then via FVPP they wrote a project to the Brazilian ministry of environment (MMA) asking for R\$ 73.000,00 (about U\$ 24.500,00). In this project they wanted to support to initiatives: 1) liana<sup>20</sup> weaving and Brazil nut processing. However, they were granted with only 40.000 (about U\$14.000).

Since the first workshop liana management was an important issue for the project<sup>21</sup>. Moreover, they also realized that people from Santarém (bigger regional urban center) had started buying liana in the region because of its scarcity in their region. Then they started contacting technicians and professors they knew about information of liana biology and management. However, they could not find anyone to had this information<sup>22</sup>. Then they had been trained by a regional NGO, LAET, on how to conduct forestry inventories and they followed a similar technique. About 35 people in 7 communities are involved in this project (5 from each communities, 4 women and 1 man). Their inventories were conduct in all communities. They published the result of this inventory as booklet.

In terms of future plans, they are starting a partnership with EMBRAPA/CIFOR to start a study of titica's biology and management, which will start their activities during the dry season this year.

They are also writing a grant to MMA for financial support for a second phase<sup>23</sup>. In this second phase will support the same communities, but they want to diversify to nine products that could increase women's income (some examples are medicinal plants, sweets. Palm fiber crafts, seeds). According to them, their strategy is to diversify the products so there is no internal competition.

Although EMANUELA has been able to perform its main plans several it has encountered several problems. The main problems are the following:

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<sup>20</sup> The liana species used for basket and furniture weaving is named: cipó titica.

<sup>21</sup> This preoccupation with management has a lot do with the history of some of they communities went through. In the early of the 1990s, after the construction of the hydroelectric dam in Tucuruí River, the big industrial boats started to come to the Xingu River and destroy the communities' fisheries. In several interviews this is an important fact that made them think a bout management.

<sup>22</sup> Although this liana is commonly used throughout the Amazon region, according to a researcher from EMBRAPA, it seems that there are no scientific information on titica's biology and management.

<sup>23</sup> The coordinator of the Secretary of Agro-extractivism at MMA, Ana Lange, was visiting the project while I was there. She encouraged them to submit a new proposal and mentioned she was happy with the first results. During a meeting with MMA coordinator and some women they were able to discuss some problems related to the titica's project.

- Lack on operating cash especially because the members don't pay their monthly fees.
- They would like to buy a house for the associations' headquarters<sup>24</sup>.
- They lack legal advice especially on issues related to women's violence.
- Problems related to commercialization of their products. Local people don't value their work.
- Problems related to the budget for workshop. Most women can't leave their kids at their communities when they go away to participate on the workshops. Therefore, the great majority brings their kids with and the cost of the workshop increases a lot. Moreover, if the women or their kids get sick during the workshop the association ended paying for the health costs.

According to EMANUELA's leadership, the association's main achievements are: 1) greater participation in social movements and local politics; 2) increase of women with documentation in order (greater sense of citizenship and access of federal benefits), and 3) increase of warmness of importance of environmental protection<sup>25</sup>.

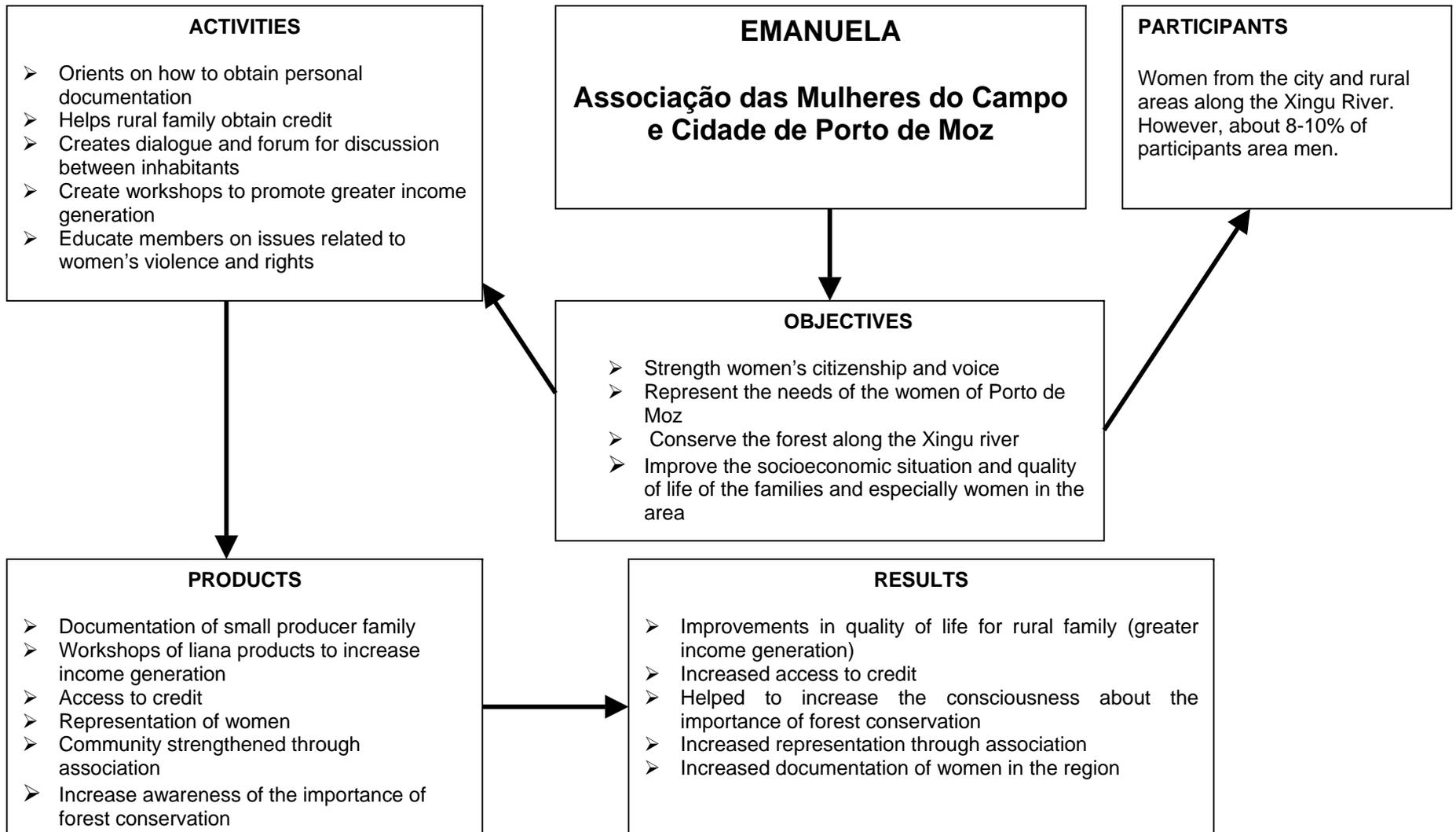
The association members' acknowledge that important role the association has had in improving their lives. The documents obtained and benefits from participating in the liana project had a large impact on member's life. Some members' even say their participation in the liana project made them discover a talent they didn't know they possessed and increased their appreciation for the value of forest. However, the members perceive some constraints related to association's activities related to commercialization of products and association management and leadership. Because their liana products are sold only locally, they are usually not valued by the local population.

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<sup>24</sup> Today they rent a house in the city.

<sup>25</sup> In Porto de Moz there is a discussion about the establishment of an Extractive Reserve. They have been very active politically and among the different communities. Moreover, they helped create with Rural Workers Unions, 10 communal areas (ranging from 7.000-14.000 ha each). These areas have been demarcated but not legalized. The communities created these areas to protect forest areas against the accelerated expansion of loggers in the region. Seven out of 10 communal areas are part of the Extractive Reserve.

Moreover, there are some problems associated with leadership transparency: some women left their products at the association's headquarters, but never received their money back; they never saw the association's budget; and they didn't know about the association's future plans.



### **5.12. MMCC - Movimento de Mulheres do Campo e Cidade do Município de Placas, Placas, PA**

The rural and urban women's movement in the municipality of Placas along the Transamazon Highway was created in 2001 as a result of Catholic Church support groups. This organization deals with several different kinds of issues: women's health, young and adult education, political women's voice and greater income generation. They have a strong support from the FVPP, which is an umbrella organization for more than 150 grassroots organizations along the Transamazon Highway. Moreover, they also wanted to strength their participation in regional social mobilization.

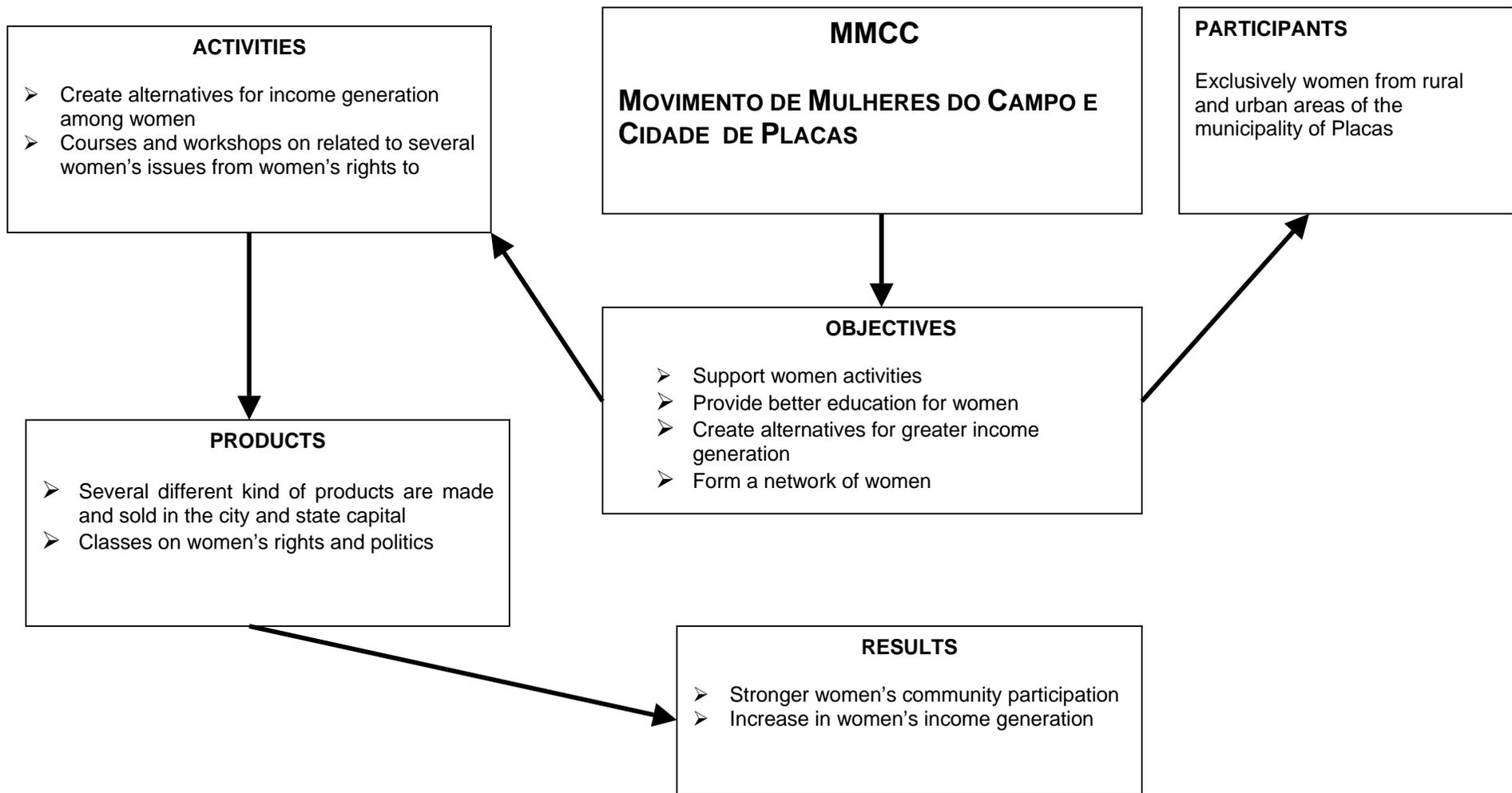
MMCC's main challenge is to find financial support for its activities. They have been selected among thousands of grassroots organizations to obtain support from GTA<sup>26</sup> (Amazonia Worker's Group). With their support they were able to held several types of workshops, ranging from women's rights, computing, sewing, and making jellies, marmalades, liqueurs and liana furniture. They want to fund raise for to buy a house to use as the headquarters of the organization. More recently they started a community organic nursery. They have been successful in selling their production to state capital. Representatives of the Ministry of Environment recently visited them.

In terms of leadership structure, there are 6 people that coordinate the association: one president, one vice-president, first and second secretaries, and first and second treasurers. The president has a 2-year mandate and can be reelected only once. The current president is a very strong leader who has lived in the region for more than 30 years.

Only women from the municipality of Placas can be members of this organization, and they comprise a total of 250 members. They all benefit from the different courses held at the organization center, such as sexual education, women's rights, but especially the ones that give alternatives for income generation, such as the liana furniture and the sweets.

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<sup>26</sup> GTA is a Brazilian NGO and stands for *Grupo de Trabalho da Amazônia*. Its headquarters is in Brasilia the National capital, but they support different activities from environmental conservation to women's issues throughout the Brazilian Amazonia.



## Annex 2. Survey Instruments

### I. INDIVIDUALS/MEMBERS OF ASSOCIATIONS

#### *Ler antes da entrevista*

Meu nome é (nome do entrevistador). Eu trabalho pelo Instituto de Pesquisa Ambiental da Amazônia (IPAM). Este instituto faz vários tipos de pesquisas e trabalhos com comunidades rurais na Amazônia. Estamos realizando um diagnóstico sobre associações no setor florestal. O objetivo desse diagnóstico é descrever as qualidades e características das associações para entender de que forma a associação atua. Seria possível você participar desta pesquisa? Você vai precisar responder algumas perguntas, todas suas respostas ficarão completamente em segredo. Agradecemos sua colaboração.

**Observação:** Se a pergunta não se aplicar ao entrevistado, se o entrevistado não responder ou responder que não sabe, favor colocar um ---X---, Se a resposta se referir ao valor zero, favor colocar número 0. Favor de escrever as informações em letra de forma.

1. Data da entrevista: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_
2. Nome do entrevistador (a): \_\_\_\_\_
3. Nome completo do entrevistado (a): \_\_\_\_\_  
Sexo ( ) Masculino ( ) Feminino Idade: \_\_\_\_\_ ano(s)
4. Comunidade (seringal) e Município: \_\_\_\_\_
5. Quantas famílias moram nessa comunidade (seringal)?  
\_\_\_\_\_ famílias ( ) não sabe
6. Existe uma associação nessa comunidade (seringal)?  
( ) sim ( ) não ( ) não sabe ( ) não respondeu
7. Existe mais que uma associação nesta comunidade (seringal)? ( ) sim ( ) não  
Quais são as associações? **(favor escrever o nome completo dela(s))**  
1) \_\_\_\_\_  
2) \_\_\_\_\_  
3) \_\_\_\_\_  
4) \_\_\_\_\_
8. Você participa de alguma associação dessa comunidade (seringal)? ( ) sim ( ) não
9. Você participa de alguma associação de outra localidade? ( ) sim ( ) não
10. De quantas associações você já participou em sua vida? \_\_\_\_\_ associações
11. De quantas associações você é membro atualmente? \_\_\_\_\_ (número)  
Qual é o nome da(s) associação(s) da qual você é sócio atualmente?  
**(favor escrever o nome completo dela(s))** A associação é:  
1) \_\_\_\_\_ ( ) ativa ( ) parada  
2) \_\_\_\_\_ ( ) ativa ( ) parada  
3) \_\_\_\_\_ ( ) ativa ( ) parada
12. Se você é ou foi sócio em mais de uma Associação, qual é o tempo, em média, que você permaneceu como membro? \_\_\_\_\_ (semanas) \_\_\_\_\_ (meses) \_\_\_\_\_ (anos)  
**De qual associação você gostaria de falar agora (do no.11)?**  
\_\_\_\_\_ (nome e tipo)
13. Quando foi formada esta Associação? \_\_\_\_\_ ano ( ) não sabe
14. Há quanto tempo você é membro da Associação? \_\_\_\_\_ (anos) \_\_\_\_\_ (meses)
15. Porque essa Associação foi criada? **(pode ser várias opções)**  
( ) Para ter acesso ao crédito rural  
( ) Para que a comunidade se organize e possa se auto-ajudar  
( ) Para o manejo de produtos florestais madeireiros  
( ) Para o manejo de produtos florestais não-madeireiros  
( ) Para viabilizar economias de escala na produção e comercialização  
( ) Como resultado da demanda de um indivíduo  
( ) Como resultado da demanda do governo  
( ) Outro \_\_\_\_\_
16. Vocês receberam ajuda na criação da Associação? ( ) sim ( ) não  
e/ou no gerenciamento? ( ) sim ( ) não

- Se sim, quem ajudou? (pode ser várias opções)**
- | INSTITUIÇÃO               | TIPO DE AJUDA                                      |
|---------------------------|----------------------------------------------------|
| ( ) governo               | ( ) financeira ( ) na organização ( ) outros _____ |
| ( ) ONG                   | ( ) financeira ( ) na organização ( ) outros _____ |
| ( ) empresas particulares | ( ) financeira ( ) na organização ( ) outros _____ |
| ( ) Outro _____           | ( ) financeira ( ) na organização ( ) outros _____ |

17. Quem ainda ajuda?

- ( ) ninguém **(pode ser várias opções)**
- | INSTITUIÇÃO               | TIPO DE AJUDA                                      |
|---------------------------|----------------------------------------------------|
| ( ) governo               | ( ) financeira ( ) na organização ( ) outros _____ |
| ( ) ONG                   | ( ) financeira ( ) na organização ( ) outros _____ |
| ( ) empresas particulares | ( ) financeira ( ) na organização ( ) outros _____ |
| ( ) Outro _____           | ( ) financeira ( ) na organização ( ) outros _____ |

18. A Associação tem conseguido atingir seus objetivos?  
 ( ) quase sempre ( ) algumas vezes ( ) raras vezes ( ) nunca
19. Você tem o direito de ser um líder na Associação se quiser? ( ) sim ( ) não
20. **Se não, porque não?** \_\_\_\_\_
21. Quantas reuniões a Associação realiza? \_\_\_\_\_ reuniões por:  
 ( ) mês ( ) bimensal ( ) Outro \_\_\_\_\_ ( ) não sabe
22. Quanto duram em média estas reuniões?  
 ( ) < 1 hora  
 ( ) 1 a 2 horas  
 ( ) 2 a 3 horas  
 ( ) 3 a 4 horas  
 ( ) > 4 horas
23. Você participa nas reuniões da Associação:  
 ( ) todas as reuniões ( ) freqüentemente ( ) raramente ( ) nunca
24. De cada 10 reuniões, de quantas você pode assistir? \_\_\_\_\_
25. Se você assiste as reuniões, como você descreve o que você faz?  
 ( ) coordeno as reuniões  
 ( ) participo ativamente nas discussões  
 ( ) participo nas discussões de vez em quando  
 ( ) apenas escuto os outros falarem  
 ( ) Outro \_\_\_\_\_
26. A Associação tem quantos sócios? \_\_\_\_\_ sócios ( ) não sabe
27. Como você descreve o trabalho da Associação?  
 ( ) parado ( ) razoável ( ) bom ( ) excelente ( ) não conhece ( ) não respondeu
28. Como o líder da Associação foi eleito?  
 ( ) voto da população  
 ( ) decisão do presidente anterior  
 ( ) decisão de gente de fora  
 ( ) Outro \_\_\_\_\_
29. Como os votos são contabilizados?  
 ( ) mãos levantadas  
 ( ) voto anônimo  
 ( ) Outro \_\_\_\_\_
30. O presidente da Associação mora na comunidade? ( ) sim ( ) não
31. Liste os maiores problemas da Associação  
 1) \_\_\_\_\_  
 2) \_\_\_\_\_  
 3) \_\_\_\_\_  
 4) \_\_\_\_\_
32. A Associação administra alguma propriedade de uso comum? ( ) sim ( ) não
33. **Se sim, que tipo? (pode ser várias opções)**  
 ( ) floresta ( ) lago/açude ( ) pasto ( ) terras agrícolas ( ) rio  
 ( ) Outro \_\_\_\_\_
34. **Se sim, como o acesso a esses recursos é controlado? (pode ser várias opções)**  
 ( ) por sorteio

- ( ) não é controlado  
 ( ) por regras definidas da Associação  
 ( ) por decisão da associação a cada evento que se faz necessário  
 ( ) Outro \_\_\_\_\_
35. A Associação tem estatuto (regras escritas)? ( ) sim ( ) não ( ) não sabe  
**Se sim continua, se não vai para pergunta no. 40.**
36. Quem criou o estatuto?  
 ( ) os sócios  
 ( ) a liderança  
 ( ) Outro \_\_\_\_\_  
 ( ) não sabe
37. Você tem uma copia deste estatuto? ( ) sim ( ) não  
**Se não,**
38. Você tem visto uma copia deste estatuto? ( ) sim ( ) não
39. Você tem ouvido alguém ler o estatuto? ( ) sim ( ) não
40. Você se considera:  
 ( ) pouco informado  
 ( ) razoavelmente informado  
 ( ) bem informado  
 ( ) muito bem informado  
 das funções da Associação?
41. A Associação lhe oferece algum incentivo financeiro? **(pode ser várias opções)**  
 ( ) transporte para as reuniões  
 ( ) acesso à água  
 ( ) dinheiro  
 ( ) crédito  
 ( ) participação em projetos econômicos  
 ( ) Outro \_\_\_\_\_
42. A Associação melhorou seu bem-estar? ( ) sim ( ) não  
**Se sim,** quanto? ( ) muito ( ) razoavelmente ( ) pouco
43. Você pensa em continuar assistindo as reuniões da associação? ( ) sim ( ) não
44. Você continuaria fazendo parte da Associação, mesmo sem uma mudança significativa em sua vida? ( ) sim ( ) não
- ou**
45. **Se não,** quanto tempo você aguardaria, como sócio da Associação, para ser beneficiado, antes de parar de participar?  
 ( ) < 6 meses  
 ( ) 6 meses a 1 ano  
 ( ) 1 ano a 1.5 anos  
 ( ) 1.5 anos a 2 anos  
 ( ) 2 anos a 2.5 anos  
 ( ) 2.5 anos a 3 anos  
 ( ) 3.5 anos a 4 anos
46. Em sua opinião, porque as associações falham ou até acabam?  
**(pode ser várias opções)**  
 ( ) todas as metas já foram cumpridas  
 ( ) não dá resultados  
 ( ) não dão apoio  
 ( ) falta de interesse dos sócios  
 ( ) Outro \_\_\_\_\_

## Comentários adicionais

## II. LEADERS

ENTREVISTA : _____ - _____ (USE NUMERAÇÃO SEQUENCIAL VINCULADA A UM CODIGO PARA CADA ASSOCIAÇÃO)
-----------------------------------------------------------------------------------------------------

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NOME DA ASSOCIAÇÃO: \_\_\_\_\_  
\_\_\_\_\_

ENDEREÇO: _____ _____ _____ _____
--------------------------------------------

NUMERO DE TELEFONE : ( \_\_\_\_\_ ) \_\_\_\_\_

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### PROJETO:

#### FORTALECIDOS POR ASSOCIAÇÃO

#### QUESTIONÁRIO 1 – LÍDER DA ASSOCIAÇÃO

- 1) Nossa pesquisa visa entender quais fatores determinam a real utilidade de diferentes tipos de associação em áreas que têm relação com a floresta - O objetivo é aprender o que realmente funciona em termos de associativismo para poder ajudar os membros e lideranças das associações.
- 2) Para conseguir isso, nós estamos entrevistando líderes e membros de associações nesta região.
- 3) Esta pesquisa esta sendo desenvolvida pelo Instituto de Pesquisa Ambiental da Amazônia (IPAM) e é parte de um amplo projeto internacional coordenado pelo Instituto Internacional para o Ambiente e Desenvolvimento (IIED) desenvolvido em parceria com instituições no Brasil, China, Guiana, Índia, África do Sul e Uganda.
- 4) Todas as informações coletadas por esse processo de entrevistas serão estritamente CONFIDENCIAIS! Não divulgaremos o que os entrevistados individuais disseram nessas entrevistas. As informações vão servir de base para confecção de material impresso.
- 5) Não existem respostas certas ou erradas para essas questões – o que realmente importa é que você dê sua opinião honesta sobre cada questão. Seu conhecimento é essencial para se entender como nós podemos fazer as associações funcionarem melhor.
- 6) Cada entrevista deverá levar aproximadamente uma hora.

## A. INFORMAÇÕES GERAIS

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Data: \_\_\_\_\_ Entrevistador (a) : \_\_\_\_\_  
Município: \_\_\_\_\_ Local da Entrevista: \_\_\_\_\_

## B. PERFIL DO ENTREVISTADO

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**Antes de falarmos sobre a associação propriamente dita, será útil conhecer um pouco da sua experiência e seu papel nessa associação.**

Nome completo: \_\_\_\_\_

Sexo: Masculino ( ) Feminino ( )

Data de nascimento: |\_\_|/|\_\_|/|\_\_|/|\_\_|/|\_\_|

Qual o seu papel nessa associação?:

\_\_\_\_\_  
\_\_\_\_\_

Há quanto tempo você participa desta associação? Quantos anos neste papel? \_\_\_\_\_

\_\_\_\_\_

Você sempre residiu nesta localidade? ( ) sim ( ) não

**Se não**, onde você vivia antes?

\_\_\_\_\_

Você já esteve envolvido em outras associações antes dessa? ( ) sim ( ) não

**Se sim**, quais?

\_\_\_\_\_

\_\_\_\_\_

**Se sim**, quais os papéis que você desempenhava e por quanto tempo?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### C1. História da associação e objetivos

**O objetivo desta seção é entender como essa associação em particular veio a existir (e assim entender melhor como as associações em geral se formam).**

O que levou a associação a ser criada e quem sugeriu isso?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Quando a associação foi formalmente fundada? |\_\_|/|\_\_|/|\_\_|/|\_\_|/|\_\_| (se você não sabe a data exata, tente lembrar mais ou menos em que ano foi)

A idéia para essa associação foi:

( ) inovadora e uma novidade ou ( ) copiando um exemplo de outra associação de outro lugar?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Quais foram as principais razões para você querer trabalhar junto numa associação ao invés de trabalhar individualmente? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

O que foi feito para encorajar as pessoas a se associarem?

- reunião especial  
 incentivos (e.g. dinheiro, presentes, etc),  
quais? \_\_\_\_\_  
 um interesse comum compartilhado e boca-a-boca  
 outro

\_\_\_\_\_  
\_\_\_\_\_

O número de associados está crescendo?  sim  não **ou**  ficando igual  
**Se sim**, o que está atraindo novos membros?

\_\_\_\_\_  
\_\_\_\_\_

**Se não**, porque os membros estão deixando a associação?

\_\_\_\_\_  
\_\_\_\_\_

Quais foram os objetivos originais declarados desta associação em qualquer um dos artigos do estatuto?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

Como esses objetivos foram definidos e por quem?

\_\_\_\_\_  
\_\_\_\_\_

Esses objetivos ainda representam as principais propostas da associação hoje?

sim  não

**Se não**, como esses objetivos foram mudando ao longo do tempo?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Na sua opinião, em que medida esses objetivos se adequam às necessidades de seus membros?

**(circule um dos números abaixo)**

Escala	0	1	2	3	4	5
	em nada	muito pouco	pouco	razoavelmente	bem	perfeitamente

Há algo que você gostaria que a associação fizesse, que ela atualmente não faz?

\_\_\_\_\_  
\_\_\_\_\_

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## C2. TORNAR-SE SÓCIO: SEUS CUSTOS E BENEFÍCIOS

O objetivo dessa seção é aprendermos porque os membros participam desta associação em particular (e entender melhor como os custos e benefícios podem ser melhor distribuídos em uma associação de forma geral).

Assumimos que associações funcionam bem quando os seus custos e benefícios são distribuídos de forma justa entre os seus membros. Queremos saber em que medida isso é realmente o caso.

A possibilidade de tornar-se sócio é aberta para indivíduos, ou para instituições ou para ambos?

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Quantos membros pertencem a esta associação?

Total: \_\_\_\_\_ e se aplicável (Homens: \_\_\_\_\_ e Mulheres: \_\_\_\_\_)

Se os membros são indivíduos, em que faixa de idade eles estão? (**marque vários se necessário**)

- ( ) menos que 21 anos  
( ) 21 a 40 anos  
( ) 41 a 60 anos  
( ) mais que 60 anos

A possibilidade de tornar-se sócio é restrita de alguma maneira? (por ex. limitada a uma determinada região ou área, limitada pelo tipo de profissão, limitada só para homens ou só para mulheres, etc)

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O que é exigido para tornar-se membro dessa associação?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

A associação cobra taxas de seus membros? ( ) sim ( ) não

**Se sim,**

- ( ) mensalmente em dinheiro, valor \$ \_\_\_\_\_  
( ) mensalmente em produto – o que e quanto? \_\_\_\_\_  
( ) anualmente em dinheiro, valor \$ \_\_\_\_\_  
( ) anualmente em produto – o que e quanto? \_\_\_\_\_  
( ) outros, descreva: \_\_\_\_\_

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Existem quaisquer outras responsabilidades ou deveres para o sócio?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

Existem tipos diferenciados de membros (por exemplo, sócio integral ou sócio parcial, sócios com direito de voto integral ou voto limitado de alguma forma, etc)? Existem concessões especiais para grupos que tenham necessidades específicas e se sim, como isso funciona?

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( ) ser sócio de alguma outra organização, qual? \_\_\_\_\_

( ) outras, (quais?) \_\_\_\_\_

Com que frequência às lideranças dessa Associação se encontram para discutir assuntos importantes?

( ) uma vez por semana

( ) uma vez por mês

( ) uma vez por trimestre

( ) uma vez por ano

( ) outro?: \_\_\_\_\_

Como as decisões da Associação são tomadas?

( ) voto dos membros

( ) pela decisão dos líderes sozinhos

( ) não existe um processo bem definido, claro ( ) outros, quais?

É necessário ter um quorum mínimo para que certas decisões sejam tomadas?

( ) sim, quais? \_\_\_\_\_ ( ) não

Porque? \_\_\_\_\_

Com que frequência as lideranças da Associação se encontram com os membros regulares?

( ) uma vez por semana

( ) uma vez por mês

( ) uma vez por trimestre

( ) uma vez por ano

( ) outro?: \_\_\_\_\_

Qual é o procedimento para um membro qualquer levantar um ponto para discussão junto às lideranças?

Em sua opinião, todos os membros são:

( ) tratados igualmente, ou ( ) alguns recebem tratamento especial?

Existe um grupo dominante dentro da associação? ( ) sim ( ) não

**Se sim**, como a existência desse grupo afeta os outros membros?

Existem mecanismos especiais que assegurem que os diferentes grupos (homens, mulheres, pequenos proprietários, etc.) tenham a chance de expressar suas opiniões livremente?

Em geral, na sua opinião, como a Associação é gerenciada?

**(circule um dos números abaixo)**

Escala	0	1	2	3	4	5
	péssimamente	muito mal	mal	razoavelmente	bem	perfeitamente

Em sua opinião, o que poderia ser feito para melhorar o gerenciamento dessa associação?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### C4. APOIO EXTERNO (PARCERIAS, POLÍTICAS E INSTITUIÇÕES)

**O objetivo desta seção é aprender quais apoios externos e quais os fatores limitantes externos têm mais afetado esta associação (e de forma geral, entender quais fatores constituem um ambiente favorável para que uma associação funcione melhor).**

**Assumimos que os apoios externos ou os limitantes externos podem ser fatores críticos em determinar o útil funcionamento de associações, e queremos identificar quais são esses elementos favoráveis e desfavoráveis para os diferentes tipos de associação.**

Foi necessário apoio externo para se fundar essa associação? ( ) sim ( ) não

**Se sim**, que tipo de apoio?

( ) de uma agência governamental,

qual?: \_\_\_\_\_

( ) de uma ONG,

qual?: \_\_\_\_\_

( ) de um banco,

qual?: \_\_\_\_\_

( ) de um indivíduo em particular, quem?: \_\_\_\_\_

( ) de uma outra instituição ou indivíduo, quem?: \_\_\_\_\_

**Se sim**, qual foi o papel desta instituição ou indivíduo na criação dessa associação?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Se sim**, quais instituições ou indivíduos de fora estão ainda envolvidos com a Associação, e o que eles fazem?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Se sim**, em sua opinião, teria sido possível criar ou manter a Associação sem o apoio desses agentes externos? ( ) sim

( ) não

Porque?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Essas instituições ou indivíduos de fora se encontram regularmente com a associação?

( ) sim ( ) não

**Se sim**, com que

objetivos? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Se sim**, com que frequência?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Existem outros indivíduos ou instituições que você pensa que deveriam estar ligados à associação?

( ) sim

( ) não

**Se sim**, qual instituição ou indivíduo?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Se sim**, para que?:

( ) ajuda financeira ( ) apoio político

( ) apoio técnico ( ) outro?

Existem instituições e políticas governamentais que incentivam a formação de associações tais como a sua? ( ) sim ( ) não

**Se sim**,

qual? \_\_\_\_\_

De que forma as políticas poderiam ser mudadas visando a melhorar o funcionamento dessa associação?

Quais são os principais obstáculos para o bom funcionamento da associação?

- ( ) falta de recursos financeiros
- ( ) pouco acesso à informação técnica
- ( ) problemas internos da associação
- ( ) falta de compromisso por parte dos sócios
- ( ) falta de apoio externo por parte do governo e outras agências
- ( ) outros,

quais?  
De que maneira as instituições externas tem apoiada à formação e o andamento desta associação?

**(circule um dos números abaixo)**

Escala	0	1	2	3	4	5
	de maneira alguma	muito pouco	pouco	razoavelmente	bem	Perfeitamente

#### D. Recapitulação

**O objetivo desta seção é revisar o que foi dito e capturar qualquer outra opinião e conclusão que podem não ter sido bem compreendidas nas perguntas anteriores.**

O que lhe agrada mais da maneira como a Associação trabalha ou o que ela tem conseguido?

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O que mais lhe desagradou na Associação e em seu trabalho?

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Se você tivesse que dar uma avaliação para a importância ou a utilidade em geral desta Associação, que avaliação você daria?

Escala	0	1	2	3	4	5
	sem importância	pouco importante	razoavelmente importante	importante	altamente importante	indispensável

Porque voce acha  
isso?

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Baseado na sua experiência, existe um fator que é fundamental para o sucesso de uma Associação como esta? ( ) sim ( ) não

**Se sim**, que fator é esse?

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Baseado em sua experiência, existe uma barreira que compromete o sucesso desta Associação? ( ) sim ( ) não

**Se sim**, qual é essa  
barreira? \_\_\_\_\_

\_\_\_\_\_

MUITO OBRIGADO POR SEU TEMPO E APOIO!  
Quaisquer comentários adicionais:

\_\_\_\_\_

\_\_\_\_\_