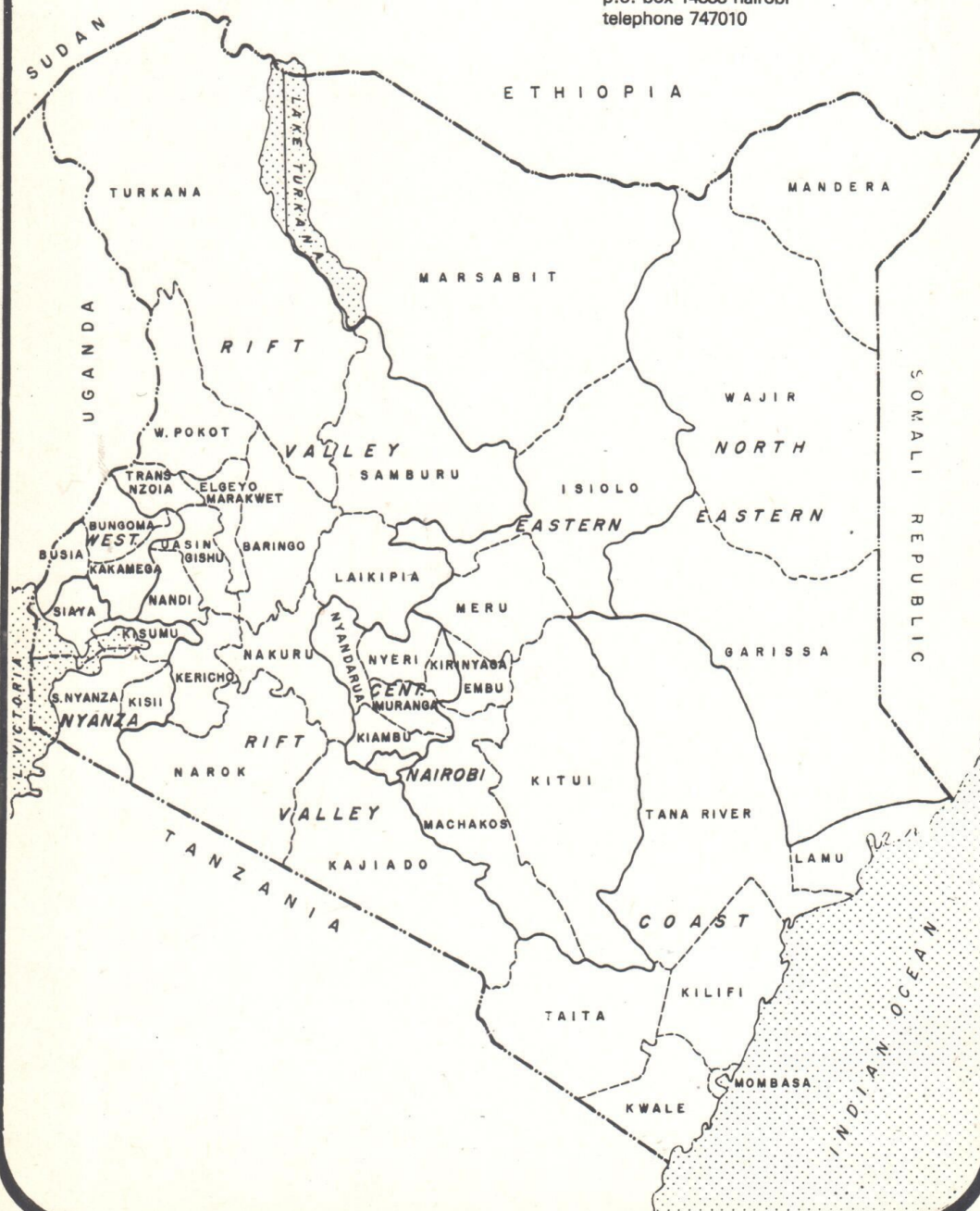


DISTRICT FOCUS: UNDP FOURTH COUNTRY
PROGRAMME MID-TERM REVIEW



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ELGEYO MARAKWET ASAL FORMULATION



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FORMULATION MISSION FOR ARID AND SEMI-ARID (ASAL)
DEVELOPMENT PROGRAM IN ELGEYO MARAKWET
OCTOBER 1988

Table of Contents

1.	INTRODUCTION	3
1.1.	Mission Composition	3
1.2.	Mission Itinerary	3
1.3.	Elgeyo Marakwet ASAL: Brief Background	3
1.4.	Restart of ASAL Program	4
1.5.	Ministries' Implementing Capacity	4
2.	ASAL DEVELOPMENT STRATEGY	5
2.1.	The Broad Context	5
2.2.	Roads and Overall Development Strategy	7
3.	PROCUREMENT AND DISBURSEMENT PROCEDURES	9
3.1.	Introduction	9
3.2.	Procurement Documents and Validation	9
3.3.	Procurement Procedures	9
3.4.	Vehicles/Equipment Servicing and Repairs	10
3.5.	Payment and Reimbursement Procedures	11
4.	BUDGET YEARS AND 1989 ACTIVITIES	14
4.1.	Budget Years	14
4.2.	Project Activities 1989	14
4.2.1.	Ministry of Health	14
4.2.2.	Ministry of Education	15
4.2.3.	Ministry of Culture and Social Services	16
4.2.4.	Ministry of Public Works	16
4.2.5.	Ministry of Agriculture	17
4.2.6.	Ministry of Livestock Development	18
4.2.7.	Ministry of P. and N. Development	19
4.2.8.	Ministry of E. and N. Resources	20
5.	PROJECT ACTIVITIES 1990-1993	21
5.1.	Ministry of Health	21
5.2.	Ministry of Education	21
5.3.	Ministry of Culture and Social Services	22
5.4.	Ministry of Public Works	22
5.5.	Ministry of Agriculture	22
5.6.	Ministry of Livestock Development	22
5.7.	Ministry of P. and N. Development	23
5.8.	Ministry of E. and N. Resources	24
6.	ELGEYO MARAKWET ASAL PROGRAM BUDGET	25
7.	TERMS OF REFERENCE	27
7.1.	Program Officer	27
7.2.	Program Adviser	28
	Appendix 1. Persons Interviewed	29
	Appendix 2. D.T. Debriefing Meeting Attendants	29
	Appendix 3. Formulation Mission's TOR	30

1. INTRODUCTION

1.1. Mission Composition

The Joint Formulation Mission was composed of representatives of the Governments of Kenya and Netherlands. Mr. George N. Mbate, Head of ASAL Section, Ministry of Planning and National Development and Mr. J. Amayi, Program Officer Elgeyo Marakwet ASAL were nominated by the Government of Kenya. Mr. J.R.O. K'Ojwang, Elgeyo Marakwet Assistant District Development Officer, was to act as a Resource Person to the Mission. Mr. J. Nijzink, Resident Representative SNV and G-C.M. Mutiso, independent consultant, who was to act as Team Leader, were nominated by the Royal Netherlands Embassy. The Formulation Mission's Terms of Reference are found in Appendix 3.

1.2. Mission Itinerary

The Mission visited and held discussions in Elgeyo Marakwet and Eldoret between October 23rd and 27th 1988. Discussions were held with Royal Netherlands Embassy, European Community and KVDA officials on October 28th 1988 in Nairobi. A list of individuals interviewed and participants in the District Team debriefing meeting are found in Appendices 1 and 2.

1.3. Elgeyo Marakwet ASAL: Brief Background

The Elgeyo Marakwet ASAL Program started in 1982. Its strategy in between 1982 and 1985 was to fund few projects at a relatively low level whilst concentrating on building up the planning capacity and infrastructure in the district. The project was planned to spend Ksh. 13m over the period. Thus between Ksh. 2-3m was available annually. In contrast phase two was supposed to spend Ksh. 24m. thereby allowing Ksh. 8m. for the program annually. In any case if one takes the period 1982 to 1987 actual expenditure was about Ksh. 27m. This level of funding put significant amounts of money into the district's development process.

The important development activities during phase one, as gleaned from analysis of the expenditures were, in descending order, planning, agriculture, village (youth) polytechnics, and education. Although financial inputs into planning were supposed to be reduced during the Program's phase two, which was to run from 1986-1988, they still dominated project expenditure up to the end of 1987 by consuming 30% of project funds. Village polytechnics were second with 16.9%. Education was a close third with 15.6%. Communication was fourth consuming 15.1%. Livestock was fifth spending 13.2%.

If the 1982 to 1987 project activity expenditures are analyzed together without separating them into phases, the lead project activities are planning 28%, education 10.6%, agriculture 10.6%, communication 9.3%, livestock 7.9%, and health and village polytechnics at 4.8% and 4.7% respectively.

From inception up to March 1988, the ASAL Program had a Kenyan Program Officer assigned by the Ministry of Planning and National Development and a Program Adviser assigned by the Government of the Netherlands. Their activities were supported by other staff provided by the Government of Kenya.

Circumstances concerning the ASAL Program in Elgeyo Marakwet were such that the Netherlands commitment was not renewed after it had expired by January 1988. Temporary arrangements were made between the Governments of Kenya and Netherlands to utilize some of the funding surpluses to complete a few projects during calendar year 1988.

1.4. Restart of ASAL Program

From discussions with officials at the district level and a few wananchi in the Kerio Valley, it is the Mission's firm conclusion that there is support for restarting the ASAL Program. This conclusion is reached since support for restarting the ASAL Program in the district was expressed by the officers in separate interviews and collectively during the District Team debriefing meeting.

1.4. Ministries Implementing Capacity

One of the objectives of District Focus Strategy for Rural Development is to improve the implementation capacities of the various ministries. It is not our duty to evaluate why past ASAL got into implementation. The Mission sees one of the objectives of the ASAL Program as assisting ministries to increase their implementing capacity for it is that capacity which, among others, will determine the amount of money committed to the Elgeyo Marakwet ASAL Program in the future.

2. ASAL DEVELOPMENT STRATEGY

2.1. THE BROAD CONTEXT

Since 1978, the Government of Kenya strategy for the development of the ASAL areas has had the following objectives:

- Development of Human Resources
- Exploitation of productive potential
- Resource Conservation
- Integration with the national economy

The Formulation Mission, like many ASAL studies and work programs in Elgeyo Marakwet, is of the opinion that the lack of proper roads for communication in the ASAL portions of the district, is the main constraint to the development objectives set and rationalized by the Government of Kenya over the last ten years. The other key constraints are the mismatch between the location of water, good farmland and the population.

Water is found in relative abundance in the highlands. The good farmland is closer to the Kerio River. The populations have always been in the healthier slopes where they can tap the water resource for subsistence farming in pockets with good soils. The slopes are interface and ecotone zones from a resource use, communication, security and access points of view. Farming systems depended on utilization of different zones, furrow irrigation and marketing outward to the plateau areas have evolved in the past.

Over the past few decades - many studies have been carried out on the traditional furrow irrigation system. The central tendency in these studies recommends:

- Maintaining existing social organisation controlling a furrow.
- Educating people to prevent further deforestation and soil erosion.
- Regulation of water supply in the furrow systems.
- Provision of construction assistance with the difficult sections of the furrows to increase water conveyance efficiency.
- Improving crop irrigation practices.

The utility and appropriateness of this historically adapted production system is now challenged by the growth in population, escalation of needs and the attendant GoK policies of assuring food security, providing basic services, conserving natural resources in view of current pressures on them, and integrating ASAL areas to national development processes by utilizing their production potential.

There is need to rethink and plan the Elgeyo Marakwet ASAL development strategies to enable the people of Kerio Valley to create near matches to the key resources of water, land and population. One of the key elements in this process is the provision of health services in the Kerio Valley. Their provision

is one of the key steps towards enabling the population to live in the malarial valley. During the first part of ASAL, a number of facilities were constructed. During the next phase of ASAL, significant programs in preventive health care will be undertaken.

The Mission believes that little is known about the social organizational structures and processes which the people can design so as to move production activities from the escarpment to utilize the better land in the Kerio Valley. The fact that land is held by clans in strips from the valley to the hills will be of help. However, if land adjudication, which is afoot in parts of the Kerio Valley, leads to families or individuals being locked in one ecological zone or in one type of terrain, conflict over equity of access to the land resource will increase.

The development temptation is to solve the long-term development issue by transporting water outside the traditional irrigation system to the fertile lands in the valley. If this is attempted without community participation in the design of a new water management and production system, by adapting the traditional irrigation systems, there will be dramatic failures as in other schemes in the country. Yet, it is clear that there is need to get water to the better production land so as to increase the possibility of higher total production. The Mission proposes that the ASAL program spend resources in assisting communities to think through this problem.

The Mission raised the issue of matching water and land resources to population in the field but did not get clear alternatives. The Mission pointed out to some members of the Tot Division Development Committee and the District Team that guidance on these matters from them will be necessary. We expect them to be discussed and such guidance given by the DDC.

Because of the preference by the traditional socio-political organisation of the furrow irrigation system for operations in the slopes and lack of knowledge about their ability to change so as to organize irrigation production in the better soils of the plains either on clan or individual basis, we do not recommend further investment in furrow rehabilitation until a community derived long-term strategy is worked out under the District Focus Development Committee system. The Mission however recommends funding a social scientist (anthropologist) to work actively in the communities organizing the discussion of the socio-political and technical irrigation alternatives. Such a person should be thoroughly familiar with community organizing and have sufficient understanding of the technicalities of irrigation systems so as to develop an operational plan for the ASAL Program in conjunction with the District Irrigation Engineer.

2.2. ROADS AND OVERALL DEVELOPMENT STRATEGY

The Formulation Mission is of the opinion that the most important

intervention now for long-term development of the Elgeyo Marakwet ASALS is the construction of AN ALL WEATHER ROAD to Kerio Valley to facilitate access by development institutions and all year marketing outlet for the area's products. Similar proposals have been made before and have foundered on cost and details of their conception. All past proposals are agreed about the need for the road outlet. They are not agreed about the location of the road and whether it would be gravel or bitumen.

The main "road" in the valley is C52 from Biretwo to Chesezon and onward to Marich Pass in West Pokot. There is a "link" to the highlands from Chesongoch to Chesoi.

To improve access by development actors to the ASAL areas, increase supervision by officials and other development parties, as well as to facilitate the marketing of produce, it is the Mission's PRIORITY RECOMMENDATION to the Netherlands Government that funds be committed to a Kerio Valley Road Construction and Maintenance Project separate from the normal ASAL Program. To facilitate planning of this project, which we estimate will need about Ksh. 2m from the Netherlands Government annually, we expect it to come on stream in 1990.

Further, so as to initiate the maintenance of the Kerio Valley gravel road beginning in 1989, the Mission recommends to the Netherlands Government that it makes a contribution of Ksh. 700,000, through the ASAL Program, for the repairs of the Ministry of Public Works grader, shovel and dump truck. Formal commitment to utilization of the repaired equipment in the Kerio Valley road must be given by the Ministry of Public works and the Elgeyo Marakwet District Development Committee.

The Mission does not favor financing the maintenance of the hill climb from Chesongoch to Chesoi which is extremely steep and whose realignment will cost more than the available funds.

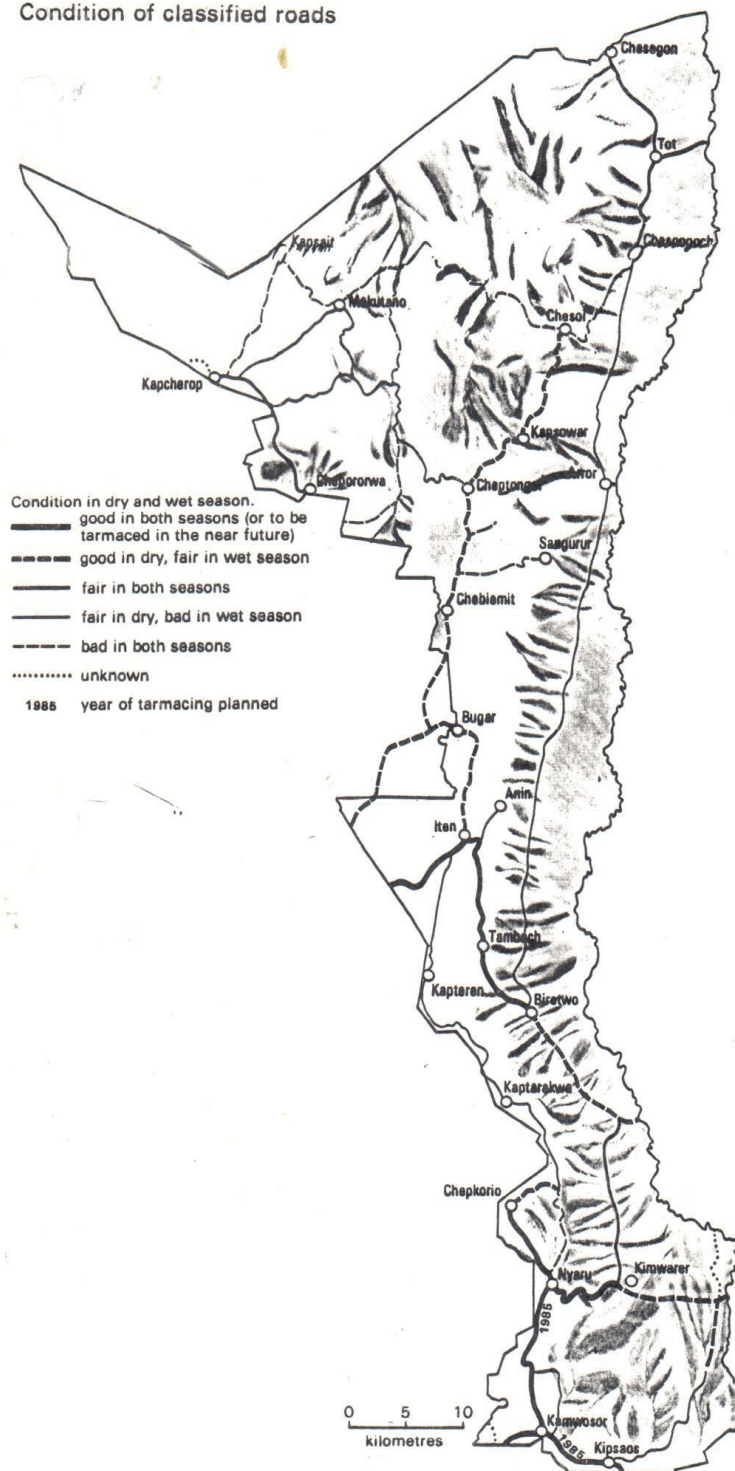
As discussed with the District Team during the debriefing meeting, the Mission expects the DDC to commit funds from sources available to it like Rural Development Fund, EC Microproject and other GoK sources like Minor Roads Program, to financing culverts, bridges and other works which will assist the construction and maintenance of a permanent road and access to it in the Kerio Valley.

The Mission held discussions with the KVDA and EC whose projects in the Kerio Valley, particularly the construction of Aror Power and Irrigation Project, will need good road access, the importance of coordinating the planning and funding for building permanent road access and the required conservation structures in the Kerio Valley. It may be possible to utilize the power plant access road to create an alternative to the Chesongoch-Chesoi hill climb.

Similarly we think it will be possible for the Italian Government, through the KVDA, to take up the reconstruction of

the southern portion of the road from Biretwo to Chesetan and recommend that the Netherlands Government consider financing the reconstruction of Chesatan - Chesezon portion for it links with the road network in West Pokot which receive Netherlands Government assistance through the West Pokot ASAL Program.

Condition of classified roads



Sources: Road map of Kenya, sheets 15-21, 1983.
Own research.

3. PROCUREMENT AND DISBURSEMENT PROCEDURES

3.1. INTRODUCTION

The past Elgeyo Marakwet ASAL Development Program was funded on grant basis by the Netherlands Government. In addition to the normal operations in the district, the Government of Kenya supported the program by providing recurrent expenditure.

In order to manage and control the procurement and the disbursement services of this program, GOK and the Netherlands Government established a Program Management Unit, under the Ministry of Planning and National Development but based in the district. The PMU was headed by a Program Officer from the MPND who was assisted by a Program Coordinator/Adviser selected by the Netherlands Government. Additional staff was provided by the Government of Kenya for the purpose of efficiently managing the program.

During the previous ASAL Program, funding was effected through direct payments and credit purchase. The major weakness was that the PMU was ordering and effecting payment of materials and services on behalf of the implementing ministries. In view of Treasury Circular No. 3 of February 1988 such a system is not possible now.

Given the above background, the Formulation Mission recommends a procurement, disbursement and financial management system that will be operated by the implementing ministries and managed by the Program Management Unit. This system fulfills donor and GOK requirements in the Mission's opinion.

3.2. PROCUREMENT DOCUMENTS AND VALIDATION

The ASAL Development Office in Iten will design and produce Local Purchase Orders and Local Service Order books, similar to those found in other ASAL Programs, which will be used for ordering the required materials for the implementation of the program. These LPOs/LSO books are accountable documents and will be issued to the operating ministries for effecting procurement. Below is the system of validating LPOs and LSOs.

1. Authorized officers in each Ministry will initiate procurement by indicating their requirement on the Local Purchase/Supply Orders. They will ensure that the laid down District Focus Strategy for Rural Development purchase procedures have been followed. They will also sign to indicate that the indented materials are necessary for the implementation of their sector projects and have been approved and included in the Annual Work Plan Budget.

2. The implementing ministries will forward their purchase books to the Program Management Unit who will:

- a. Examine the order and upon satisfaction, commit the funds in

the relevant budget item within the ASAL Program vote book.

b. Submit the LPO/LSO to the Program Officer and Program Advisor who will jointly authorize the order.

3. The PMU will return the order book to the implementing ministry who will in turn issue the authorized LPO/LSO to the suppliers.

4. Suppliers will supply goods or services to the implementing officers of participating ministries. Invoices will also be submitted to the implementing officers of the participating ministries so that they can initiate the payment procedures.

3.3. PROCUREMENT PROCEDURES

The following procedures are recommended for effective, fast and just purchase of ASAL Program materials and services:

1. Stores and services which in any one case do not exceed Ksh. 2,500 in value may be procured without written quotations or agreement.

2. Transactions which do not exceed Ksh. 2,500 should preferably be paid for by means of a cash imprest.

3. Government Annual Tenders that are arranged and adjudicated by the District Tender Board should be used for the purchase of materials for the implementation of the program.

(The Mission notes that significant portion of those who qualify for the Elgeyo Marakwet Annual Tender System are not based in the district but in the adjoining Uasin Gishu district, more specifically in Eldoret town. Strictly speaking, this is not in keeping with the spirit of District Focus which seeks to build up local trader capacity. In as far as possible the program should support traders based in the district in conformity with the spirit of District Focus.)

4. Competitive quotations will be invited on the official form (S.10) for:

a. Procurement of goods and services that are not covered under the Elgeyo Marakwet District Annual Tender System.

b. Procurement of goods and services covered under the Annual Tender System BUT not available at the tenderer's shops. This exception has the objective of speeding up project implementation.

c. Adjudication of the quotation will be done by a committee of not less than three officers drawn from among the following:

1. the procuring ministry, 2. ASAL Program Officer 3. ASAL Program Advisor and 4. another officer from an independent department preferably either as the District Supplies Officer or

b. the District Development Officer or c. an officer from the Ministry of Public Works in cases where technical advice is needed.

5. Tenders for construction projects will be adjudicated by the District Tender Board. District Departmental Heads, in conjunction with the appropriate technical ministries, will be responsible for compilation of or acquiring of all necessary designs, specifications and any other formalities which may be required, prior to the advertisement of a project tender. Technical Evaluation of tenders will be done within the context of the District Focus for Rural Development.

6. In cases where there is only one manufacturer, supplier or contractor, or where it is technically necessary to purchase materials or equipment from one particular manufacturer or supplier or to obtain services from a particular contractor, procurement can be made or obtained directly from the manufacturer, supplier or contractor provided that the appropriate justification is made.

Appropriate justification will constitute discussion and minutes by the PMU and the concerned parties.

3.4. VEHICLES AND EQUIPMENT SERVICING AND REPAIRS

Repairs and servicing of equipment take a lot of management time which has direct impact on the rate of implementation of projects. Consequently the Mission believes there should be specific procedures for their procurement. We propose the following:

1. Contracted local garages should be used for repair and/or servicing of vehicles and equipment up to a maximum of Ksh. 15,000.

2. Repairs in excess of Ksh. 15,000 but less than Ksh. 25,000 can be carried out by local garages on the basis of three quotations or directly by the main agent of the vehicle or equipment.

3. Major repairs in excess of Ksh. 25,000 should be estimated by the Ministry of Public Works and the main agent of the vehicle.

If the two estimates are similar (i.e. within 5% of each other) or that of the main agent is lower than that of the MOPW, the head of the department can go ahead with the repairs at the main agent.

If the converse is the case, the head of the department and the Program Management Unit should agree on the cost of repairs before going ahead.

4. In the case of procurement of spares of vehicles, plant or technical equipment up to a limit of Ksh. 15,000, no competitive quotations need to be invited provided that the spares are

obtained from the manufacturer of the item or the manufacturer's principal agent.

3.5. PAYMENT AND REIMBURSEMENT PROCEDURES

1. Upon receipt of invoices, each implementing officer (head of department in an implementing ministry) will prepare and ENDORSE all the payment vouchers relating to program expenditures. He will further ensure that all the relevant supporting documents are attached to the payment voucher. He will similarly ensure that all the necessary certificates are signed.

2. The payment vouchers and supporting documentation, will be taken to the PMU's accounts section for examination and vote book control.

3. The PMU will arrange to take the payment vouchers to the District Internal Auditor for auditing.

4. The authorization of the payment vouchers (through form F 20 or F 22) will be done by either the Program Officer or the Program Advisor.

5. Upon authorization of the payment vouchers, the PMU will arrange to make payments.

The signatories to the Project account will be:

- a. The Program Officer
- b. The Program Advisor c. The District Accountant

Two signatories, of which the Program Adviser's one is mandatory, will be sufficient to effect any payment.

6. The PMU will forward all the paid up payment vouchers to the Ministry of Finance and copy the accompanying letter to the Netherlands Embassy and the Ministry of Planning and National Development.

7. Ministry of Finance, through its External Resources Department, will write to the Netherlands Embassy requesting direct reimbursement to the Project Imprest Account and notification of such.

8. Upon receipt of the request from the Ministry of Finance, the Netherlands Embassy will issue a cheque of equivalent amount to the Project's Imprest Account at Kenya Commercial Bank, Iten and forward a copy of the advisory communication to the Project, to the External Resources Department of the Ministry of Finance and Ministry of Planning and National Development - ASAL Section.

(The Mission notes that the imprest account for the project is in another district. It should be transferred immediately to the only bank at District Headquarters - Kenya Commercial Bank.)

9. The imprest account should initially be set up at 25% of the annual ASAL work plan budget.

10. After expenditure of 50% of the imprest account, the PMU should initiate the reimbursement procedures spelt out above.

11. In cases where GOK pre-finances the program through the issuance of Authority to Incur Expenditures, the Program Officer will ensure that the donor reimburses the exchequer the full amount covered by the AIE and spent on reimbursable items.

12. The Project Imprest Account should be audited at least twice a year by an independent audit firm.

4. BUDGET YEARS AND 1989 ACTIVITIES

4.1. ACTIVITIES AND BUDGET YEARS.

since the Netherlands financial year is the calendar year and the GoK financial year runs from July to June, activities are presented in two categories. Those activities whose conception was complete and which could start in 1989 are identified first. The second set of activities is envisaged to take place over the balance of the 6th National Development Plan period. Naturally this second listing of activities includes those continued from 1989.

The second listing of project activities for the period 1990 to 1993 is by no means complete for there are departments and ministries who had not thought through what support they may need from the ASAL Program. As the ministries design projects in the District Focus Strategy framework, presentations will be made to the ASAL Program on including other activities. It is expected that some of the ministries which had not prepared ASAL projects will make presentations to the PMU by the end of November 1988 for consideration for the later period. Reallocation of funds across ministries can be considered after that.

The activities which are to take place in calendar year 1989 have been split into two categories for budgeting purposes. The reasons are simply that it does not appear as if the necessary budget processes of the two governments will be completed in time to start intensive development activities by 1/1/89 and further that it is not realistic to expect the Program Adviser to be in place by January 1989. Consequently the Mission has indicated those urgent activities for the period 1/1/89 to 30/6/89 and other activities which can start after 1/7/89 and run for a year, up to 30/6/90, so as to conform to the budgetary planning framework of the Kenya Government.

In selecting project activities, the Mission initially considered activities which are broadly in the past ASAL Five Year Indicative Plan which was approved by the DDC on September 16th 1987. Some of them have been included in the draft District Development Plan. The Mission took into account also presentations made to it by ministries during the field interviews and the District Team debriefing meeting. A further source was the yet to be completed draft District Development Plan.

The final criteria used by the Mission was to favor those activities which would increase the content of people's participation in development.

4.2. PROJECT ACTIVITIES 1989.

4.2.1. MINISTRY OF HEALTH

In chapter 2, it was argued that one of the long-term strategies

for developing the ASAL parts of Elgeyo Marakwet is intensified use of the good land on the Kerio River plains. It is doubtful that this can be done without settling people at the bottom of the valley. Such settlement has been limited by the high incidence of malaria and other diseases and the related lack of health services in the plains which led people to prefer living on higher land which is less disease prone. Thus beyond the usual and highly valid arguments for improving peoples health in general, the following activities are proposed as part and parcel of the long-term strategy.

Activity 1. Traditional Birth Attendants Training

Training seminars for TBAs aimed at improving their midwifery skills and primary health care matters in general are proposed. This is continuation of a similar activity from the previous period and is proposed for the entire plan period. It is closely related to Activity 2 below.

Activity 2. Community Leaders Primary Health Care Training

It is proposed that community leaders be extensively trained in Primary Health Care. Specific attention will be made on activities which can be done in the community to lessen the incidence of disease. Similarly this is a continuous activity through the plan period.

Activity 3. Immunization Through Primary Schools

Significant numbers of children in the ASAL areas do not have the basic immunization. It is proposed that the immunization activities which are taking place in the high potential parts of the district be expanded into the ASAL areas. Further the campaigns should not be restricted to school children but the schools should act as the bases for all children in the valley and not be confined to only school children. This activity should take place every year during the plan period so that at the end there is total coverage of basic immunization in the ASAL areas.

4.2.2. MINISTRY OF EDUCATION

Good education, which is dependent on good teachers, is a one of the necessary conditions for long-term development. The quality of facilities in the schools also has impact on the educational standards. These are the basis of the proposed ASAL assistance to the education sector.

Activity 1. Untrained Primary School Teachers In-service Course

Tambach Teacher Training College, which will come on stream soon, will have impact on the quality of education in the district for probably as much as 120 students will come from the district. It is not realistic to expect this impact during the plan period. As a result continuous support to the in-service teacher training, which was started in the previous ASAL, is proposed. Presently, it is estimated that there are 1,000 untrained teachers in the

district. With an in-service training output of about 200 teachers every three years, ASAL support for the plan period is necessary for without it the program is threatened.

Activity 2. Primary School Desks From Youth Polytechnics

This is an ongoing activity which is justified given the problems of supplying desks in the valley. It also forms an important training element of the YPs. The target is to produce 1,000 school desks annually at a cost of Ksh.100 each which is an extremely attractive price.

4.2.3. MINISTRY OF CULTURE AND SOCIAL SERVICES

Activity 1. Youth Polytechnic Leavers Production Groups

This activity consists of organizing YP leavers into production groups. If necessary, additional training, particularly in business practices, to enable the groups to engage in income generating activities, will be undertaken. Activities which have been identified are 1. production of appropriate technology materials for primary schools, 2. production of beehives and 3. making of school desks if the YPs cannot cope with the demand.

Activity 2. Women Groups Training

It is proposed that the promising activities of beekeeping, honey refinery and tanning of hides and skins (budgeted under the Ministry of Livestock) be undertaken by women groups. This project is for the training of the women groups in the required management and production skills.

Activity 3. Women Group Leaders Business Training

Support is recommended for the training of women group leaders in business, accounting and management skills to enable them to lead groups in a variety of income generating activities. Plans and budget are to be prepared by the ministry and submitted to both governments by June 1989.

4.2.4. MINISTRY OF PUBLIC WORKS

Almost everybody the Mission talked to in the District stressed the importance of improving the road in the Kerio Valley. This is classified road C 52 from Biretwo to Chesogon. In chapter 2, the Mission argues that improving the road to all weather standard is of vital importance in the long term development of the productive potential of the valley. The activities proposed are towards that end.

Activity 1. Road Maintenance Equipment Rehabilitation

ASAL support is sought for the rehabilitation of a road grader, a shovel and a dump truck. The equipment would be used for the purpose of maintaining the valley road and such an undertaking

should be formally given to the Program. Since this road forms more than 50% of the gravel classified road network in the district for which the ministry has maintenance responsibility, it should therefore be possible to use the equipment almost exclusively in the ASAL area. Support is sought each plan period year.

4.2.5. MINISTRY OF AGRICULTURE

In the past ASAL program, soil and water conservation and irrigation furrows rehabilitation have been the big issues in the district as far as the sector is concerned.

On Soil and Water Conservation, SIDA will sponsor the training of Ministry of Agriculture staff, chiefs and community leaders. Another SIDA activity will be on farm terracing and gully control. However, it is feared that limited attention will be paid to the ASAL area of the district.

Traditional Irrigation Furrows have received support from the ASAL program in the past. The rehabilitation of the Kamariny furrow in Tot Division is potentially the most successful implementation since it has major community input. It is yet to be finished. Initial estimate was for Ksh. 614,000. About a third has been spent. Thus about Ksh.400,000 would be needed to complete it.

The Katapseron furrow however is yet to be completed. It has not have significant community input. There is no agreement on the need and uses of this furrow. According to the SSIDP report (Sir Alexander Gibb and Partners, October 1987) no more money should be allocated to this furrow since it has inadequate water, is expensive to construct and is inaccessible thereby jeopardizing maintenance in spite of the fact that the people of Enou and Olot sublocations of Mokoro location are totally depended on this furrow. Total catchment population is estimated at about 4,000. Already Ksh.1.2m has been spent on this project. It is estimated that an extra Ksh. 800,000 is needed to complete this project.

Significant resources were mobilized by the past ASAL program and Ministry of Agriculture to support furrow irrigation work in the district. Among them are a tractor, a Land Rover, establishment of a camp, provision of an irrigation engineer, five technical officers and an irrigation engineer.

As argued in chapter 2 on strategy, the Mission is not in support of continuing financing of Traditional Furrow Irrigation along the past lines. As a result the Mission only recommends the financing of the completion of Kamariny furrow in 1989 and the re-planning of implementation of Katapseron to include more community participation before funds are sought from the ASAL Program after 1989.

Activity 1. Soil and Water Conservation

Support for soil and water conservation campaign, to be preceded by an operational study of community contribution to effective soil erosion control, and focused on the base of the escarpment is recommended. Raising awareness of the community leaders will be an important aspect of the campaign.

Activity 2. Livestock Use of Reforested Areas

The denuded slopes which will be reforested will have to generate immediate economic returns. One of the operational questions needing study in Elgeyo Marakwet is whether reforested Cherangani range slopes, the catchment for the ASAL areas, can support some of the livestock so as to make range land at the valley available for irrigation. The Mission recommends financing such operational study.

Activity 3. Improved Furrow Irrigation

An integrated furrow irrigation project which will consist of improving furrow construction, regulate water supply to furrows, convey water to new irrigation areas and improve irrigation practices in old land to be opened areas is recommended. It will essentially concentrate on extension and training. However before initiation, an operational plan has to be prepared in 1989. Such a plan will be necessary to translate the results and recommendations of the numerous and somewhat contradictory studies of the past few decades. This project is essential for food security of the valley. It also should be geared towards developing horticultural crops and other cash crops for purposes of improving the incomes in the valley to enable people to buy services in the long term.

4.2.6. MINISTRY OF LIVESTOCK DEVELOPMENT

ASAL areas are primarily livestock areas. In the Kerio Valley, livestock forms the basic means of subsistence for significant numbers of people. In spite of the Mission's recommendations for opening better agricultural land closer to the Kerio River, livestock production will still be important for subsistence and commercial needs. So will beekeeping. Recommendations are made below for activities which will enhance existent production systems.

No support for rehabilitation, maintenance or building of cattle dips in the valley is asked for, given the recent ministry notions about dipping in rangelands other than completion of one dip in 1989. The re-evaluation is based on problems with supply of acaricides, availability of water and lack of dip maintenance. Irregular dipping may do more harm than good in such situations by tinkering with the natural immunities of the range animals. In such cases, selective breeding of the tolerant animals should be preferred. ASAL should only consider activities proposed along these lines. A district strategy on provision of acaricides, water and dip maintenance MUST be formulated by the ministry and discussed by the District Focus development committee system from

the lowest levels to the DDC before dips can even attract consideration by ASAL program.

Activity 1. Beekeeping

Under this activity, women groups will be stimulated to engage in modern beekeeping. ASAL support will be distribution of about 2,000 hives to be produced by YP leaver groups. Extension will be provided to women groups. Transport of honey and storage will be provided for. A honey refinery will be built in the valley in the later plan period so as to support the other activities.

Activity 2. Reseeding Rangelands

Reseeding projects not only contribute to improvement in fodder production and therefore livestock production but also soil conservation. The best rangeland species can be collected in the Rimoi Park area. This activity will finance the collection of seed in the valley, reseeding of the 10 fenced demonstration plots and distribution of small seed packets to farmers and school children in the rangelands for reseeding in the family lands.

Activity 3. Watering Sources

There are few reliable watering sources in the valley. To support livestock production and reduce losses attributable to long travel to water sources, support for construction of water sources is requested for each of the plan period years.

4.2.7. MINISTRY OF PLANNING AND NATIONAL DEVELOPMENT

In the past Elgeyo Marakwet ASAL Program, the ministry's PMU has undertaken an implementation role. The Mission is of the opinion that such a approach to development is not in keeping with the dictates of District Focus Strategy. Further, such practice lends itself to abuse as the same officers who implement projects are their own supervisors and managers.

In the Mission's opinion the right key roles of the PMU are 1. to assist and coordinate other ministries to plan, budget and implement ASAL development programs 2. to manage project finances and other resources including controlling a systematic procurement and disbursement system 3. to account for project funds to the two governments and 4. to project audit, by way of field supervision, implementation methods, processes and activities of other ministries projects.

Given these key roles it should be clear that para-professional and technical the personnel employed by the donor in the bridging phase MUST be terminated before the start of the next phase for their continuation is both counter productive from a management as well as a programming point of view. PMU personnel, other than the Program Adviser, will be MPND personnel and thus the

Program Officer will be responsible for personnel matters. Given these important roles, support for the PMU activities enumerated below is requested.

- Office Running Costs
- Operation of Vehicles
- Maintenance of Lorry
- Traveling and Accommodation
- Staff Training
- Replacement Land Rover
- Housing for Subordinate Staff
- Office Equipment
- Seminars on District Focus and ASAL
- DIDC Library

4.2.8. MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES

The activities of this ministry are key in protecting the catchment area of the ASALS as well as in extending tree planting activities in the valley. The Mission is of the opinion that group nurseries and tree seed distribution through groups are more likely to contribute positively to improving the planting survival rates of seedlings.

Activity 1. Women Groups Nurseries

Support is sought to enable the ministry to initiate extension activities to women groups in the catchment and the rangeland areas.

Activity 2. On Furrow Agroforestry

Where furrow irrigation exists, probably the relevant method of extending tree planting is to introduce agroforestry fodder and fruit species. Since water availability is not a problem, the techniques for on-farm nurseries should be extended widely.

5. PROJECTS ACTIVITIES 1990- 1993

The following activities have been identified but since no detailed budgets existed they are simply listed. The PMU and the ministry have undertaken to budget them in detail and make submissions before the end of 1989. This should give both Netherlands and Kenya governments time to fit them into their forward budgets processes.

5.1. MINISTRY OF HEALTH

Activity 1. Traditional Birth Attendant Training
This will be continued from 1989.

Activity 2. Community Leaders Primary Health Care Training
Similarly this will be continued from 1989.

Activity 3. Immunization through Primary Schools
This will also be continued from 1989.

Activity 4. Malaria and Tuberculosis Campaigns
To be budgeted and submitted.

Activity 5. Under 5 Growth Monitoring and Nutritional Survey
To be budgeted and submitted.

Activity 6. Equipping Existing Health Centers
To be planned and submitted.

Activity 7. Building Health Center Staff Houses
To be budgeted and submitted.

Activity 8. Construction and Equipping of Rimoi and Mogil Health Centers
To be budgeted and submitted.

Activity 9. Upgrading Tot Health Center
To be budgeted and submitted.

5.2. MINISTRY OF EDUCATION

Activity 1. Untrained Primary School Teachers In-Service Course
To be continued.

Activity 2. Primary School Desks From Youth Polytechnics
To be continued.

Activity 3. Appropriate Technology in Primary School Buildings

It is proposed that the stabilized soil cement bloc technology, which was introduced during the past phase, be evaluated with respect to costs, ease of construction, and availability of skills and equipment in the community. Evaluation should be in contrast to building with locally available stone and mud and plastering with lime and or cement. The impact of a cement floor

from a health point of view should also be assessed. Since the total appropriateness of the construction technology will be assessed, activity funding will commence in 1990. Budget proposals should be submitted by June 1989.

5.3. MINISTRY OF CULTURE AND SOCIAL SERVICES

Activity 1. Youth Polytechnic Leavers Production Groups
To be continued.

Activity 2. Women Groups Training
To be continued.

Activity 3. Women Group Leaders Business Training
To be continued.

5.4. MINISTRY OF PUBLIC WORKS

Activity 1. Road Maintenance Equipment Rehabilitation
To be continued.

Activity 2. Upgrading of Chesatan-Chesogon Section of C52.

This should be a separate project. It should be depended on the commitment shown by the DDC in seeking other resources from projects like Rural Development Fund, EC Micro-projects, Minor Roads Program, EC Northern Rangelands Project, Italian Government Project through KVDA and so on. However the Mission estimates that a budgetary commitment from the Netherlands government of Ksh. 2 from 1990 to 1993 will be necessary.

5.5. MINISTRY OF AGRICULTURE

Activity 1. Soil and Water Conservation
To be continued.

Activity 2. Livestock Use of Reforested Areas
To be continued.

Activity 3. Improved Furrow Irrigation
To be continued.

Activity 4. Development of Horticultural Crops

There is good potential for horticultural crops in the valley. However further development of this will be dependent on the improvement of the roads. Until such time that the road system is constructed and maintained well, no funds should be committed to expansion of perishable horticultural crops.

5.6. MINISTRY OF LIVESTOCK DEVELOPMENT

Activity 1. Beekeeping
Group extension, transport and storage support to be continued.

Activity 2. Range Reseeding
Extension efforts particularly through schools to be continued.

Activity 3. Livestock Watering Sources
Reduced construction and maintenance support to be continued.

Activity 4. Construction of Honey Refinery

To give outlet to honey, which will be produced in the valley, a modern honey processing plant will be constructed. Plans and budgets for it should be produced for consideration by the two governments by June 1989.

Activity 5. Marketing of Honey.

A project concentrating on the marketing of honey from the Kerio should be planned and budgeted for so that the two governments can consider it. Proposals should be ready by June 1989.

Activity 6. Goat and Sheep Multiplication

A project to make better livestock available to farmers will be planned and budgeted for by June 1989 for submission to both Governments. The classical approach where the Ministry operates a ranch is too expensive and other alternatives like multiplication by individual farmers and procurement outside the district should be explored.

Activity 7. Sale Yards

The classical ministerial approach to build expensive facilities which are not constantly used is not defensible. Appropriate construction technology and alternative marketing approaches should be discussed by the DDC and the Ministry first. The ministry and the PMU should then plan and budget for activities for submission to the two governments by June 1989.

Activity 8. Tannery

The ministry and the PMU should commit themselves to have a feasibility study carried out on the tannery by the second half of 1990. Specifically the question of making the tannery a women group activity should be resolved.

5.7. MINISTRY OF PLANNING AND NATIONAL DEVELOPMENT (PMU)

Support is sought for the following each year:

1. Office Running Costs
2. Operation of Project Vehicles
3. Maintenance of Lorry
4. Staff Training
5. DIDC Library

5.8. MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES

Activity 1. Women Group Nurseries
To be continued.

Activity 2. On Furrow Agroforestry
To be continued.

6. ELGEYO MARAKWET ASAL PROGRAM BUDGET.

	1/1/89 to 30/6/89	1/7/89 to 30/6/90	1/1/90 to 30/6/90
1. Ministry of Health			
TBA Training	20,000	35,000	35,000
PHC Training	20,000	35,000	35,000
Immunization	-	50,000	50,000
Subtotal	40,000	120,000	120,000
2. Ministry of Education			
In-service Course	250,000	250,000	250,000
Desks	-	50,000	50,000
Subtotal	250,000	300,000	300,000
3. Ministry of C & S Services			
Organize/train YP Leavers	20,000	25,000	25,000
Organize/train Women Groups	20,000	25,000	25,000
Training Women Group Leaders	-	15,000	15,000
Subtotal	40,000	65,000	65,000
4. Ministry of Agriculture			
Soil and Water Conservation	30,000	50,000	50,000
Livestock Use Reforested Areas	-	25,000	25,000
Integrated Furrow Irrigation	-	50,000	75,000
Kamariny Furrow	50,000	150,000	200,000
Subtotal	80,000	275,000	275,000
5. Ministry of Public Works			
Road Maintenance Equipment	-	350,000	350,000
C52 Biretwo Chesegeon(Special Proj)		[1,000,000]	[1,000,000]
Subtotal	-	350,000	350,000
		[1,000,000]	[1,000,000]
6. Ministry of Livestock Dev.			
Beekeeping	50,000	125,000	125,000
Reseeding Rangelands	10,000	15,000	15,000
Livestock Watering Sources	-	125,000	125,000
Cattle Dips	-	30,000	-
Subtotal	60,000	295,000	265,000
7. Ministry of P & N Development			
a. Recurrent			
Office Running Costs	15,000	25,000	25,000
Vehicle Operating Costs	75,000	125,000	125,000
Maintenance ASAL Lorry	50,000	50,000	50,000
Travel and Accommodation	-	30,000	30,000
ASAL Staff Training	-	35,000	35,000

Seminars on District Focus	50,000	50,000	50,000
DIDC Library		10,000	10,000
Audit Fees	5,000	10,000	10,000
b. Capital			
Replacement Land Rover	-	500,000	-
Housing Subordinate Staff	-	200,000	-
Office Computer and Equipment	-	210,000	-
Subtotal	205,000	1,245,000	335,000
8. Ministry of E&N Resources			
Women Groups Nurseries	30,000	60,000	60,000
On Furrow Agroforestry	-	50,000	50,000
Subtotal	30,000	110,000	110,000
9. Ministry of Water Development			
Resim Water Supply	-	250,000	250,000
Chesongoch Water Supply	-	150,000	150,000
Subtotal	-	400,000	400,000
Total	705,000	3,160,000	2,220,000
Contingency 5%	35,000	158,000	111,000
Grand Total	740,000	3,318,000	2,331,000
		[1,000,000]	[1,000,000]
Total Calendar Year 1989		4,058,000	5,649,000
Financial Year 1989/1990			[1,000,000][2,000,000]

7. TERMS OF REFERENCE

7.1. PROGRAM OFFICER

1. The Program Officer is responsible for the day to day management of the program. He will be directly answerable to the Permanent Secretary, MPND.

2. He assists ministries and the DDC to assess local development needs on continuous basis and participates in the identification of viable projects, compatible with program objectives, for funding under the program.

3. As a member of District Planning Unit, he contributes to economic and financial appraisal of new projects.

4. In liaison with DDO, he ensures that program activities reflect District priorities.

5. As a member of the District Planning Unit, he supports general planning activities in the district, through participation in the DEC, DDC and other relevant subcommittees and provides liaison with other development agencies in the district, to coordinate planned activities.

6. He is responsible for preparation of ASAL Annual Work Plans and Budget Proposals, in consultation with Departmental Heads of the technical ministries. In liaison with the DDO, he ensures that the ASAL Annual Work Plans are incorporate into the Annual District Annex.

7. He liaises with the headquarters of implementing ministries and donor agencies on issues affecting implementation of the program e.g. finances and staff.

8. The Program Officer is responsible for proper management of personnel, finances and procurement in accordance with laid down GOK procedure, as agreed between donor agency and GOK.

9. He establishes a monitoring and internal evaluation processes for the program and initiates appropriate operations research to develop program activities, prepare terms of reference and supervise necessary consultancies.

10. He is responsible for compilation, analysis and distribution of quarterly and annual financial and implementation reports, consultancy and research results through formal Gok and donor channels, seminars and workshops.

11. Although the Program Officer will be concerned with the management of the program under his charge, he/she will create additional planning capacity in the district by assisting the DDO and the ADDO and the District Statistical Officer in the District Planning Unit.

12. The Program Officer will delegate to the Program Adviser the specific daily operational responsibilities enumerated under the Terms of Reference of the Program Adviser.

7.2. PROGRAM ADVISER

1. The Program Adviser and the Program Officer and their supporting staff make up the Program Management Unit (PMU).

2. The head of the PMU is the Program Officer.

3. In conjunction with the Program Officer, the Program Adviser will be incharge of the preparation of:

- a. The ASAL Indicative Five Year Plan.
- b. Annual Workplan and Budget.

4. He will operate and supervise the monitoring and internal evaluation processes of the program.

5. He will prepare quarterly progress reports and financial reports.

6. The Program Adviser and the Program Officer jointly share the responsibility for supervising procurement (as a management and not an implementation tool) and for supervising the accounts (including certification on correctness of payments).

7. He will assist, on request, the Program Officer in execution of any activity related to the program.

8. The Program Adviser will assist implementing officers in preparing ASAL related project proposals and budgets to be presented to the assisting governments.

9. He will draft Terms of Reference proposals for the combined Kenyan-Dutch Evaluation, consultancies and back-stopping missions.

10. The Program Advisor acts as liaison officer to the Royal Netherlands Embassy.

Appendix 1. Persons Interviewed

1. Michael Mwangi - Acting District Commissioner
2. M. Kimani - Deputy District Water Engineer
3. Dr. Peter K. Gaturuku - MOH
4. A.K. Chira - District Road Officer
5. S.F.O. Namuye - District Forest Extension Officer
6. J.H. van Doorne - KVDA Planner
7. Thomas Rutto - KVDA Planner
8. Antony Chepkwony - Chairman Resim Water Supply Project
9. Thomas K. Yego - Asst. Chief, Arror Sublocation
10. James Cheserek - Chief, Endo Location
11. Emmanuel Mengich - Asst. Education Officer, Tot
12. Dr. Mwihi Gitu - Divisional Veterinary Officer, Tot
13. Joseph Kilimoyano - Asst. Chief, Mon Sublocation
14. Joseph Magaki - Accountant incharge, Revenue
15. J.B. Adira - Deputy District Supplies Officer
16. Meshack Akivaga - Internal Auditor
17. J.K. Langat - Deputy District Livestock Officer
18. Wilson Mukewa - District Mechanical Engineer
19. P. Donde - ASAL Implementing Assistant
20. O. Siele - District Social Development Officer
21. R.B. Rotich - District Range Officer
22. Barnabas Boiney - ASAL Liaison Officer Education
23. S.K. Chebosweny - District Livestock Officer
24. Maina Waigwa - District Soil and Water Conservatiuon Officer
25. Felice Maffei - KVDA/BeB Resident Engineer, Arror
26. B. van Helden - EC Northern Rangelands Project
27. L. Jacobs - Royal Netherlands Embassy
28. H. Hendrix - Royal Netherlands Embassy
29. Macharia Kairu - District Officer, Tot
30. J.R.O. K'Ojwang - Assistant District Development Officer
31. F.N. Muiruri - District Irrigation Engineer

Appendix 2. District Team Debriefing Meeting Attendants

1. G.R.M. Kithinji - DOI in Chair
2. M. Mwaura - for District Water Engineer
3. B.R. Rotich - for District Livestock Production Officer
4. J.C. Ndirangu - DOI
5. M. Mwangi - Acting DC
6. B.K. Boiney - Liaison Officer Education
7. G. M. Too - District Cooperative Officer
8. E. Chebii - Deputy District Education Officer
9. J. Amayi - Program Officer ASAL
10. O.K. Siele - District Social Development Officer
11. A.K. Ingosi - District Agricultural Officer
12. P. Chemitei - Acting Clerk to County Council
13. J. Kimani - District Veterinary Officer
14. Jan P. Nijzink - Consultant
15. George N. Mbate - Consultant
16. G-C.M. Mutiso - Consultant

Appendix 3. Formulation Mission's Terms of Reference

The mission will draft a report which will form the basis for appraisal of the project.

The tasks of the mission are:

- 1) Advise on the viability/opportunity to restart the ASAL Elgeyo Marakwet Program. In respect to this, hold discussions with relevant institutions and persons in the district as well as on the national level.
- 2) Formulate the modalities for implementations of the project in line with the government procedures for district focus strategy. Advise on financial procedures and procurement methods, especially those related to direct payment.
- 3) Draft and discuss terms of reference for the program advisor while taking into account the responsibilities of the District Development Officer.
- 4) Assess the viability of the furrow irrigation clusters.
- 5) The mission should formulate a general workplan and a draft budget proposal for 1989 on the basis of the year plan for 1988 and incorporating views and ideas formulated in the five year plan which was submitted to the Netherlands Government by the Ministry of Finance in January 1988. The mission should also take into account the priorities set by the five year district development plan 1989-1993. The mission should also update the old five year plan.

Composition of the Formulation Mission

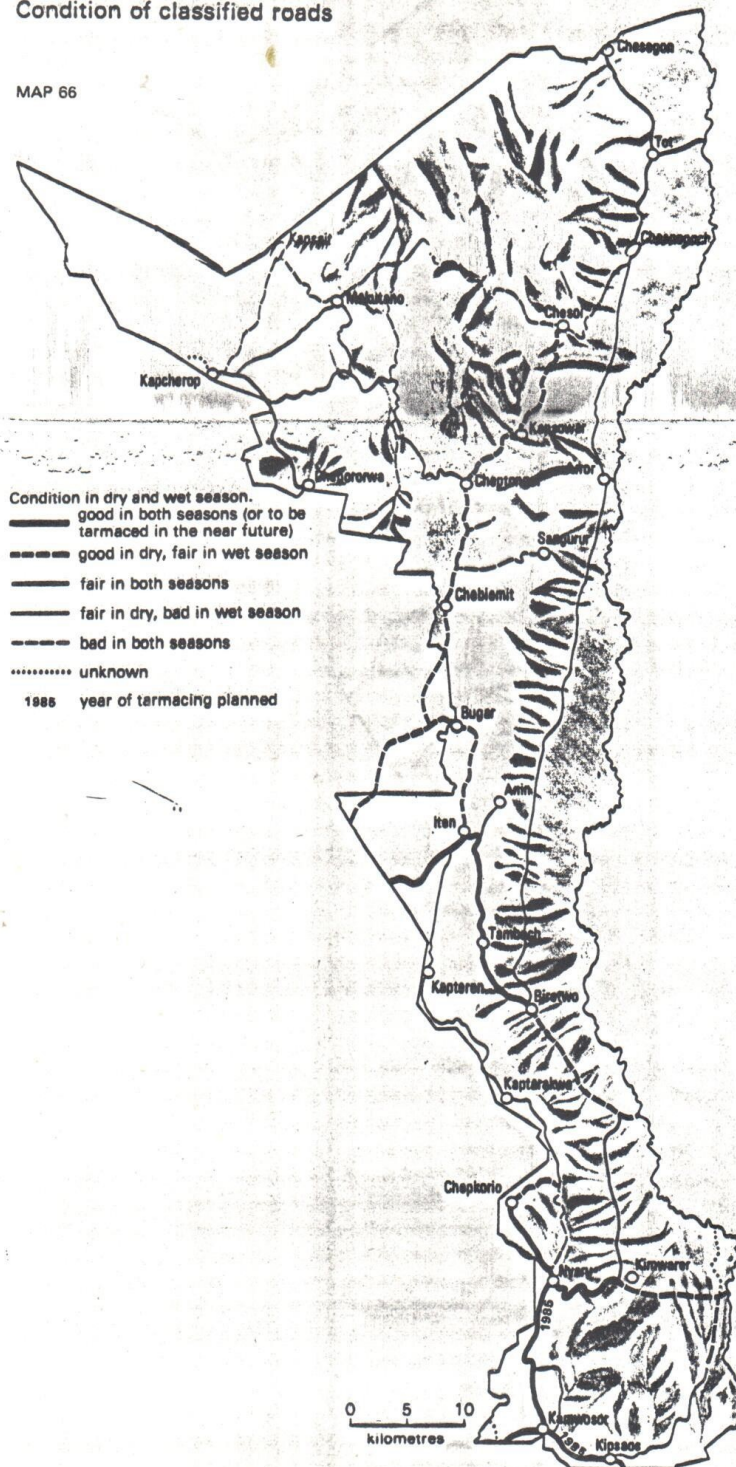
The mission will consist of Mr. J. Nijzink, Res. Rep. SNV, Prof. G-C.M. Mutiso, independent consultant, Mr. J. Amayi, Program Officer ASAL Elgeyo Marakwet and George Mbate, Head, ASAL Section, Ministry of Planning and National Development.

The mission will take place from 24th until 29th October 1988. Within a week after completion, the mission will submit their draft recommendations.

The final report should be submitted within four weeks. The mission shall report to the Ministry of Planning and National Development and the Royal Netherlands Embassy.

Condition of classified roads

MAP 66

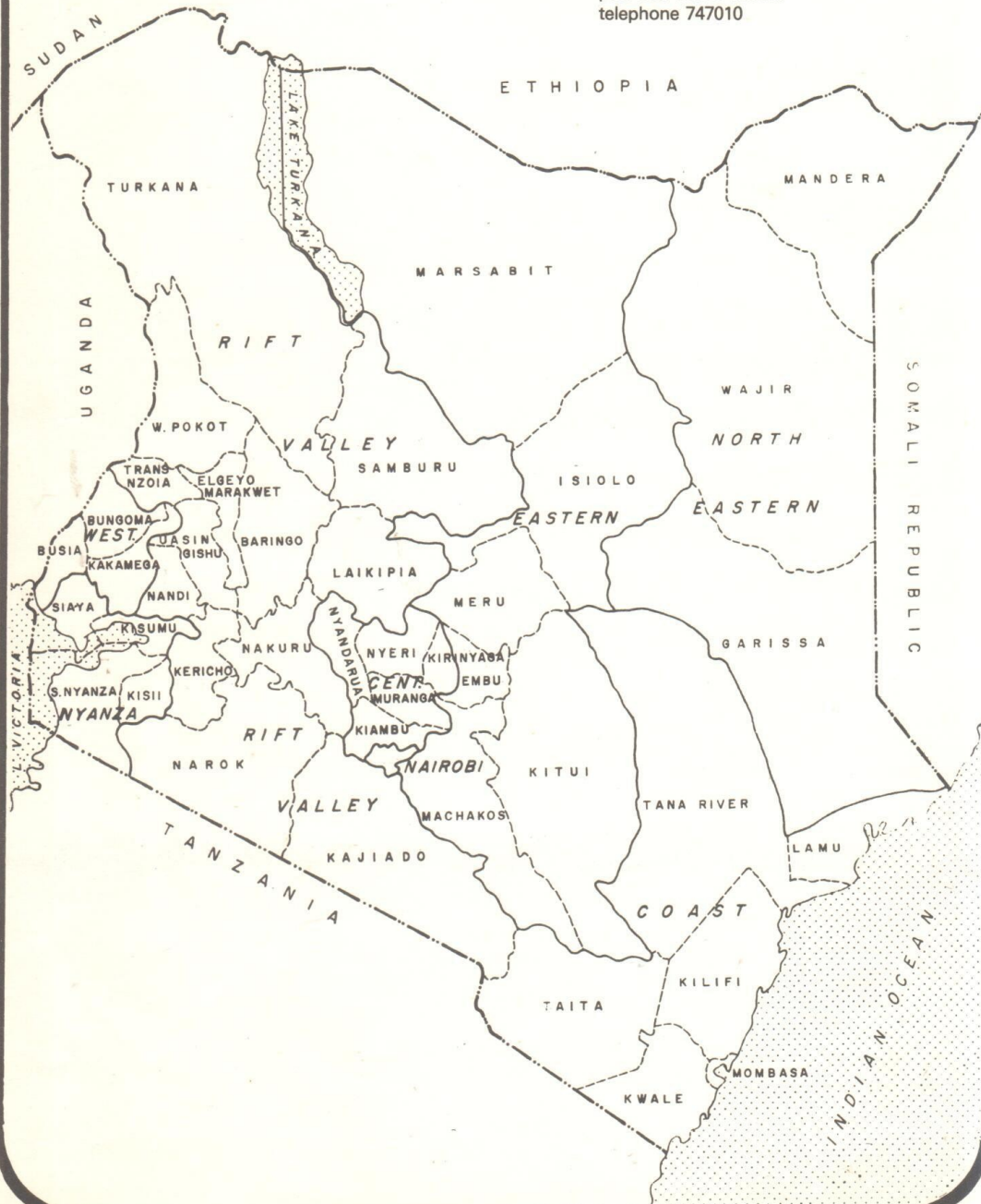


Sources: Road map of Kenya, sheets 15-21, 1983.;
Own research.

FINANCIAL PROCEDURES FOR ASAL



mutiso consultants ltd.
development management
p.o. box 14333 nairobi
telephone 747010



FINANCIAL PROCEDURES FOR ASAL

1. Constitutional Requirement

- 1.1. The handling of moneys or funds given or donated for purpose of the use by the Government must under Section 99 of the Constitution of the Republic of Kenya be paid to the Consolidated Fund and that any withdrawal must be under either a resolution of the Parliament or under an Act of Parliament.
- 1.2. The Government Financial Regulations and Procedures are based on this constitutional requirement and other Acts of Parliament dealing with financial matters of the State.
- 1.3. In short the use of any funds by the Government either derived from revenue, grants or loans must have Parliamentary Authority.

2. Government Financial Regulations and Procedures (GFRP)

- 2.1. GFRP are guidelines based on relevant laws dealing with the country's finances. What is however most important is that there must be agreement or memorandum of understanding between the Government and the donor before GFRP are invoked.
- 2.2. The contents of the loan or grant agreement or memorandum of understanding are the deciding factors of the mode of disbursement to be used. It should however be noted that any mode of disbursement that contravenes the applicable Kenya Laws may be difficult to sell.
- 2.3. The following are commonest modes of disbursement:
 - 2.3.1. Direct payment by the donor to the suppliers of equipment and/or material or to any other contractor

In this mode, funds must have been provided in the budget of the Ministry concerned as appropriation-in-aid to the vote. Authority to effect payment is normally communicated to the donor by the accounting officer of the Ministry through the Treasury. All payments must be made locally in local currency to all local suppliers and local contractors. Payment overseas in foreign currency could only be made if specifically stated in the agreement approved and signed by the Minister for Finance and only for overseas suppliers and/or contractors.
 - 2.3.2. Payment to the Exchequer on reimbursable basis

Here the Government spends from its own resources and then claims afterwards from the donor. The amount received from the donor is paid to the Exchequer.
 - 2.3.3. Payment to the Exchequer for budget programme support

There are some donors who prefer to pay their contribution for budgetary support that is without tying their contribution to any project. This is known as Budget Programme Support and such funds are paid direct to the Exchequer.

2.3.4. Payment by the donor in advance to the special account opened in the Paymaster General group of Accounts

Donors had been invited in the past to pay their portion of contribution in advance to a special account opened for the purpose in the Paymaster General.

The funds are transferred from special account to the Exchequer on production by the spending Ministries of documents in support of their expenditures.

Statements of special accounts are sent to the donors together with supporting expenditure documents.

On basis of these statements donors are able to replenish the accounts to the extent of the amounts spent.

It should be noted here that the Ministry cannot spend more money than indicated in its own approved budget and therefore the transfer to the Exchequer from the special account is limited to the amount spent.

2.3.5. Payment direct to an established fund under an Act of Parliament

There are a number of Funds established mostly under the Exchequer and Audit Act for various purposes and others under specific Acts of Parliament.

The rules and regulations of such Funds are formulated under the Exchequer and Audit Act by the Minister for Finance.

The main purpose and the accounting for the money of the Fund are defined under the rules and regulations of each Fund.

3. Agreement on Mode of Disbursement

It is much easier when the mode of disbursement is clearly defined in the agreement between the Government and the donor as different modes may be included in the relevant Ministry's budget in a different manner. As indicated in para. 2.3. above there is no general method of disbursement since each project or programme has peculiarity of its own. It is however easier to choose the mode of disbursement given the details on para. 2.3.

4. Budget Ceilings

4.1. Ministries budget ceilings for Development votes from the financial year 1988/89 have been changed from a single global figure to three segments i.e. loan, grant and GOK allocations (Government of Kenya). This will compel Ministries to give consideration to projects and programmes which are externally funded and for which there are firm donor commitments

- 4.2. As a rule Ministries are not allowed to exceed ceilings on loans and GOK allocations as this will have the effect of increasing budgetary deficit beyond the targetted level. Ministries are however allowed to exceed grant allocation provided that the projects are being financed 100% with grant funds and provided that recurrent cost implications on completion of these projects have been taken care of in the recurrent votes allocations. This latter concession should enable Ministries to absorb all projects in any financial year that are financed fully by grant.
- 4.3. It should however be noted that establishment of new Funds or funding projects through existing Funds do not solve the problems of ceilings being experienced by the Ministries since expenditure allocation must be included in Ministries budgets. Unless as indicated in para. 4.2. projects are financed 100% with grant funds.
5. Choice of media of financing projects and programmes
- 5.1. Funds for implementing projects and/or programmes could (i) be provided directly from Ministries votes or (ii) through one of the Ministry's vote to the established Fund administered by one accounting officer for financing projects and programmes to be executed by other Ministries.
- 5.2. The following are some of the factors that influence in general the implementation and completion of projects financed through either of the above two alternatives.
- 5.2.1. Financing Projects through Ministries votes
- Personnel responsible for implementing projects that are included in their Ministries votes usually give priority in executing such projects. One of the main reason is that they are personally responsible for the use of funds as AIEs holders and are therefore duty bound to execute such projects quickly if they are to avoid giving excuses to their accounting officers.
- The officers know that their general performance particularly in the field if judged to be good by their own accounting officers has greater influence in their advancement in the area of their specialisation.
- Co-ordination with other Ministries representatives become easier as each officer is in hurry to complete his or her part in all cases where the project or programme is co-financed by several ministries.
- All AIEs issued to Departmental or District Heads do lapse at the end of that financial year. If the project is not completed within that financial year and no funds are provided in the following financial year then the work on that project must stop. Even if funds exist in special account as stated in para. 2.3.4. If funds in special account are grants and project is fully financed by grant continuity of the project would be allowed as stated in para. 4.2. so long as the provision is included in the supplementary estimate.

5.2.2. Funding of Projects through established Fund

8

Every established Fund is administered by an accounting officer e.g. RDF is administered by the accounting officer for the Ministry of Planning and National Development.

Authorities to incur expenditure (AIEs) issued from Established Funds to other Accounting Officers usually can remain open beyond one financial year. This facility improves not only cash flow to the projects but there is also continuity of implementation of the project that is the project is not stopped temporarily because of delay of issuing of AIE for the following financial year unlike AIEs issued directly from voted provisions which lapse at the end of that financial year.

Projects to be implemented on issuance of AIEs to other accounting officers takes long to start off particularly if technical officers have more projects in their own Ministries and also given the factors stated in para. 5.2.1.

If adequate operating funds are not provided in the AIE this will also and is largely contributory to the delays because implementing Ministry may not have adequate funds for such expenses.

Delays may also be caused by lack of implementation capacity.

It has therefore proved difficult to bring other implementing agencies together and make them work within the planned schedule of events.

6. Proposed ASAL Programme

I have in the foregoing paras. given rather at length the procedures and other factors that affect implementation and disbursement of projects in one way or another. I have purposely taken this approach because the papers that I was given to read do not refer to specific projects to enable me to give my opinion on whether or not establishment of ASAL Development Fund is the solution. It is however clear in some of the papers that in some cases funds will be made available in form of loans to farmers and also NGOs may be called upon to participate in some activities.

6.2.1. One alternative is to establish ASAL Development Fund as proposed. This has the advantage of having cash from one source and as explained in para. 5.2.2. the unused cash will not revert to the Exchequer but will remain as the balance of the Fund.

6.2.2. If the factors enumerated in para. 5.2.1. do persist implementation of the projects financed through the Fund will be considerably delayed which will not only affect the interest and morale of targetted groups but also intended objectives may not be achieved.

6.2.3. There is likelihood of duplication of efforts as some similar projects

or programmes may be introduced and implemented through Ministries votes unless there is proper co-ordination of activities.

- 6.2.4. There may be no trained manpower to handle the activities of the proposed Fund and particularly on the programme of lending funds to targetted groups.
- 6.3.1. The second alternative is to take ASAL programme under RDF. There are already two programmes under RDF that is District Development Grants and Rural Works Programme. These two programmes have been coded differently and are separately identifiable in the books of Accounts. ASAL programme can similarly be separately coded so that it is easily identifiable.
- 6.3.2. In this alternative there will be an advantage of using the same manpower that is there with the arrangement of increasing the personnel as volume of work increases.
- 6.3.3. The major bottleneck for this alternative is that the problems now experienced by RDF will adversely affect the ASAL Programme.
- 6.4.1. The third alternative is to implement ASAL Programme through partly Ministries votes and partly RDF.
- 6.4.2. Through Ministries Votes

Since it is anticipated that projects or activities under the ASAL Programme would have been identified much earlier it is not difficult therefore to assign such projects to relevant Ministries.

For ASAL Programme to be included in the Forward Budget the donors commitments must be conveyed to the Treasury at least two years earlier for all projects and activities to be financed by loan. This will enable Treasury to adjust ministerial ceilings in the development forward budget. That is if there is any room.

The other alternative is to indicate to the Treasury External Resources Department the projected financing programme by Ministries of the ASAL Programme during the intended forward budget period. These projections will be taken into account when deciding the segmentation of development ceilings by grants, loans and GOK allocations although at this stage the projects or activities would not have been identified.

The moment ASAL programme appears in Ministries budgetary allocation they would at that stage need to have known the procedure to be followed in identification of projects and activities.

Programme of this nature which is co-financed by several donors may present a number of problems when it comes to disbursement. Those who will centrally take charge must indicate the mode of disbursement to Ministries and Donors well before provisions are made in the draft estimates. This is important as presentation of draft estimates by Ministries will depend on mode chosen. Please see para. 2.3.

6.4.3. Through Rural Development Fund (RDF)

There are certain projects and/or activities that cannot be conveniently be undertaken by providing funds directly from the votes. Some of these projects or activities have been referred in some of the papers e.g. where small loans on concessionary terms are given to farmers, giving funds for installing privately owned small dams or water holes, giving credit to small groups for commercial purposes or off-farm activities etc. These activities could be conveniently handled through RDF.

For the foregoing types of ventures to succeed RDF will have to be re-organised by increasing technical staff e.g. accountants, economists, engineers and internal auditors in the Headquarters and in operation areas.

The programme would still appear separately in RDF books as it would be given a special identifiable code.

The accounting officer for the Ministry of Livestock Development is operating Pastoral Areas Rehabilitation Fund (PARF) which is supposed to lend funds to bee-keeping groups, buying of camels and cows etc. If there are projects or activities of the similar nature they could be handled by PARF to avoid duplication of efforts.

Funds for projects to be financed through RDF will have to be provided through the vote of the Ministry of Planning and National Development. In the past funds were transferred direct to RDF by certain donors but recently Attorney General advised that there must be specific provisions in law to allow such transfer as stated in Section 99 (2) of the Constitution of the Republic of Kenya.

Since RDF may not have surplus cash donors may be encouraged to pay in advance through the "Special Account" for ASAL programme to be opened by the Paymaster General.

6.5. For financing of ASAL Programme I will recommend the third alternative as stated in para. 6.4. to 6.4.3.



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BICEDA: A Suggested Research Agenda

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1 Introduction and Terms of Reference

We have been asked by representatives of the Beijer Institute in Kenya to prepare an ideas paper outlining a research agenda for BICEDA. This is presented in Section 4 of the paper. However, in order to fulfill this brief, we have also found it helpful too prepare a short statement outlining what we consider should be BICEDA's objectives and how these should be pursued (Section 3). In Sections 5, 6 and 7, we present some brief observations and recommendations on staffing policy, funding and the institutional linkages which in our view BICEDA should develop.

2 Consultants Work Programme

We were asked to work on ideas which would form the core programme of BICEDA. KWDP presented to us the ideas paper they had earlier worked on. We held discussions with Phil Bradley and Rutger Engelhard during the first day. Two members of the team went to Nakuru the second day. On the third day, the three team members and Phil Bradley went to Murang'a. A second full day meeting was held with Phil Bradley and Rutger Engelhard on the fourth day. On the fifth day, the team members worked together. On the sixth day, two team members drafted a preliminary paper and held informal discussions with Boaz Shuma, Patrick Mung'ala and Agnes Ngugi. They were joined by the third consultant during these discussions. The seventh day was spent discussing the preliminary paper between the consultants, Phil Bradley and Rutger Engelhard. By luck, Mary C. Kekovole and Catherine Wituka, field workers in Kakamega passed through and we were able to hold informal discussions with them. The eighth and ninth days were spent revising the draft paper by the three consultants for discussion on the tenth day.

We the consultants would have liked to hold more detailed discussions with as many KWDP staff as possible. This was broached with the principal contact persons but it was not seen as critical. We would recommend strongly that before Beijer finalizes planning for BICEDA that KWDP staff be consulted on the arrangements extensively, not only by Beijer staff but by outsiders to facilitate their giving their opinions freely and creatively. Discussions should be held at all levels.

3 BICEDA'S Objectives

The prime objective of BICEDA should be to conduct basic research on energy issues in Africa. To be relevant, this research must be linked to implementation; it should tap existing indigenous knowledge

systems and it should be multi-disciplinary, combining complementary inputs from the physical and social sciences. Given the existing pattern of energy production and consumption in Africa, current ecological trends, existing technological options and the macroeconomic environment, the primary focus of BICEDA should be on renewable energy sources.

While implementation agencies should be assigned the executive role in energy programmes in Africa, BICEDA as a research institution should have a primarily catalytic role.

A second objective for BICEDA should be to contribute, via its research activities, to training in energy issues. Important here will be the generation of training materials derived from BICEDA's research, and also the informal training via demonstration and discussion that should be undertaken in the context of KWDP-type objectives.

Given both the close link to implementation and the training objective, R and D activities of the KWDP-type should become a key component of BICEDA's overall research programme. This type of R and D programme can act as:

- i) a source of ideas on relevant research priorities
- ii) a testing-ground for research findings generated by BICEDA
- iii) an important source of information on indigenous knowledge systems and relevant cultural variables (in this respect it may contribute to/supplement other research into these issues).
- iv) a key testing ground for BICEDA's research into formal and informal channels of communication
- v) a contributory component to BICEDA's training activities via the demonstration of new extension approaches and techniques to the public sector extension workers. This may occur both during the development phase in order to generate the interest of, and feedback from, mainline extension staff and at the completion of the development phase.

Time Horizon

For the approaches and activities proposed here to have a positive and long-lasting impact, it is important to incorporate a long-term view at all the stages of R and D activities (of BICEDA/KWDP). From both a tree and a human focused point of view, that is in terms of a tree cycle and a human cycle, a period of fifteen years is suggested as the minimum length of time within which these various activities can begin to have an effect.

4 The Proposed Research Agenda

4.1 Preamble

Renewable energy research in Africa has recently expanded but it is still mostly fragmented and diffused (between countries, branches of the renewable energy sector, and disciplines). So far limited results of widespread applicability have been generated. If BICEDA is created, from the outset all research must be informed by implementation needs. It must be geared to the current circumstances and needs of renewable energy producers and consumers while also taking into account the implications of forecast trends in supply and demand. It must aim to generate results which will identify, ease and accelerate the adjustments that must be made by producers and consumers, and which will be of direct use to the public sector in planning future programmes for energy production and consumption. In this respect, it is also important to bear in mind that there is a growing trend towards decentralizing development activities. The level of implementation should be understood to be the district and its equivalent in other countries.

The key issues in Africa with respect to renewable energy supplies are currently to:

i) expand sustainable fuelwood supplies by increasing the capital stock. This will require new and innovative technical packages;

ii) promote more efficient energy conversion and consumption patterns.

Experience has shown, however, that effective technical solutions cannot be evolved without taking into account both cultural and socio-economic factors. In this respect, particularly important are the following:

i) Research programmes committed to positive social change cannot avoid using the denominator of the historical perspective.

ii) It is necessary to explore what cultural factors may impinge on energy issues. In our opinion, techniques of anthropological and sociological investigation are most appropriate for studying these factors (e.g., participant observation).

iii) The main handlers and managers of energy resources in the household are women, therefore, research and development strategies must pay particular attention to women.

iv) Technical solutions must not only be culturally acceptable but economically attractive to producers and consumers.

v) The producer risks involved in technical change should be kept as low as possible. Hence technical packages for producers should be kept as flexible as possible.

4.2 BICEDA's Research Activities

4.2.1 Overall Research Focus

The overall focus of BICEDA's research should be to:

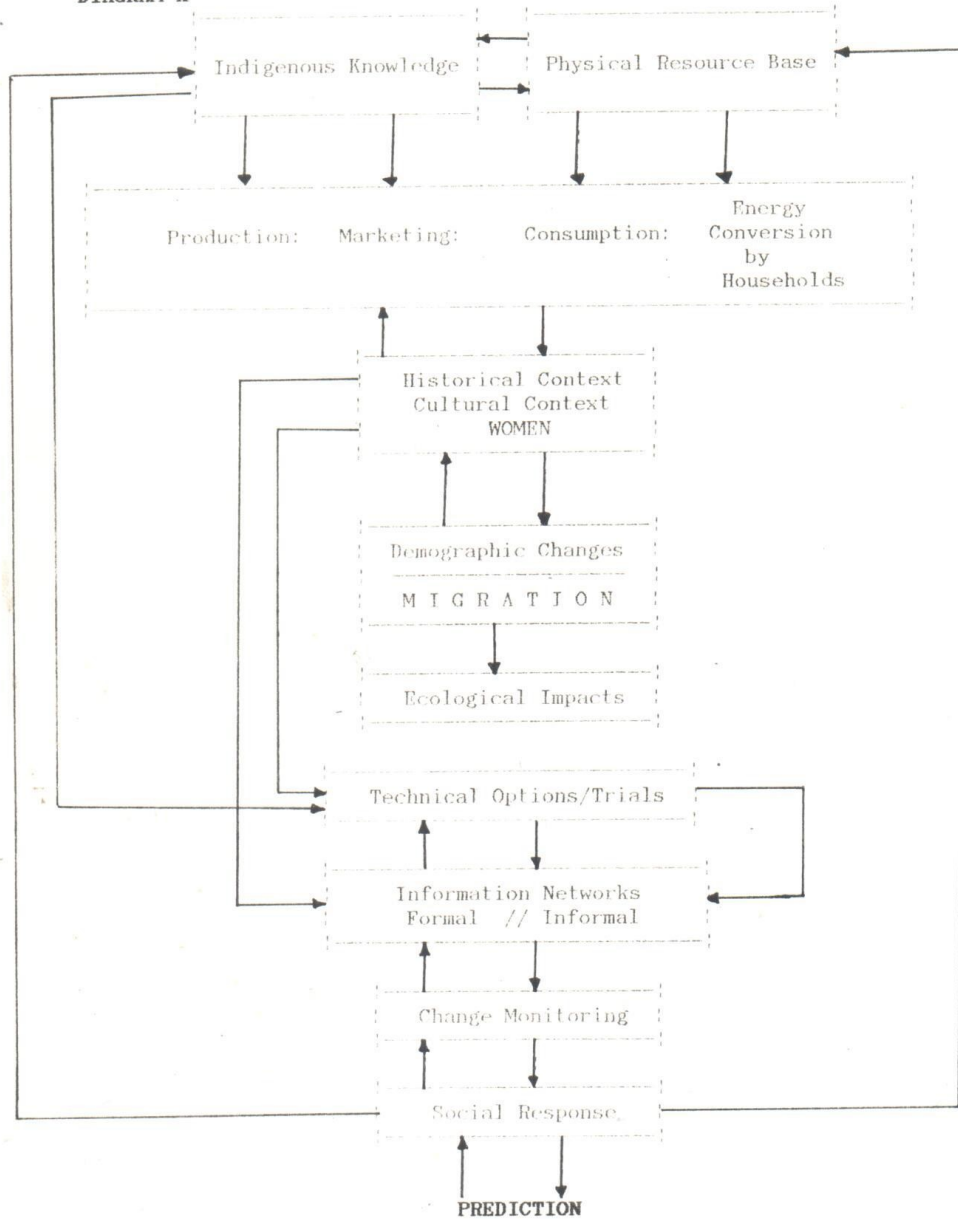
- i) Generate knowledge about renewable energy resources in Africa
- ii) Explore the relevance of different energy resources in different geographical, ecological and socio-economic contexts.

The purpose of undertaking research with these two foci will be to:

- i) generate valid predictions concerning energy needs and availability in different parts of Africa
- ii) generate advice on technical options.

In order to achieve these objectives, we recommend that BICEDA undertake a programme of interrelated research as summarized in Diagram A. However, the degree of original research required to BICEDA in relation to the different depicted items in Diagram A will vary according to the amount of research on these topics that is already being undertaken in Africa. It therefore follows that the first priority is for BICEDA to undertake a systematic review of such complementary research activities.

DIAGRAM A



NOTE: We have aimed in this diagram to identify the main linkages. Others can of course be identified.

PREDICTION: Research Functions and Technical Options.

Diagram A schematically shows the interrelationships between research programs and the generation of predictions of energy needs and availabilities.

To date, most predictions on energy needs and problems are based on extrapolative demography. There is very little exploration of people's reaction to demographic changes and the causes, costs and positive impacts of community (people) derived technical solutions to energy programs. Studying the historical and cultural factors and the role of women in energy dynamics and the manner in which these influence local response to emerging stress in the energy sector as well as demographic variables, could lead to more realistic predictions concerning likely future trends in energy needs and availabilities.

Such a focus would lead to the identification of key processes and institutions which can be utilized in planning interventions with a higher probability of success in the various communities. If these studies are done comparatively, key indicators of energy needs and problems can be identified to allow prediction. It is important that such conclusions be tested in field programmes before they are offered as planning tools.

Advice on Options

The underlying theme of our approach (see Section 1 above) is that the technical options to be offered to communities must be compatible with the needs and resources of different ecological, cultural and socio-economic categories. This is reflected in the research agenda and linkages summarized in Diagram A.

4.2.2 Priorities for a Specific Research Agenda

I) Focus on Trees in Energy Production

a) Generate knowledge about suitable tree species for different ecological regions through:

- i) tapping indigenous knowledge systems
- ii) trials of indigenous and exotic species.

b) Test the utility of different tree species for different farming systems and households (the latter categorized on the basis of cultural and socio-economic variables).

c) Introduce and/or reactivate active tree management by identifying technical parameters, criteria and packages for the management of seedlings and trees.

d) Modeling of woodfuel production. Such modeling should be seen not purely in terms of quantitative and computerized manipulation of data (since such data are hard to come by due to the nature of factors impinging on the energy question at the present time), but rather in terms of developing a broad and comprehensive conceptual and methodological framework, that can be applied to different ecological and socio-economic situations in Africa. The development of such a model-cum-framework would be based on the identification of certain common denominators or parameters in the different areas. Ideally a data base should be developed for each district or equivalent focal unit. Such a data base could comprise comprehensive inventorying for each district or area. This would be equivalent to the KWDP's district resource surveys.

II Focus on Energy Consumption

- a) Generate energy consumption data stratified across ecological zones, socio-economic strata and rural-urban areas.
- b) Identify the extent and composition of off-farm access to energy sources for rural consumers.
- c) Undertake research on energy consumption patterns, energy use technologies and the development of alternative strategies for meeting energy needs.
- d) Investigate energy-time budgets.
- e) Identify urban energy consumption patterns.
 - i) examine the graduation amongst firms and households from fuelwood, to charcoal, to kerosene, to electricity/gas.
 - ii) investigate long-term alternative sources of energy: solar, biogas, etc.

III Focus on Energy Distribution

- a) Examine the distribution networks for renewable energy supplies and competing products, in terms of:
 - i) their geographical coverage
 - ii) the socio-economic characteristics of both suppliers and purchasers.
- b) Investigate the seasonality of distribution and the consequent price oscillation.
- c) Examine distribution costs and their impact on the final price to the consumer.

- d) Explore possible interventions in order to:
 - i) lower unit costs
 - ii) increase access
 - iii) stabilize access

IV Assessment of Renewable Energy Policy and Objectives

Using relevant results from I, II and III:

- a) establish the validity of the objective of working towards household fuelwood self-sufficiency for the semi-arid areas.
- b) examine the extent of viability of this objective with regard to the high potential areas.

V Focus on the Rate and Style of Social Change

Introduce the monitoring of socio-economic change over different areas, as related to energy production and consumption, for the purposes of identifying trends and predicting future scenarios for energy production and consumption. Monitoring activity would be focused on:

- a) Demographic change, namely population growth and movements:
 - i) rural -- rural
 - ii) rural -- urban.
- b) Ecological consequences of population movements, for example:

the transfer (by the migrants) of land use techniques from one ecological zone to another, and the implications of such transfer.

Such techniques could be seen in terms of:

- farming methods
- crop mix.

- c) Local Energy Production and Consumption Responses to a), and b) above.

- i) On-farm production for own use
- ii) On-farm commercial production

iii) Adjustment or change in dietary habits
iv) Food preparation and food cooking patterns and methods.

d) The Development and Adoption of Different Methods or Techniques of Energy Conversion.

i) Survey and monitor the incidence of new or different ways of converting energy.

ii) Assess the efficiency of such conversion techniques in view of the increased demands on energy as indicated by a), b) and c) above.

iii) Explore ways in which BICEDA/KWDP could in a catalytic and executive sense promote efficient systems of energy conversion.

iv) Formal and Informal Channels of Communication and their Effectiveness

The decision(s) (at the farm and household level) to change or to adopt particular styles and methods of energy production and consumption are largely, if not wholly, dependent on the information available at a particular time. The ways in which such information reaches or can reach, the farm and household should be investigated in terms of, for example:

- i) the medium of communication
- ii) the agents of communication
- iii) the recipients of the information.

Within each district three sets of information nodes or networks should be studied:

- i) physical communication nodes
- ii) social communication networks (the church, womens groups, the market, etc.)
- iii) formal administrative communication networks.

iv) Informal Communication Networks

The focus of these studies should be not only on the characteristics of these nodes and networks and on the numbers and types of people upon whom they impinge, but also on the interaction (positive and negative) between them.

The study of patterns of communication entails also the study of communication methods. In a research institute with strong links to implementation and training, the chief purpose of such study would be to devise new, effective communication methods for use in the 'formal' sector. This would include the type of innovative work (including the use of drama and film) that has been undertaken by KWDP in Kenya.

In designing and testing new communications methods and formulae, the consultants consider that the aim should not be to reach out directly to, and influence/manipulate decision-taking in individual households. Rather a governing principle should be to provide neutral information about the changing physical and economic environment and to present a range of technical options in such a manner that these can be mediated through the community.

As a result of research on information channels and methods, formal methods of information dissemination can be worked out. Informal but effective methods of communication can be enhanced.

VII Focus on Women

At the farm, household and community level, women play and have always played, an important but largely "invisible" role (at least quantitatively). Although gender roles at the farm and household levels have undergone subtle and sometimes far-reaching reversals and changes, women are nevertheless the key actors and decision-makers in, many activities related to energy management and consumption. Three major aspects need a much closer look, namely:

a) Women's role(s) in resource management at the farm level insofar as such role(s) impinge upon energy production and consumption

b) Cultural reinforcement of role patterns.

c) Women's group initiatives.

There are two important levels of dealing with the diverse and key roles that women play. Women, either as individuals or as members of women's groups have become an institution, capable of initiating and of influencing fundamental and positive changes at the family level, the farm/household level, and the larger community level. Seen at face value, it may seem that the roles women play are rather contradictory and at variance to the well-being of the family and the community. However, research must separate the enactment of roles at the visible social level, from the role(s) played at the private personal and family level. These latter can only be observed and

understood through the use of detailed personalized and lengthy research techniques (e.g., participant observation). These should be used in order to obtain a clear understanding of the mechanisms of social change and social response via the women, and in order to discover how women can be used as agents of social change relative to energy issues. However, this is also an area in which personnel engaged in KWDP-type activities in their own areas may constitute an important information source.

VIII Social Determinants of the Response to Change

The research method that we have advocated, which incorporates both historical and cultural perspectives, should generate findings concerning the social determinants of the response to change -- especially so when it is applied to the study of social change (past and present), to information networks and to women's roles in resource management. However, given the crucial role which social responses to change play in influencing resource use at the household level, it seems appropriate to single out social determinants of the response to change as a research focus. This should explore:

- the key social groupings in particular societies with respect to the formation of cultural values as they relate to energy issues, (i.e., both conservative and innovative groups)
- key indigenous groupings with respect to the generation and dissemination of energy innovations
- the social dynamics of such groupings (their formation, leadership and mode of interaction with the rest of the community with emphasis on how energy matters are handled).

5.3 Staffing Policy

Staffing should be based on a balanced mix between Africans and others.

BICEDA Personnel

BICEDA personnel should normally be deployed within the areas on which their research is focused.

Personnel from implementation organizations both in Kenya and other countries should regularly spend periods of time at BICEDA in order to:

- i) contribute their own experiences to BICEDA's research on implementation
- ii) achieve cross-fertilization of ideas on implementation
- iii) inform other BICEDA research programmes

iv) pursue their own implementation-related research should they wish to do so.

The implications of i-iv is also that in the KWDP-type components of BICEDA's activities, staff functions will of necessity get blurred and personnel management will have to be flexible and not hierarchial. The objectives in managing personnel should be:

- a) to allow all levels to interact creatively at all times
- b) to ensure that lower levels voluntarily contribute thought and practice which informs research and implementation.

For this to take place, managers should spend a fair amount of time with staff at the different levels. Our suggestion is that managers should have at least 40% of their time in the field.

Other Personnel

In the preliminary discussions Beijer personnel indicated that on the whole there is a potential problem of BICEDA attracting too many external researchers. These are likely to come from NGOs, the public sector, the donor community and University research institutions.

Although we believe that BICEDA should be able to accommodate researchers with similar interests, we think that there should be formal procedures limiting the parachuting of external people. The way to do this is to screen all those interested in short-term affiliation to ensure that they:

- a) can contribute to BICEDA's long-term interest
- b) that they will work on ongoing core activities and not just use the institute for their own individual benefits which may be peripheral to BICEDA.

6 Funding

It is anticipated that this will be from multi-donor sources.

7 Institutional Linkages

BICEDA should develop linkages with:

- i) other African research institutions concerned with energy,
- ii) extra-continental research institutions where relevant;

iii) African governments

iv) NGOs concerned with energy programmes in Africa.

BICEDA should aim to develop strong institutional linkages in all four cases. However, the purpose of these linkages will clearly differ. In the case of linkages with other research institutions and NGOs engaged in research, the primary objectives should be to:

i) exchange research results

ii) coordinate research programmes as and where appropriate.

In the case of linkages with Governments and with NGOs engaged in implementation, the primary objectives should be:

i) to contribute to government's energy planning both through relevantly focused research and the contribution of expertise to the planning process if this is required

ii) to promote comparative evaluations of and debate on implementation methods and to propose new initiatives.

July 22, 1987

DISTRICT FOCUS: UNDP FOURTH COUNTRY PROGRAMME MID-TERM REVIEW

A. MACRO LEVEL

The terms of reference require that the consultant examine the programmes impact in relation to existing governmental priorities and mechanisms under District Focus.

1. District Focus Institutional Requirements

Since the start of District Focus For Rural Development Strategy in 1983, there has been discussion on whether it was strictly devolution or a decentralisation strategy. GOK has sent staff to the district level. New functions of prioritising development at the district level have been created. These priorities are supposed to be the basis of ministerial programming. This strategy by GOK assumes that at a minimum, any proposed project activities to take place at district level should be discussed at the community level, and by the Locational, Divisional and District Development Committees.

This process has led to the peoples' representatives and the government officials at these levels interacting in setting the development activity priorities. This in turn has led to many actors, both governmental, private sector and ngo, being scrutinised for the first time at the various local levels. It is from this point of view that all projects which are planned to be implemented at these levels must be discussed. There is not clear evidence that such discussion has taken place for the past CP activities or the ones planned for the future. Thus it is clear that the spirit of DF is not adhered to by the CP.

2. Employment as CP Umbrella and Sub-themes

On a broad level as indicated in the Nyeri review some of the projects have been targeted to the stated GOK need of generating employment. Within this wide employment area the themes of Small Enterprise Development, Rural Development Economic Management and Public Administration and Technical Projects as well as a miscellaneous category have been identified in terms of projects which are already approved and in pipeline.

If one analyses these categories, there is some evidence that they do not take into account some of the recent major concerns of the GOK at the policy level. Among these is the concern for developing the infrastructure of the small towns. Second is the concern for raising the technological level of the wider society by sponsoring machine tool industry and getting consumer goods production which is reflected in various activities among them the Nyayo Car Project. Related to this is the policy on improving the scientific and technological capacity of the nation. Another policy is the need to increase the processing of agricultural produce.

If one takes the stated/active policy output of technicalising agriculture and the commercial and industrial sectors, then a derivative policy is the need to use mass communication techniques to reach the increasing literate population with scientific and technological options. These cannot be delivered by the conventional extension systems for they are required for immediate production at a variety of levels. Further, since innovations follow one another with increasing rapidity, they have to be specifically targeted to particular consumers. Thus a need then exists for developing mass communication techniques for delivery of scientific packages, knowledge and technology to specific consumers. Another derivative policy is the need for specific concern for technology policy over and above the economic management and public administration policy support.

If all these are considered then the thematic content of the CP can be weighted as follows:

	Approved%	Pipeline%	Future%
SED/Informal Sector	30	54	30
Rural Dev.+ Small Towns Infra.	17	12	25
Technical Pro. +Tech capacity Bldg	23	0	20
Economic Management/PA+Tech policy	25	31	15
Misc.+ Mass Comm. Sc./Techno/Prod.	5	3	10

The logic then for a future CP programme is to address the issues which have to do with technicalising development and taking the information to the grassroots in the most efficient way. Such a weighting or similar would then serve as a programming guide. It should be clear then that the pipeline position of dropping Technical Projects is unacceptable for it would completely deny the policies leading to technical production. On the same logic clearly the massive spending on economic management advice would have to be reviewed to include development of science and technological policy at least.

3. National versus District Focus

As identified in the Nyeri documentation, the CP has been implemented mainly by the GOK. However, the national level was favoured for it implemented 74% of the programme and only 26% represents activities at the district level. We emphasize "activities at the district level" for it is quite clear they were centrally planned without the legally required consultation of the DF system. For the future this lopsidedness is not acceptable for the DF policy requirements lead one to conclude that the target should be as nearly balanced as possible for if DF programmes are not favoured they cannot survive the implementation agency /ministry preferences for central projects.

4. Institution Building Versus Direct Support

The Nyeri analysis showed that the activities which could be construed as institution building, although at times disguised, constituted about 70% of the programme. This left 30% for direct

support. For the future systematic institution building should be increased to say at 80% for the objective will be to enable local institutions to do specific activities. About 20% will of necessity be reserved for direct support for it will be necessary to get equipment and some specialised TA in some areas where no capacity exists in the country.

The content of institution building should be to support:

- a. New production/employment generating technologies.
- b. Build up design, management and production capacity for scientific and technical sector.
- c. Systematic human resources development which should not concentrate on individual training but on organisational development.
- d. Build up trade (food processing and other manufacture) and export of agricultural value added.

5. Execution Modalities

Data on modalities, supplied by the CP, is summarised hereunder.

1987	FAO	28%	DTCD	24%	GOK	23%
1988	GOK	23%	ILO	19%	FAO	18%
1990	UNIDO	25%	ILO?	16%	IBRD	14%

Such great fluctuations in modalities is symptomatic of unfocused programming which the office admits. To meet the policy objectives of the GOK in the future there will be need to tap the specialised scientific/technological resources of the UN and to increase the private sector implementation. It is not clear why the IBRD modality is needed neither is it clear that it has advantages offer the specialised UN scientific/technological agencies. In any case none of the individual modalities should be so big as to clearly dominate the CP. Consequently it is proposed that from 1991, the modalities be adjusted as follows:

GOK MINISTRIES	15%
UNIDO	15%
PRIVATE SECTOR	15%
DISTRICT COOP. UNIONS	15%
UNCTAD	10%
OTHER UN SCI/TECH AGENCIES	10%
ILO	10%
NGO	10%

6. Women in Development

The macro strategy should be to include and increase the portion of WID in all projects. All stand alone WID projects will continue to be problematic for cultural and programming reasons.

Such increase should be at the local level and in the DF mold. A detail is that there is specific need to get women not just into the formal credit systems but also the scientific and the technology based production systems.

7. District Initiatives and UNDP's Implementation Mechanisms

There does not appear to be an a priori reason why district initiatives (specifically meaning desired and priority development activities of districts) cannot fit into the existing UNDP implementation mechanisms given the wide range of activities undertaken currently. Internally, the office will have to assign programming differently to get some of the staff responsible for monitoring district initiatives. They can also play the role of identifying the appropriate modality. A detail may be the need to recruit specifically individuals with rural development implementation skills, particularly with either business or science and technology specialisations.

As most of the developmental work of the DDCs is coordinated by Ministry of Planning and National Development, clearly much more programming contact with this ministry will be needed.

8. Utilisation of DF System for Identification, Design and Resource Mobilisation

a. Conceptualisation and Identification/Formulation

It is clear that in the past identification has been done by Nairobi bound UNDP staff getting prepositions from all and sundry at the national level. The various UNDP officials have then mainly constituted international teams, and rarely local or mixed teams, to identify a particular project. Such teams have rarely got out of Nairobi to actually interact with the beneficiaries of particular projects. Depending on the interests of the programme person, issues have been pursued until identification all within the national level.

The SED programme development activity was by locals but there is also no evidence that they did any more relevant district focus consultation during the identification phase than the parachuting missions. NGOs, in the SED development model, seem to have become the substitutes for community consultation.

For UNDP to identify projects in a coherent DF system framework, it will have to make significant changes in its internal process. The most crucial step will be to raise the issue of district and community participation during the project conceptualisation stage, BEFORE IDENTIFICATION. This is a stage when most GOK national institutions submit project ideas to various UNDP personnel. It should be easy for UNDP to REQUIRE that all programme staff raise the issue of DF system participation at this early stage.

On the formal identification stage proper, first and foremost it is important that identification missions spend at least fifty

percent of their time in the field to familiarise themselves with the beneficiaries they are supposed to be planning for. Second, the constitution of the identification missions should be at least fifty percent local and fifty percent international. After all UNDP is in the business of employment generation in the country! Of the locals, there is merit in including some GOK representatives, but the bulk should be local specialists either in formal development work or consulting. It is further important that the programme officer, who will finalise documentation and supervise the project for UNDP Nairobi, be included as a resource person. To minimise inbreeding, team leaders should always be from outside the UNDP and preferably local.

Identification at District and community levels will need specific procedures. First the programme officer as part of his work should visit the project area and familiarise himself with the community groups, the relevant DDC priorities, the sectoral ministries field staff, private sector institutions and ngos operating in the various areas. Such visits should be undertaken before participation in the Identification Mission. Conceivably it should be undertaken with staff from the relevant national level supervising ministry. CP programmers should discuss how the priorities of the district(s) which fit into the themes of the CP. This is latent sensitivity testing/salesmanship and should be recognised as such upfront.

Second, when the identification mission is in the field it should interview a mixture of community groups (members and officials), local GOK staff and any other relevant local officials.

After finalising the Identification Draft Report, it should be sent to the district for consideration at the appropriate level of the development committee structure. Conceivably for some projects, discussions will be needed at the locational level but more often than not the divisional and district level should be adequate.

At the district level consideration must be by the whole DDC and not just the DEC as some would prefer.

The Programme Officer should monitor the discussion of the Draft Identification Report at the district level and if necessary attend the DEC or DDC as an observer, as provided for in the DF Documents, when the project is being discussed.

After incorporating the comments from the field, the Programme Officer should revise the draft identification report, and forward it to the relevant ministry to initiate the formal GOK consideration process.

b. Design

Preliminary design of DDC projects is located with the District Development Officers and Assistant District Development Officers who are the locally based planners. Depending on sector, their plans are forwarded to the various sectoral ministries for final

design and budgeting. It should be clear then that the key operations in technical design and budgeting are located at the centre.

It is with national officials that the UNDP Programme Officer finalises Draft Identification Reports for consideration by the relevant Ministry before it comes back for UNDP internal project committee consideration and onward transmission to New York.

Contacts with the national officials have been problematic in the past for it has not been clear whether all project proposals should go through MNPD or only get there for final approval after the line Ministries have considered them. There cannot be a hard and fast rule. However, as the UNDP office is increasingly staffed by locals and the international staff stabilises, informal contacts will be of great essence. It is not a desirable idea that all projects be finalised through the MNPD only.

On its part, the UNDP has specific design criteria which have presented problems to ministries even though they have more qualified professionals than found in the districts. Clearly then, if the DF system is to be used, there will need to be more input in time of the UNDP programme officers in project preparation work. This should not only be seen as a cost for in management terms, it is more than likely to lead to more systematic design, relating the design to specified themes, modalities, target populations etc thus indirectly increasing the relevance and salience of the programmes.

c. Resource Mobilisation

Specific donors are for programming reasons in specific districts. There are lacunae they cannot meet because of their national policy dictates. The perennial example is funding of cotton growing in USAID projects. Thus from a district point of view, diversifying donors or filling lacunae which have no funding, is an important way of assuring that their needs are fulfilled. This important DF issue should interest the UNDP.

Resources generated by communities are usually ignored both by formulation and design teams. There is need for incorporating resources from community institutions in the identification and design stages as part and parcel of sustainability documentation. These should be identified as project inputs.

Also an important activity should be for the various programme officers to be required as part of identification and design to assure that different UNDP projects service the needs of the other UNDP projects to create synergy within the CP.

9. UNDP Programming Content and District Focus

Beyond changes in the programming procedures, clearly long term development of district development capacity, identified, planned and executed there, which is assumed by the DF Strategy, will not happen if private sector institutions are not build up to take

this role in conjunction with DDCs. UNDP could play a role in assuring this since its identified areas of concentration will have to take place at district level. If these are contracted out to ngos or even private sector there is no guarantee they will strengthen the district based socio-political, commercial and scientific/technological systems. These objectives should be part and parcel of the programming process.

For example, credit seems to be seen as the main bottleneck to employment generation in significant number of project proposals being considered by UNDP. Are the businesses desired at the various districts, the technologies which would provide new jobs and the sectors been identified? Is there enough R&D for the desired production? Is there adequate district specific marketing studies for the expected enterprises? Is there enough organisational and managerial capacity?

The implied assumption is that each district will need the same type of businesses and supply of credit will be the trigger mechanism increased employment. The other issues are relegated.

To address the problems of district specific employment needs, an approach may be to fund and organise a district based private sector institution which will play a role in mobilising local resources, linking interested parties and supplying technological and scientific information for agriculture and industry. In the more developed districts, it can stand alone. In less developed districts a centre may be shared.

Such centres will act to bring together representatives of the DDC system, trade and commercial interests and farmers. Such centres will have the function of promoting business in the districts. It should be manned by people who would study the technical, agricultural and business needs of specific districts and promote the creation of businesses to address the needs of the district.

Planning Data for the districts is already being collected in the District Information and Documentation Centres. However, processing of this data for district planning needs is still problematic but should be possible after the District Statistical Officers get their own processing capacity. What is needed is to develop commercial and scientific/technological data for use both in agriculture, trade and manufacturing.

One of the major functions of such centre(s) will be to use modern communication techniques to spread information on markets, new production systems, credit information, management and technical and agricultural research findings to very specific organised targets.

Among the key targets are:

a. Women Groups

Historical studies show that these have been around for much

longer than many developmentalists care to admit. They offer a stable organisational reality. Specific information on design of products and markets, credit, new agricultural technologies and labour saving devices should be of major interest.

b. Primary Cooperatives

These used to be viewed in the literature as mono culture operations. Yet they have diversified to the extent that in many districts they are not only handling many crops, have their own interior extension systems and are also involved in commercial operations. They, more than commercial banks, ngos, donor driven sector specific cooperatives, and parastatals have experience for lending without land collateral to very large numbers.

Their major need now seems to be organisational development to enable them to cope with the new commercial operations thrust on them by the dictates of their members. The information on sources of OD knowledge and sources of funding for it, should enable them to expand their operations and increase both employment and productivity. Where they control specific crops, their organisation ought to be used for targeting relevant research findings by use of mass media techniques thereby shortening the gap between research and adoption and perhaps also bypassing the human chain extension systems shown to be costly and not efficient on delivery.

c. District Cooperative Unions

These are investment power houses who are trying to create major operations in processing of food and production of feeds and other materials consumed by their cooperators. Their major limitation seems to be organisational capacity and access to long term finance outside the framework of the Cooperative Bank. Many are moving towards integrating their operations and thus are not only in need of large scale OD and long term finance but also industrial designers, managers and marketing specialists. They in the long-term are likely to become the major actors in rural industrialisation. Some of the investments are in large scale grain milling, fertiliser imports, animal feeds and milk processing and crafts exports. Some of the more sophisticated are already planning investments in cooking oil processing. These are commercial operations in competition with the large private sector operations. Their role in industrialisation has already been recognised by GOK, which has allowed the apex organisation of the movement, KNFC, to begin to get donor support (movement to movement) directly.

d. Saving and Credit Cooperative Societies (SACCOS)

These organisations, mainly of the employed, have become the fastest growing financial institutions. They have spread to the districts and become major supporters of the expansion of economic operations, especially where the primary cooperatives also double as SACCOS. Since the District Cooperative Unions antedated them, there is need for policy reform to integrate

both at district level. If integrated to the banking wings of the District Cooperative Unions, then there will be coherent producing and saving organisations at the district level to really manage credit in a sociologically coherent district basis. Their coverage is much wider than the commercial banking sector and should be a more useful avenue for credit delivery.

e. Area Based Harambee Development Groups

In significant parts of the country there are stable operating harambee groups who straddle the social and economic sectors. They are the para-cooperatives supreme. They can be anchors for development activity, where other institutions are not as strong. For example they have been used in community restocking activities. They should be development information targets.

f. Market Trader Associations and Chamber of Commerce Branches

These comprise of the traders in most rural markets. They are people who have chosen trade as their major occupation. In the bigger rural centres they have affiliated with the Chamber of Commerce. Rural traders and Jua Kali businesses have problems of credit, information and knowledge on new sources of production techniques as well as designs. Most crucial is market analysis data, particularly related to exports and sources of joint venture potentials. Commercial and technology Centres can assess the needs and match them to sources. They can also train the traders to move up the totem to become manufacturers.

10. Needed Changes in Delivery Systems

DF does not only assume that all development activity must be through the creation of only formal GOK positions at the district level. It specifies that procurement must be from the district other than when the capacity does not exist. Thus there is clear recognition for building the private sector in the districts. Towards that end opportunities generated by the increased literacy should be utilised to build this private sector more efficaciously. Among the key approaches are:

a. Mass Communication

Literacy at the household level is almost 100 %. although individual literacy is closer to 50%. This has created opportunity to target information to specific communities or interest groups be it in agriculture or business development by use of mass communication techniques. What is called for is full exploitation of cartoons, newspapers, radio, and video for provision of information on credit, production processes, food processing, business opportunities and new designs and technologies for much wider sets of people.

b. New Entrants or Investment on Higher Level

Several of the funding proposals assume that employment generation will be by low level technically trained people eg

Youth Polytechnic leavers. Is this a rational assumption? Do they have the socio-cultural standing to organise other resources and to manage operations? Would it not be rational to look for apprenticeship systems which exist in Jua Kali sector and support it? Would it not make sense to move the support to Higher Polytechnic leavers and University leavers if one is looking for new entrants?

Of course the arguments for new entrants begs the question why not expand already existing operations. Development in historic terms shows clearly that this path is more efficient in terms of use of capital and management resources.

B. PROJECT LEVEL

For the project level, the terms of reference required assessment of programmes objectives and effectiveness, including utilisation of resources, coordination of inputs, personnel management and communication between target beneficiaries and project personnel. The specific comments have already been submitted out of the Consultants' Group Work of 10th and 11th March 1990, which was prepared in the UNDP office. Hereunder follows other relevant comments for projects visited. Since NGO did not make specific presentations to the Mission and no visits to same were arranged no commentary on them is possible.

1. Centre Project, SED Policy 11 and 111

These are strictly national. They should have comments on how policies are to be made DF system specific.

2. Credit Reference Bureau

This is strictly to enable the big banking sector operators to streamline their operations. To go District Focus will have to involve District Cooperatives, their Banks and SACCOS. It will further have to target credit to operations controlled by the same institutions.

3. Reorientation of Bankers Towards SSE Lending

This again is centre based. What should be required is set targets for the lending in specific terms in a breakdown of rural SED and urban SED.

4. Entrepreneurship Education at TTIs

The theoretical basis of the project is problematic for entrepreneurship is not easily taught. There is also the problematic assumption that the technically trained catchment population has social capacity to man businesses and thus increase employment. However teaching of business practices is desirable and can be introduced without much extra cost in these institutions.

5. Kenya Youth Training and Employment Creation Project

There are too many school leavers at this level. The strategy suggested does not seem to be able to either reach significant numbers or address the issue of too little diversification in the skills produced in the YPs. UNDP should consider whether the project should be at the Institutes of Technology level and above and be focused on higher technologies like electronics, machines, equipment design, fabrication. Targeted output is low and thus it will cost Ksh. 3,293 to ensure that each of the 1,600 is self employed. The mechanism of selection of candidates suggested is problematic.

6. Employment Labour Information

This is a national operation mainly. There is no agreement among the professionals that information on labour employment opportunities helps in rural labour movement until a much higher level of urbanisation than exists in Kenya is achieved.

7. Enterprise Development Foundation

The theoretical basis of this project is problematic for networking and providing information on the trade union role of small scale enterprise are not sufficient reason for a project in a CP targeted to employment generation. The basic question though is why not get private sector organisations themselves to undertake this function.

8. Subcontracting Between Large and Small Enterprises

The theoretical basis of the project is sound. However given the Ethnic/Racial and Multinational base of business in country, the extremely long supply lines and the problematique of connecting rural businesses with urban businesses, denies its systemic impact especially for rural businesses.

9. Media Programmes at KIMC

The concept fine but would locate in KIMC once it is clear that it will be allowed to operate on in private sector norms. UNDP should get private sector Kenyan mass communication specialists to design it, target it to specific districts and use modern mass communications in the market place.

10. Training of the Disabled

I would reorient totally to put personnel in the training centres, to fit it into the DF system. The focus on placement should be reduced and more emphasis put on training at higher technical level as the tv repair and electronics, higher fashion and introduced techniques like weaving. These are the three areas where the Japanese volunteers are involved. Such innovative training would enable the trainees to be placed. The project, through the MCSS, should begin to address the issue of coordinating the major organisations handling the disabled,

particularly at the district level.

11. Assistance to Micro-Business KIE

KIE structure and business has been dominated by absentee bureaucrats and other fairly literate and knowledgeable persons. How systematically is it entrepreneur developmental? Although KIE activities are in the districts, when the mission visited Kisumu, we were introduced to businesses which were not micro or in need of assistance. Any body who can import plastic extrusion plants and build bus bodies is clearly not in the category. It was not clear what extension services are being offered. The issue is the delivery institution and not whether such extension is desirable at the district level.

12. KITI Entrepreneur Training

The Field visit showed a problematic institution. Comments from the interviewed personnel suggested that the project had been sold to them without the institution and other interested parties having generated specific ideas on how they would improve the existing institution. It was not clear to the mission how the institution was to achieve the project objectives and especially how their activities where to relate to the efforts of other training institutions.

13. Export of Small Scale Enterprises

Facilitation on documentation and interviews on the above project is incomplete militating against commenting.

14. Establishment of Design and Mechanical Engineering Laboratory - KIRDI

This project could be expanded to provide design, marketing and outreach to make it expand technological coverage which would take care of specific requests from the private sector. An indicator of the kind of innovation it can work on, then allow businesses to take over, is in the fish skin processing. KIRDI can target its work to developing products based on specific district natural resources and make the information available to those districts. The project should put extra money on district outreach. UNDP should consider making KIRDI a major centre for developing production processes. The GOK should consider privatising some aspects of KIRDI particularly in regard to cost recovery so as to make the generation of designs and technologies sustainable.

15. Jua Kali Demonstration Plot.

This is a good idea, whose cost is minimal. Should be extended and replicated at district level, particularly if the idea of a information centre, as discussed in the Macropolicy section is adopted.

16. Kenya Women Finance Trust.

No systematic documentation was presented to the mission or visits were made.

17. Jua Kali Networks

As structured, the major beneficiaries would be the experts. The money should be spent on mass communication on the same targeted to specific problems of the sector.

18. Rift Valley Institute of Science and Technology.

Broad outlines of project are agreeable, however would spread to other institutes to build their capacities.

19. District Industrial Promotion Services

Consideration should be given to strengthening existing district institutions. Funding could be given to a joint DDC/private sector institution to fund specific sectors required in those districts.

20. Karachuonyo Women Pottery Project

This project is along DF system lines. However consideration for including design support so as to get out of only traditional pottery would be useful.

21. Egerton Small Farming Systems Development

The basis of this project appear to be sound. However questions were raised on how the two districts will be able to lead to replicable technologies given their deviance in farming and social systems from the national norm. There is some merit in relating this project actively with the Drylands Project at Katumani.

22. Development of Small Scale Fish Farming -LBDA

This is a project which can be organised to make a major impact in the region. There appears to be problems with the internal management. UNDP should consider expanding it to include other operations like marketing of fish which may include chilling especially by women groups /traders.

23. Resource Mobilisation for Women Groups in ASAL

The focus and target outputs of this project do not seem to be clear, in spite of its having stayed in PA for a long time. It was the missions understanding that revisions are underfoot. A real question is what this project can learn from the research taking place under the Drylands Research, Crop Protection and the Farming Systems projects.

24. Modernisation of the Tax System

The technical aspects of this project were ably presented by the advisers. The counterparts claimed that the document was not available to him. This raised the issue of sustainability with the Mission.

25. Strengthening Crop Protection Branch of MOA

The project has gone on for quite some time. Issues of integrated pest management system, use of mass communication of pest information and relations with grassroots farmer organisations and farmers were raised by the mission and not satisfactorily addressed.

26. School of Environmental Studies

Some key figures in the project were not available for interview. A document showing future thrusts was under preparation but it was not discussed for the drafters were not there. Issues of the school becoming a reference centre for environmental issues, possibilities of offering consultancy services to industry and rural institutions, as a tool towards self sufficiency and cost recovery were raised. The existing priorities seem to be training staff and at the graduate level thereby denying the deepening of knowledge about environmental issues and solutions to the wider society. It is possible other relevant authorities within the school have different views.

27. Implementation of Statistical Information Processing Plan

This project seems to be on its way. It may have indirect impact on Districts when the introduced system assists in releasing data from the national to the districts for their planning purposes.

28. Updating of Forestry Inventory and Management

This project has potential impacts on 15 districts. The work is centre based and the programme personnel did not see how local level institutions could be involved.

29. Development of Kenya Airways

The development of the Airline and related industries has direct linkage to the tourism industry which is the major foreign exchange earner. In spite of the large costs it is worthwhile continuing this support.

30. Diplomacy Training Institute

The institute is already established. Its curriculum is worked out. Its reorientation to take care of the needs of exporters, is not as yet complete for the outreach plan is not concretised.

31. Establishment of a Telecommunications Development Centre - KPTC

This project should get support for it is part of the improvement of not only the telecommunications base but fits into the wider policy of improving manpower in high technology fields, creating local testing capacity and later using that capacity for R&D in telematics to save foreign exchange.

33. Assistance to Aerodromes Department

This project takes advantage of the existence of the comparative advantage of the UN agencies. The need for stabilising management at the highest levels, and exploring ways of increasing cost recovery and retention by the organisation should be explored.

34. Assistance to the Directory of Civil Aviation

Similarly this project takes advantage of the comparative advantage of the UN agencies. As a consumer of high technology, it fits into the national need to increase technical capacity. A major issue which should be settled in relation with the Aerodromes Department is cost recovery and retention. Capacity and competence both in civil aviation is extremely critical to the economic welfare of the nation for tourism, usually based on aviation, is the premier foreign exchange earner.

35. Dryland Farming Research, Development and Extension

This project is potentially one of the most important in terms of impacts on the nutrition, incomes and economics of the ASAL areas of the country which cover 85% of the land and currently account for 20% of the population. Very few crop, livestock, water and equipment research, systems of extension and alternative production systems have been generated for these areas. The inappropriate technologies from the wetter areas have spread to the areas with drastic ecological, economic and social costs. It is expected that the areas will receive much more population from the wetter areas. Thus the need to speed up the search and extension of farming alternatives. It is an area where the UNDP should perhaps increase the resources committed for the only partially completed technologies apply to Zone 4 and no packages apply to Zones 5.



IRRIGATION IN THE ASAL AREAS

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IRRIGATION IN THE ASAL AREAS

1. REVIEW OF SMALL SCALE IRRIGATION IN THE ASAL AREAS

1.1 WATER RESOURCE BASE

With the exception of the Lake Victoria Basin, all major water catchments embrace the ASAL areas. Hence one or the other of the ASAL Districts is traversed by such important water courses as the Tana, Athi, Kerio, Turkwel, Ewaso Ngiro or associated tributaries. Although the surface water flows are often erratic, the generally flat macro-relief of the ASALs give rise to considerable irrigation opportunities. Indeed of Kenya's 540 000 ha irrigation potential, some 220 000 ha or 41% is estimated to be located in the ASAL areas.

1.2 EXPERIENCE WITH IRRIGATION IN THE ASAL

1.2.1 Irrigation Extent:

The total extent of irrigation developments in Kenya is estimated to be 33 000 ha, out of which some 12 000 ha lies within the ASAL.

Slightly over half the ASAL irrigated area, or 7 000 ha, consist of small scale developments (each being less than 300 ha). This is to distinguish them from the large scale projects operated by the National Irrigation Board.

1.2.2 Organisation and Management of Small Scale Schemes:

The organisation and management structure of the small scale schemes display considerable variation. On one extreme are schemes having a relatively heavy government presence (Katilu, Mitunguu) where key operational decisions are made by government bureau staff. At the other end of the scale are the entrepreneur irrigators who make implementation and operational decisions on the basis of market opportunities.

- 2 -

irrigated produce. The latter category is exemplified by individual pump-based irrigation developments in Machakos District. The bulk of the irrigation developments, however, lie on a continuum between these two extremes. They include the farmer initiated community managed irrigation systems to be found in Elgeyo Marakwet and West Pokot as well as some N.G.O promoted schemes in Eastern and North Eastern Provinces. Although farmers in such schemes may sometimes solicit government support, they are largely responsible for key operation decisions.

1.2.3 Irrigation Technologies Associated With Small Scale Schemes:

Technologies for water abstraction, delivery and infield distribution vary considerably. They include gravity-based furrow or basin systems which use simple brush weirs (Elgeyo-Marakwet, Pokot, Kwale) as well as the fairly sophisticated pump and sprinkler systems to be found in Machakos District.

1.2.4 Cropping Patterns:

Present cropping patterns are observed to be a function of:

- farmers immediate needs
- government staff prescription of appropriate crops
- market opportunities

In the community based furrow systems of Elgeyo Marakwet, for example, farmers immediate needs largely determine what food crops to irrigate. When rainfall is adequate, irrigation may even be suspended altogether. On the other hand, small scale entrepreneur irrigators in Machakos select their cropping mix on the basis of available horticultural markets.

The cropping pattern of the small scale irrigation sub-sector therefore displays a medley of crop types that include:

- subsistence crops (maize, sorghum, beans)
- cash crops (horticultural crops eg. onions, fresh beans and chillies) for the export and local markets
- subsistence/cash crops (bananas, rice)

1.2.5 Performance Record:

The performance of small scale Irrigation Developments has been mixed and may be broadly divided into two categories:

Relative Successes:

In this category are included schemes that satisfactorily met their original objectives and that appear sustainable in the medium and long term. Examples of these are the community managed furrow systems (Elgeyo-Marakwet, Taita-taveta), Horticultural based developments (Machakos, Taita-taveta) flood based irrigation activities (Tana-River and Kilifi).

Successful small scale irrigation developments are characterized by one or other of the following attributes:

- participating farmers have agricultural or even irrigation antecedents
- farmers were highly involved in the initiation, implementation and operation of the schemes
- low cost gravity systems are used
- strong market incentives are present where pump-based systems are to be found.

Relative Failures:

A number of small scale developments have been noted to have done poorly. Such are to be found in Turkana, Northern and Eastern Provinces as well as in the Coast Province.

With few exceptions, schemes that have performed poorly have been associated with one or more of the following features:

- participating farmers had a livestock background
and had little techno-cultural preparation for irrigation activities.
- the guiding hand of Government/donor was dominant during project implementation and operation. Development costs have therefore been high, in excess of \$5000 per ha.
- water abstraction was by diesel-driven pumps
- market outlets for irrigated produce were inaccessible (distance and bad roads)

Learnt Lessons:

The Government's Sessional Paper No. 1, 1988 have indicated the government's preference for small scale irrigation development that have an acceptable probability of success. In the second generation ASAL Programme, formulation of small scale irrigation projects will be guided both by the Government's policy prescription as well as the lessons that have been learnt so far.

2 OPPORTUNITIES AND CONSTRAINTS FOR SMALL SCALE IRRIGATION
IN ASAL AREAS:

2.1 THE ROLE FOR IRRIGATION IN THE ASAL:

Together with income and employment generation, attainment of food self-sufficiency at regional and national level, is an important policy objective. With a projected population of 11 million people by the year 2000, the ASALs will come under considerable pressure to generate incomes, jobs and food for their populations from the existing resource base. Since by definition the ASALs are rain-deficit areas (rainfall/evapotranspiration ratio of over 40%), irrigation is perceived as an important instrument for assisting to achieve these objectives.

Apart from yielding direct benefits, irrigation in the ASALs will seek to complement other development initiatives such as:

- assisting in bulking of seed for drought resistant crops to be grown under rainfed conditions
- raising tree seedlings for the ASAL fodder and pastoral-forestry programmes
- growing crops that could sustain small scale agro-processing industries.

2.2 OPPORTUNITIES FOR IRRIGATION:

The irrigation potential within the ASAL areas has been estimated at 220 000 ha, of which only 12 000 ha or 5.5% has been developed. A number of agencies (government, non-government, private) have been involved in irrigation development for the past 20 years and a valuable fund of irrigation experience therefore, has been accumulated.

Opportunities for pursuing irrigation development embraces the entire range of water management projects which will include the following:

- rehabilitation of existing smallholder irrigation schemes
- water harvesting techniques
- flood irrigation
- construction of surface and sub-surface storage dams on seasonal rivers
- installation of new river diversions and installation of water delivery systems for new smallholder irrigation schemes
- use of renewable energy to uplift stored or flowing water.

In a number of districts (Machakos, Taita-taveta) the local ASAL entrepreneurs and farmer groups are already actively pursuing available irrigation opportunities with or without government support. It would therefore appear that so long as opportunities are available, irrigation development in the ASALs is not a question of "if" but rather of "how" and "when". In addition, there already exist considerable community based irrigation systems which could profitably benefit from site-specific technology packages.

2.3 AN OVERVIEW OF EXISTING CONSTRAINTS TO IRRIGATION DEVELOPMENT IN THE ASAL:

Irrigation in the ASAL, is faced with a number of constraints which include the following:

- (a) Recent adverse experience with centrally managed public sector irrigation projects, for instance the high implementation cost (over \$30 000/ha) of Bura Irrigation Scheme. This has given rise

unacceptably high implementation and operation costs

- (b) Lack of a coherent irrigation policy within which public agencies, NGO's, donors and private firms as well as individual can channel their efforts. In the absence of a common policy framework, agencies have tended to pursue different approaches to small scale irrigation development. There has therefore been limited opportunity for utilizing past experience in formulating and implementing new projects.
- (c) Bureaucratisation of implementation as well as operation phases of irrigation schemes, leaving little opportunity for creative participation by prospective beneficiaries. The bureaucratic constraint has manifested itself in many forms such as:
 - farmers being regarded as tenants with no longterm tenure security;
 - monopoly marketing of irrigated produce accompanied with low and delayed payments;
 - monocropping with associated soil and pest as well as disease problems.
- (d) Lack of sufficient alternative non-donor sources for funding irrigation developments e.g Commercial Banks, Agricultural Finance Corporation, Co-operative Bank.
- (e) Insufficient training and acquisition of operation skills by front-line agricultural extension personnel in respect of irrigation production systems.

unacceptably high implementation and operation costs

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 - farmers being regarded as tenants with no longterm tenure security;
 - monopoly marketing of irrigated produce accompanied with low and delayed payments;
 - monocropping with associated soil and pest as well as disease problems.
- (d) Lack of sufficient alternative non-donor sources for funding irrigation developments e.g Commercial Banks, Agricultural Finance Corporation, Co-operative Bank.
- (e) Insufficient training and acquisition of operation skills by front-line agricultural extension personnel in respect of irrigation production systems.

PROPOSED IRRIGATION DEVELOPMENT STRATEGY IN THE ASAL AREAS:

3.1 SPECIAL CONSIDERATIONS

In formulating an irrigation strategy for the new generation ASAL programme, four considerations will be borne in mind:

- (a) The recent policy shift to the district as the focus of development planning and development.
- (b) The macro-economic prescriptions of sessional paper No. 1 of 1985.
- (c) Prevailing Government Financial and Administrative procedures.
- (d) Lessons arising from Kenya's Irrigation experience over the last 20 years.

3.2 IRRIGATION DEVELOPMENT STRATEGY:

Water, broadly defined, is central to all ASAL development issues: water for human livestock, water for crops and forage as well as for tree establishment. The ASAL districts, however, display a wide variation in their hydrological features as well as status of current water use. Hence different strategies may have to be adopted for various districts in the development and utilisation of available water resources for irrigation as set out below:

3.2.1 Rehabilitation Programme of Existing Small-Holder Irrigation Projects

The Rehabilitation Programme is envisaged to have two main elements:

- (a) Improving the quantity and reliability of irrigation water supplies.

The intake structure and major supply canals (furrows) will specifically be targeted for improvement by such interventions as:

- installation of simple but enduring intake structures with control gates, thus obviating the need for seasonal reconstruction of brush weirs. The labour, so saved, would be utilized in intensifying irrigation production.
- partial lining of conveyance canals using local materials and labour. The object is to minimize percolation and leakage losses associated with the present conveyance systems.

(b) Institutional Support for Irrigation Implementation, Operation and Management:

The first part of institutional support will entail initiating District Irrigation Units (D.I.U's) to be attached to the District Agricultural Officer. The D.I.U will be staffed with a cadre having practical skills in installation of simple hydraulic structures as well as irrigation water management. Besides, the D.D.U' will maintain an inventory of existing irrigation developments (Public and Private) and will assist the DDC in formulating short-term as well as long-term irrigation development plans.

Strengthening of farmer's organisation will be the second part of institutional support for irrigation development in the ASAL. In particular, attention will be directed towards enhancing farmers understanding of constraints facing water availability and distribution as well as the need for system maintenance.

(c) Location and Extent of Rehabilitation Projects:

The ASAL rehabilitation projects will be confined to districts presently having a sizeable small-holder irrigation development as summarized in table 2. It is expected that a total of 3 000 ha will be rehabilitated over a 5 year period.

(d) Expected Costs and Benefits:

The rehabilitation exercise will be confined to the intake and delivery infrastructure as well as institutional support to farmer organisation and the proposed District Irrigation Unit. Over a period of 5 years, a total command area of 3 000 ha will be rehabilitated. An overall cost of Ksh. 53.0 million or Ksh. 17,667 per rehabilitated hectare may be expected.

The main benefit accruing from the rehabilitation programme is increased quantity and reliability of irrigation water at the farm level. Where such rehabilitation has been started, in Elgeyo-Marakwet for example, farm level water availability has been noted to increase by about 50%. Yield performance, however, could be expected to double as farmers increase cropping intensities as well as use of farm inputs as a result of reduced risks.

3.2.2 Improvement of Flood-Based Irrigation:

The project, which will aim at intensifying agricultural production on the flood plains of Rivers Tana and Athi, will have the following components:

- assistance in construction of appropriate but low cost flood retention dykes
- water management of retained floods
- institutional support to the local agricultural extension service and farmer organisations.

Some 2 500 Ha in Tana River and Kilifi Districts will be earmarked for the project. A total of Ksh. 25.0 million will be involved amounting to Ksh 10 000 per ha. Benefits are perceived in terms of a 50% increase in present yield of rice and maize (presently estimated

at 1.0 and 1.5 tonnes/ha respectively).

3.2.3 Support of Private Small Scale Irrigation Development:

Of the ASAL districts, Machakos is the nearest to Nairobi which is the main horticultural out-let for the domestic and export markets. This market advantage has enabled small scale farmers in Machakos to grow a range of horticultural crops using a diversity of irrigation technologies (pumps, diversion weirs, sprinklers, furrows etc). The new ASAL programme will seek to maintain this momentum and will support small scale entrepreneur irrigators by:

- promoting an appropriate credit mechanism for enabling purchase of new irrigation machinery and equipment including use of renewable energy sources.
- encouraging the Ministry of Agriculture to reduce and standardize the range of engine and pump models available to irrigators with a view to ensuring an adequate spare parts back-up
- initiating engine and pump maintenance clinics in order to minimize down time of engine and pump
- providing technical and financial support for installation of privately owned small surface and sub-surface dams across seasonal streams.

A revolving fund amounting to Ksh. 30.0 million will be deployed for this exercise. It is envisaged that individual entrepreneur irrigators will borrow from this fund on concessionary terms and over a period of 5 years, a total of 600 Ha will benefit.

Apart from yield and income benefits, the impact on local employment will be considerable on the basis of 4 man-years of labour/1 Ha

of irrigated horticulture. Thus a total of 2 400 man-years of employment will be generated.

3.2.4 Water Harvesting Pilot Projects:

A range of water harvesting technologies for domestic, livestock and irrigation use are available and have been tried in Kenya since the 1930's with some success (Kitui, Machakos, Embu and Turkana etc). ALDEV, the organisation that pioneered water harvesting techniques in Kenya was dismantled at the time of Independence and up to now, no other agency has managed to assume comparable institutional competence or enthusiasm. Hence adoption of water harvesting techniques by either individuals or farmer groups has been slow.

Since water harvesting will remain a major pre-occupation of the ASALs, a more aggressive approach is suggested. In this regard, it is proposed to demonstrate six water harvesting techniques in 10 ASAL districts i.e Kitui, Isiolo, Kajiado, Turkana, Samburu, Marsabit, Taita-Taveta, Garissa, Wajir and Mandera. The districts have been selected on the basis of their representativeness of the main ASAL agro-ecological zones (ACZ IV, ACZ V, ACZ VI, ACZ VII). The techniques to be demonstrated are:

- deepening of natural water collection pans
- run-off harvesting from hillsides or rocks
- construction of surface and sub-surface dams
- water spreading for crop production
- micro-catchment water harvesting
- road-side harvesting

During the implementation and operational phases, local communities will be expected to be meaningfully involved in the demonstration

well as provide labour requirements for installing and maintaining the water harvesting facilities. The farmers participation is deemed important as it will provide them with an opportunity to gain the necessary skills as well as an appreciation that the installations belong to them and not to the government.

A target of 300 Ha will be irrigated in each district using these water harvesting methods over a three year period. By the end of three years, the five techniques will be evaluated in order to enable each district to choose the mix of techniques that are best suited to its land and climatic features.

3.2.5 Creation of Green Belts Along the Major River Courses

As earlier stated, the ASAL's are traversed by major river courses. Two of them i.e the Tana and Turkwel are being harnessed for hydropower development for use in the urban areas of Kenya.

As part of the general thrust of development in the ASAL, it is envisaged that some of the hydropower will be deployed downstream of the hydropower reach for lifting water for irrigation and other uses in the ASAL areas. In conformity with the overall approach to small scale irrigation development, this will entail development of water supply infrastructure (lift pumps, storage facilities and supply canals or pipes) by a government agency. Water could then be gravitated to ASAL users via closed pipes or seasonal river courses.

This proposal is being advanced on equity grounds since the ASAL areas play host to the national hydropower stations.

It is therefore only right that the hydropower stations give something back to the ASALs. The precise technical and institutional configuration of the use of hydropower for watering the ASAL areas however must

await a more detailed investigation. The proposals are necessarily long term and will have to be perceived in terms of the projected population expansion over, say, the next thirty years.

Catchment	Irrigation Potential (Estimated) Ha	Current Irrigated Area (Estimated) Ha
Tana	205 000	16 000
Athi	45 000	8 400
Kerio/Turkwel	30 000	2 000
Ewaso Ngiro (N)	16 000	800
Ewaso Ngiro (S)	4 000	200
Lumi	5 000	500
Others (Semi-perennial and seasonal rivers)	35 000	2 100
TOTAL ASAL	340 000	30 000
TOTAL KENYA	540 000	33 000

TABLE I : Irrigation status of Catchments related to the ASALs

Source: Modified from Kenya National Water Master Plan 1980
as well as own calculations.

DISTRICT	Irrigated Area to be rehabilitated (Ha)	Rehabilitation Elements	Expected Total Cost (SH)	Cost/Ha Rehabilitated (S)
Elgeyo-Marakwet	600	<ul style="list-style-type: none"> - Intake structures - aqua-ducts - partial lining - institutional support 	12 000 000	15 000
West Pokot	600	do	9 000 000	15 000
Teita-Taveta	600	<ul style="list-style-type: none"> - Intake structures - canal alignments - division boxes - institutional support 	12 000 000	20 000
Kwale	400	do	6 000 000	20 000
Kajiado	600	do	12 000 000	20 000
TOTALS	3000	-	53 000 000	17 667

TABLE 2: Cost of ASAL Irrigation Rehabilitation Programme