REVIEW OF COMMUNITY DEVELOPMENT AND SELF HELP COMPONENT: TRANSMARA DEVELOPMENT PROGRAMME

MUTICON

WE NEVER SAW THIS BEFORE: A
MAASAI, HAND OUT-STRETCHED,
BEGGING ON A STREET CORNER
IN NAIROBI. DISTURBING.

Daily Nation
The Cutting Edge
by Watchman
October 3, 1994

CHAPTER 1: THE TRANSMARA SOCIAL-POLITICAL SETTING

1. Brief History

Transmara district, created in August 1994 from Narok district, has a conflict ridden history, good natural resource base and has lagged behind in development because of a variety of reasons. In the wider Masai history, the Transmara area was at the periphery of the lands exploited by the Masai up to 1880s. When the droughts of the 1980s and early 1890s and the attendant rinderpest decimated the Masai population and livestock, the Transmara lands were struggled over by the Kisii and the Kipsigis. It is significant that the defeat of the Kipsigis, at the battle of Ngoino, confirmed the Kisii as the overlords of the Transmara with mastery over the area stretching from Kilgoris (Oltanki- the place with a water tank to the Masai) all the way to the Oloololo Escarpment at the turn of the century.

For the subsequent development of Masai society, perhaps the most significant colonial government decision was the ruling, in 1902, that the Masai Districts were to be closed areas. This ensured that activities like education, missionary work and trading did not take place in the Masai areas in any significant way until the last decade of colonial rule.

A second significant colonial decision was the limiting of the Masai to the south of the Railway line and thus the defining of the reserve between 1904 and 1914. This led to the translocation of significant Iloshon (defined as either tribe/ subtribe or section - still a significant issues in current Transmara socio-political setting) from Ang'ata Nanyokie (Uasin Gishu) and Laikipia with some ending in the Transmara area.

The Transmara area is part of the lands west of today's Narok Town, comprising of 2,300 square miles, which was given to the Masai by the British Government between 1910 and 1913.

Throughout the colonial period Non-Masai infiltrated the Masai Reserve and society. Some were absorbed into various Iloshon in keeping with intermarriage (mainly of non-Masai women) practices continued up to the present, particularly by the elite, in Transmara. Some were absorbed into pastoralism (usually men) and thirdly there was settlement of non-Masai cultivators in Masai country. For Transmara, the significant cultivators settlers were either Kipsigis, marginalised by the creation of colonial tea estates in Kericho, and Kisii pushed by the demographic explosion of their community.

The numbers of cultivators settling in Masai areas continued after independence so much that by 1979 Census, Masai formed only 56% of the Narok District population. Since independence, the main cultivators infiltrating into Transmara have been Kipsigis, Kisii and Kuria. Since 1990, aliens in Transmara

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have become a major political issue. Political elites have organised around this issue and significant battles have been fought along the borders to ensure that the aliens are rolled back from the from the district. The impact of this has been a reduction in the numbers of specialised personnel the district has. For example about 300 school teachers, who were not Masai, left the district only to be replaced by 4 Masai teachers. The need to create or protect land and jobs for Masai people originating from Transmara has negative implications for the development of the district. Throwing out professionals who are non-Masai slows down the process.

A third significant colonial decision was the creation of Masai Mara Game Reserve after the second World War. This led to the loss of Siria clan lands, relevant for the present discussions over the utilisation of the wildlife resources of the district.

In the post -independence era, the most significant decision by the independence government affecting Transmara development was the creation of Group Ranches in the 1970s. Group ranches were created under pressure of the World Bank. It was argued that the pastoral communities of the country could not be allowed to get individual land title for their social differentiation had not advanced as much as in the non-pastoral districts. It was also argued that pastoralists who occupied essentially dry rangelands would not survive if the land was subdivided. These criteria for establishing group ranches were applied to Transmara although the land was not as dry as other rangelands. The bulk of the district is essentially agro-ecologial zone three- land with high rainfall and agricultural potential.

When Group ranches were being created, critics of the policy, mainly in the Institute for Development Studies of the University of Nairobi, pointed out that the ranches would lead to inequity for the existing pastoral elites would take advantage of the poor in their communities and deny them the range resources by stocking more animals. On balance this resulted. By 1980s most poor Masai had been denied access to the Group ranches and pressure built for subdivision of the ranches into individual titles. This again created problems for many of the group ranch committees were corrupt and had sold parts of the ranches to non-Masai. They also had registered a limited number of members and many of the younger Masai were left out. In Transmara this issue is significant in a number of ranches where the young have not got their fair share of the land. The old committee members and some of the elites have on the other hand got large masses of land. Struggle over access to the land resource across the generations and across clans remains the most intractable political question in Transmara.

2. The Divergent Socio-Political Elites

Control in traditional Masai society was usually embedded on the ruling age set and laibons. Transmara society is not pure form traditional society for many of the elements of modern society are found there albeit in stunted forms. However, informants argue that no Transmara people are so liberated that they can go against the dictates of the traditional power holders. The current traditional power holders are the Nyangusi-Iseuri age set. There is conflict between the two age groups for the Nyangusi age group is more traditionalist since its members have not had the education and working experience outside the district which is found among a significant number of Iseuri age group. During field work, members of the Iseuri age group constantly argued that it is important that the Nyangusi age group pass on decision power to them to enable them to make relevant development decisions needed for Transmara development. They also argued that they could not become major spokesmen for the modernisation of the society for they are overruled or are, as believers of the traditional hierarchical ideology, obligated to accept the dictates of the Nyangusi.

More serious though is the fragmentation between the oldest age group and the younger age groups when it comes to the manning of the state political and bureaucratic institutions. Although there are some very powerful councillors and some chiefs who are in the Nyangusi age group, most of the others are not. Many of the people holding bureaucratic positions in the new district and elsewhere, who are power brokers by virtue of bureaucratic locale, do not belong to the Nyangusi. As they try to organise for development, they constantly run into sanctions by the traditional power holders. The current MP does not belong to the Nyangusi.

Of course there are those who argue that the future lies with the non-traditional elites for the historical production system and its controls, based on low population densities, livestock and free rangelands, is changing. The question is at what rate given the limited education in the community, the powerful traditionalist ideological control, and the lack of resources by most of the younger age sets which still reinforce dependence on the traditionalists. However, it is worth noting that the changeover from pure pastoralism, primarily driven by population density, is different in the various communities which form Transmara society.

In 1989, the most educated Moitanik clan also had the highest population densities with Moitanik East location density being 121 and Moitanik West location with 66. The second most educated clan, the Uasin Gishu, locations had population densities of 52 and 42 for Uasin Gishu East and West respectively. The border area of Emerti had a density of 111. In summary, the old Kilgoris Division had a population density of 80 people per square kilometre. This kind of density denies the possibility of pastoral production and it is no wonder

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that mixed farming systems have evolved in the division based on cropping and on farm livestock production. In contrast, the old Lolgorian division, basically Siria clan country, had a population density of 27. It is worth noting that some sub-locations in the division, Ang'ata Barakoi, Nkararo, Masurura and Kirindoni had population densities of 93, 69, 68 and 52. This is much more than the generally accepted population density of 20 persons per square kilometre which allows for a mainly livestock production system. Consequently, the mixed populations of these sub-locations had converted or were converting into mixed farming systems.

The social divergence is actualised also in the way power brokers link to the national socio-political system and economy. Part of it is simply alliances formed by some of the Nyangusi to very powerful national figures based on historical links and modern business links. At the same time other younger people, leaders by virtue of their own modern professional and business links to national systems and individuals, are able to build bases in the political arena. They have been able to produce elected officials, business networks and other sources of patronage outside the control of the traditional networks. Mukhisa Kituyi argues that the privatisation and subsequent commoditisation of both land and other production in Masai land in general, as well as the attendant integration into the national economy, has essentially broken the basis of traditional control of the gerontocracy. Land is still to some extent controlled by the gerontocracy who dominate most of the committees in the group ranches, but even there, some group ranches have insisted on electing some fairly young people who have become power brokers on their own.

3. The Exploding Population

Appendix 3 details the Transmara population. Several points need to be made. First, as discussed above, the densities are above the generally accepted level of free ranging pastoralism even though the area has higher rainfall and better grasses than most pastoral districts in Kenya. Second, with natural growth of about 4% per year, based on Central Bureau of Statistics estimate of growth rate in Transmara, the densities in Old Kilgoris Diversion will be about 102 persons per square kilometre and 34 persons per square kilometre in the old Lolgorian division in 1996. These densities cannot support pastoralism. More serious is the fact that most of the population is young. This has the consequence that the district is not likely to slow its growth rate for at least another generation. More serious though is the fact that there are arguments made that the rate of external migration into the district is at the rate of about 3% per year. These are people moving into the district to settle. Although there has been ethnic pressure for foreigners to leave the district in the past four years, deals with local elites (usually under the misguided notion that employing foreigners shows that the Masai are Lords, as it was put by one Transmara national

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political leader) to facilitate immigration, illegal immigration etc., may account for as a high figure as 3% per year. Projecting this from the 1989 population, it is feasible that in 1996 the densities will be 119 in Kilgoris and 40 in Lolgorian. Such densities call for changing the farming systems if for no other reason but to produce food for the Transmara population in their lands.

4. The Narok Connection

In the past, the affairs of Transmara have been settled in the distant Narok Town, where the former district head quarters was located. Within the wider Narok district, Transmara was marginal for it did not produce the district brokers who were from other parts of the district. Given Transmara's very poor infrastructure connection to the district headquarters, very little interaction took place between Transmara and the district.

Dependency on Narok political brokerage for national affairs still continues. In the month preceding the Review, all Transmara political factions trooped to Narok to discuss with a Narok broker matters related to the division of assets between the two districts and other political matters. The most important of the issues is the sharing of the revenue from the jointly owned Masai Mara Game reserve. It is extremely important this issue be resolved soon for it is almost single handedly the only major source of revenue for the new district.

5. The Clan Factor

Conflict over access to resources, especially land, in the new district, are based on the clan/tribe factor. Competition over resources and even administrative divisions is between the Siria, Uasin Gishu, Moitanik clans, among the Masai and the Kipsigis. The concerns are so central that even external aid is supposed to deliver equally in all areas. The clan issue is so buoyant that different members of the elites went to great length to ensure that the consultant was talking to "their" people.

Related to the clan factor is the perceived problem of other clans and tribes encroaching on clan land. Over the past few years, there has been problems in areas like Masurura on the issue of Moitanik settlement on supposedly Siria land. In the reorganisation of Divisions since August 1994, Siria West people and councillors have made public arguments that they have no intention of joining what they call the Uasin Gishu division. Similar arguments are made at different times in different areas about who has what access to what land. Such issues are of importance to the project as it sets up areas for initial activities.

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6. The Wildlife Benefits Morass

For the long term, issues of utilisation of wildlife will have a significant bearing on the areas where the project is to work given Germany policy on ecological sustainability especially as related to wildlife.

The issue is simply that Transmara is at the edge of one of the World's most important and famous ecosystems, the Mara Serengeti Ecosystem. Consequently many people in the outer world, German policy makers included, are concerned about its preservation.

On the ground though are several problems. First, the Masai Mara has been administered by Narok County Council. The benefits out of it were, up to a few years ago, channelled to the Narok County Council. It is generally accepted that they became the basis of the power brokerage in the district and were not paid directly to the communities at the fringe of the famous ecosystem. Since the formation of the Kenya Wildlife Service, significant amounts of money have been paid to the Group Ranches in the areas surrounding the reserve. This also has not been satisfactory. The reasons are simply that the communities feel that the Group Ranch Committees have taken advantage of them. The benefits paid have gone essentially to community social welfare items like schools and dams. Payment to individual households have been limited.

That however is not all. Among the many claims over the Mara is the Siria clan claim which is argued eloquently by their current political elites. The argument is simply that the Siria clan is entitled to all the benefits of the Mara for it was their land which was taken over when the reserve was created. This argument is essentially targeted to the non-Siria benefactors be they in Transmara or Narok Districts. In some ways it can be seen as a Siria elite self serving argument for already some of them have access to the benefits either as individual investors in the tourism sector or as managers of the generated proceeds on their way to the communities in the group ranch committees.

Over and above the zoned Masai Mara, significant parts of Transmara are important dispersal areas for game in the Mara Serengeti Ecosystem especially in the recurrent drought periods. Wildlife specialists have argued for two possible future utilisation schemes. The maximalist one is to allow wildlife access to the central part of the old Lolgorian division all the way to the Mogor River. The minimalist one is to allow wildlife onto the Oloololo Escarpment and to confine it within Six Kilometres of the escarpment. Although these proposals have been around for a few years, during field work it was definitively established by the Review Team that they have not been discussed at the community level or even at the local elite level other than by those members of the local elite who have joint investments with foreigners or non-Masai Kenyans, including some of the most powerful national figures,

in lodges, camps and other tourist related facilities on the Escarpment.

It should also be noted that maize cultivation is marching at the rate of six kilometres a year towards the escarpment according to data collected by airphotography over the past three years. At this rate, within the project phase period, maize cultivation will arrive at the escarpment. This will have the dire consequence of eliminating the area from possible future use for wildlife dispersal as people fence in the maize or kill the wildlife to eliminate the menace. Given the fact that the Group Ranches which abut the Oloololo Escarpment are under pressure to subdivide into individual titles, there is clear and present danger that the area will not be preserved for wildlife unless urgent discussions with the community are undertaken now.

What needs to be discussed are issues on how the community can benefit directly from wildlife. Within this framework, it is important that the economics of either maize cultivation or wildlife utilisation, which can coexist with livestock production, be discussed. Opinions were expressed during field work that the Group Ranches were so unacceptable as mediators in this process that the strategy ought to be to subdivide all the land up to the escarpment and then to negotiate how wildlife could be utilised from the individual land owners.

7. Organising for Development

Over and above the state institutions and the private sector institutions, the development of specific areas in Kenya seems to depend on the ability of local communities to develop self help activities particularly when under demographic pressure. This argument was initially made in local scholarship of the seventies by as varied disciplines as political science, sociology and economics emanating out of the University of Nairobi. Extensive bibliography on this scholarship is provided in the references as it touches, not only on the Masai, but other peoples. This scholarship is currently supported by international scholarship which supports participation as a major source of development energy particularly for sectors in society being marginalised by demographic pressure and limits on access to natural resources.

Transmara society is, in the view of the consultant, ripe for the expansion of Self Help. Self Help is usually organised into groups with specific development interest. It tends to avoid traditional and modern organisational forms for a variety of reasons. First traditional organisational forms are usually not specific interest oriented. Neither are they concerned about solving specific self interest problems for more often than not their functions are control and maintenance of traditional values. Modern organisational forms, on the other hand, are usually monopolised by schooled elites who are usually agents of forces external to the local

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communities and are thus primarily interested in outward linkages as opposed to local linkages. Leadership and goal orientation of self help groups therefore tends to be for specific local problems for leadership validation is by the locally operating populations. Leadership of Self Help has therefore to be oriented to local problem solving. Self Help raids for resources in both the traditional and modern sector. Since it is an alternative organisational form to the traditions, the traditional and the modern elites try to control it but more often than not Self Help creates its own momentum.

In the view of the consultant, supporting self interest groups to implement the development activities they are interested in is an efficient way of assuring participation in development and is recommended as the main strategy for TDP implementation. This was recognised during the Orientation phase for a Community Development and Self Help component was created in the TDP.

The following chapters cover the TORs of the Review Mission.

CHAPTER 2: SPECIFIC COMMENTS ON THE TERMS OF REFERENCE

ASSIGNMENTS A: CONCEPTUAL AND STRATEGIC APPROACHES DEVELOPED
BY TDP DURING ORIENTATION PHASE

The conceptual approach to community development adopted by
TAP is participatory. Within it, the strategic approach is
triple pronged for it encompasses training of group and
cooperative members, implementing ministry officials and
political leaders.

These approaches are sound for Transmara, which previously, as
part of Narok District, was ignored from a development point
of view. It had few resources channelled to it. Its politics
were dominated from without. Community development groups were
not encouraged. Where they were formed they were appendages of
politicians, essentially councillors. Community development
assistants, employed previously by Narok County Council, were
intimidated by councillors and could not play their normal
role. In any case, most of them were not trained in
participation (psycho-social) techniques of community
organising.

By training political leaders, government implementers, group
leaders and groups in participatory methodologies, the
communities are on the way to being enabled to organise their
own development.

ASSIGNMENTS B: ORGANISATIONAL FRAMEWORK CAPACITY AND
CAPABILITY OF PARTNER INSTITUTIONS

1. Partner Institution Staffing

The partner institutions currently are the Ministry of Culture
and Social Services (MCSS) which has two staff and the County
Council which has eight staff. In addition are two staff from
the Ministry of Cooperative Development (MCD).

It is clear that there are not enough staff for the needed
community development work. Normally these are provided by
County Councils. However, the Transmara County Council, which
was formed on creation on the new Transmara District on August
4th 1994, is yet to be systematically organised to facilitate
its raising a budget and employment of such staff.

In normal staffing norms, there should be a Community
Development worker in every location, division, and district.
In the new district there are 18 locations and 5 divisions.
Therefore under normal staffing norms, there should be 18
LSDA's, 5 Divisional SDA's and one at the district level
making a total of 24.

One is not confident that these will be put in place soon. If
anything the existing 8 are likely to be posted as follows, 1
District Level, 5 Divisional level and the remaining 2 to be

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scattered in the locations.

The picture is bleak at the MCSS and MCD level also. The consultant surmises that there will be only 2 staff in the social development side and 2 in the cooperative development side.

Given the dismal staffing levels, the distances involved and the demand for community organising, the consultant recommendations are as follows:

a. That the TAP made presentations to the Transmara County Council, before the Operational Planning meetings, on the need to hire extra LSDA's by January 1995.

b. That in principle the County Council allows the TDP to utilize the existing LSDA's as needed in TDP's area (location) development activities outside the framework of posting to locations or divisions. This will enable the TDP to deploy them in concentrated version in keeping with the area/catchment/location implementation strategy of the next phase.

c. Since the MCSS Community Development and the MCD Cooperative Development staff operational arena is district wide, they should be available for deployment in the area/catchment/location implementation format.

2. Partner Institution Resources

The MCSS has very limited operational budget. It has a very old vehicle. It has a very small office at the district centre, Kilgoris.

The County Council staff have practically no resources. There are no offices. They use Chief's offices in a few places. This leads them into becoming chief's clerks.

The consultant therefore recommends the following:

a. That the TDP, through the DDC and the TDP Steering Committee, makes presentations to the MCSS to provide operating expenses to the staff in the district. This should include funds for office supplies, vehicle maintenance and operations, and allowances. This should be included in the GOK forward budget.

b. That TDP provides bicycles to the LSDA's.

c. That TDP provide a 4 wheel drive landcruiser hardtop for use by the Community Development Component in coordination work.

d. That Community Development Centres be increased from the existing 2 in various communities with limited support by TDP and further that they make provision for

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an extra room to be used as LSDs offices.

3. Continuous Training of LDSs

Analysis of the background of LDS staff shows that most are high school graduates. They have been trained by TDP in participatory development processes as they apply to groups. However, if the area/catchment/location approach is to succeed, it is most important that they, as well as all other counterpart staff, i.e. ministerial extension staff, be trained in Rapid Rural Appraisal and Participatory Rural Appraisal techniques.

It is therefore recommended that:

> a. TDP hires a consultant to train LSD, cooperative and other extension staff in Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA) techniques with specific reference to Transmara conditions.

> b. LSD, Cooperatives and other extension staff should be trained on the area of land use data before they participate in PRA activities.

4. Business Development

To date this activity has been extended to groups by a TDP adviser. His activities border on implementation. His long term role is to generate business ideas, plan and initiate such activities but not to be frozen in implementation. It is therefore recommended:

> a. That Transmara County Council employ a professionally qualified person in Business Development to be primarily the implementor of business activities of groups so organised under the supervision of the TDP Business Adviser.

ASSIGNMENTS C: METHODS AND TOOLS FOR STRENGTHENING COMMUNITY DEVELOPMENT AND SELF HELP ACTIVITIES

1. Group Process, Business Development, Local Resources and Participatory Rural Appraisal (PRA)

Criteria for stratifying groups so as to design TDP interventions were developed, tested and implemented. A consultancy on "An Approach to Promoting Self Help Initiatives in the Transmara Region" which included evaluation SDA's, was conducted early 1993 and formed the basis of the elaboration of methods and tools. Its findings and recommendations are still valid especially in terms of staff qualifications, business development needs of groups, some specific areas of focus, e.g. steers fattening, beekeeping, maize trade, etc. The creation of a post of Business Development Adviser stems from this consultancy. Another two consultancies on beekeeping

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staff, leaders and community groups before the conducting of area/catchment/location specific PRA's.

e. Training be organised for new groups in business development and group process soon after their formation as a result of area/catchment/location specific PRA's.

f. For community tsetse control, it is envisaged that the area specific Livestock Production Groups will be involved. Since the tsetse area is larger than a location, the strategy will be to pool Livestock Production groups from various Locations and to train them in the technical tsetse matters, in group process and business development together with the technical officers and the relevant leaders involved.

2. Diffuse Groups Versus Specific (Functional Interest) Groups and Cooperatives

Earlier, we mentioned that criteria for stratifying groups were developed. This came after a survey conducted in 1992 which established that there were 93 women groups, 30 youth groups and 22 cooperatives societies. Most of these had diffuse ends mainly because they were being used for political reasons and their leadership more often than not was linked to political operatives who, as in other parts of Kenya, try to politicize groups. After evaluation, some target group and cooperatives were identifying for support and training. These were 5 Youth Groups mainly in beekeeping, 4 Women Groups with varied activities, 1 District wide Beekeepers Association and 4 Cooperatives in ranching and farming.

Some reservations have been expressed by some TAP management staff about the pace of group development. The consultant is of the opinion that given the districts social circumstances, a lot has been achieved primarily by avoiding the politicised diffuse groups and cooperatives. The beekeepers groups, who are now federated into a district wide beekeepers association, are the future model. Beekeeping groups who have been interest specific, have got training and have become living examples to other groups and activities.

To settle some of the issues raised, the consultant, over and above the joint Review Team interviews, held detailed discussions with the following groups and cooperatives:

1. Olkinyei Beekeepers Group
2. Sitoka Beekeepers Group
3. Olenkapune Beekeepers Group
4. Koibeiyot Cooperative
5. Kapsinelet Women Group
6. Kirindon Women Group
7. Gorofa Women Group
8. Kapune Women Group
9. Moyoi Women Group
10. Meko Women Group
11. Naiteru Women Group
12. Emurtoto Women Group
13. Olochani Women Group
14. Ilpashire Women Group
15. Olomismis Youth Group
16. Naropil Youth Group
17. Masurura Upendo Y/Group

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From this field work and Review team joint interviews, the consultant's conclusions are that:

a. The group education process of the Orientation Phase has been so successful that the diffuse and politicised groups are openly looking for assistance to systemise internal organisation and to define specific areas of economic interest and training needs.

b. There are mature groups ready to offer services to other less developed groups.

c. Groups welcome being federated on a district basis for this will enable them to learn from their colleague groups.

d. There is need to borrow less formal business systems from NGO's like CARE, ACTION AID etc who have business systems developed for less literate groups.

Arising from these conclusions it is therefore recommended that:

   a. The group development strategy be pursued vigorously on area/catchment/location basis.

   b. Where formerly diffuse and politicised groups seek assistance, it should be offered immediately. For this to be effective, passive monitoring of such groups should be maintained at all times.

   c. Methods and procedures for utilising existing strong groups to train weak ones should be spelt out and utilised soon.

   d. The group formation, training and general support activities should form a key plank in TDP activities.

ASSIGNMENT D: SCOPE FOR PARTICIPATORY LAND USE AND REGIONAL DEVELOPMENT PLANNING

1. Location Based Implementation

Different TDP advisers and management, as well as documents, refer interchangeably to programme clusters, areas development, etc. There is also discussion on land use related to "range" and farming systems.

After very detailed discussion among Review Team Members and TDP personnel, it was agreed that the next phase will operationalize its work in specific locations. In this report we have used area/cluster/catchment/location purely for purpose of cross discipline understanding for some of the counterpart ministries use one of the terms.

The project has commissioned some studies which tackle the

issue of land use from sector specific viewpoints. The Review Team's position is that these studies/consulting reports need to be distilled into location specific technical proposals. Mainly this can be done by the technical ministries working with the TDP advisers. This location specific distillation of technical land use proposals should be part of the menu offered, neutrally, as an input to community based participatory rural appraisal.

2. Role of Community Development

The role of the Community Development Component is central in the process of distilling the location specific technical land use proposals and the neutral offering of this to the community during the PRA. Recommendations on the prior training of community development staff have been made elsewhere. Here one wants only to emphasize their key roles in assuring that:

a. Proposals are made and offered to communities in forms they can understand.

b. Participatory group processes are practised both during the offer and PRA.

c. Community views are fed back to the technical ministries formally (in written form) so as not to end up with subsequent conflicting interpretations.

d. All community stake holders are represented in the offer and PRA.

3. Minimum Area Specific Group Institutions

Out of the discussion by this consultant with the three review members responsible for institutions, agriculture and livestock, the following areas for special interest group formation emerged:

Title	Function
1. Area Development Committee/ Land Use	Development Coordination/ Land Use
2. Livestock Production/Marketing groups	All aspects of livestock Prod.
3. Women Groups	Multi activity
4. Youth Groups	Multi activity
5. Water/Health Groups	Multi activity
6. Farming (crop/horticulture) groups	Multi activity

Since the Review Team recommends the area approach in land use

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planning, (other than basic district infrastructure like roads) it is important to elaborate that the area/locations development committee would also double as the basic area land planning use committee. This would be a committee selected during the PRA by the community to:

a. Coordinate all area based planning and development activities in the community.

b. Be responsible specifically for area land use planning.

c. Liaise with all external bodies all development matters relating to the area.

Membership in the location/area development committee should be:

a. Selected by the community.
b. Include traditional authority representatives (Emurua).
c. Include representatives of the special interest groups/cooperatives in the area.
d. Be registered by MCSS as a self help group.
e. Report to the community at least four times a year.
f. Assure ex-officio participation of formal GOK staff in the area who will be excluded from being elected as office holders of the committee.

It is strongly recommended that all group and committee office holders should be elected annually.

4. Area Based Development Committees Not DDC Locational Development Committees

It is extremely important that all and sundry understand that the area development committees are not the Locational Development Committees, formed sparsely in Transmara, under the District Focus for Rural Development Strategy. However, it is recommended that in the re-selection of the Locational Development Committee under the new district, area based development committees should be consulted and allowed to elect representatives.

5. Group Material Support (Subsidy)

In principle there should not be support given to groups unless:

a. It is an introduction of new technology eg CV ram for making stabilised cement/soil bricks to a group already utilising the old technology of soil bricks to be fired by the shrinking fire wood resource.

b. Shared facilities e.g a community resource centre to house area based development groups SDA's, etc.

d. To boost an incomplete group project e.g some iron sheets

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to roof a women group shop.

In any case under this category support should NEVER BE MORE THAN 40% of total cost and should be very selectively used. It should be ONLY FOR DEMONSTRATION purposes to other groups.

6. County Council Group Funds

The past County Council funds were given to groups outside any formal planning, generally through councillors. It is proposed that the County Council plan how such funds will be distributed and that this plan be integrated into the area based approach to be used by TDP.

ASSIGNMENT E: SELF HELP POTENTIALS OF COMMUNITIES AND DIFFERENT TARGETS GROUPS

1. Communities

The level of self help activity in Transmara, as shown by registration of groups by MCSS, is relatively low for several reasons. First, there is not a long tradition of organising non-traditional self help. Traditional Self Help is part and parcel of pastoral livestock production systems as reflected in herding associations, joint long distance migration and marketing, etc. Given introduction of nuclear family freehold land holdings, the emergent mixed farming systems encompassing crop and livestock production, reduction in family labour by school attendance and migration for work, permanent settlement and the need to build up back up systems for permanent settlements e.g water sources and schools, it is clear the conditions for self help exploding are ripe.

In all Kenyan communities Self Help is primarily a coping mechanism for those being marginalised out of traditional natural resource distribution systems (see Mutiso: Kenya Politics Policy and Society). It is their collective structural adjustment to emerging societies based on exchange and commoditization of all natural resources. Evidently this takes place while communities change from pastoral to an agro-pastoral or a dominantly crop based system with small stock as adjuncts (Mutiso: Kitui: Ecosystem Integration and Change).

This is evident in the immigrant communities of Transmara where the self help groups are as old as the 1960s and 1970's as opposed to the more pastoral areas where self help groups is a phenomenon of the late 1980's/1990's.

It should be further noted that crop agriculture in essentially pastoral areas is usually adopted by those who drop out of the pastoral economy because of resource inequities; lack of access to natural resources - typically range, land and water; calamities e.g drought, raids or drastic epizootic occurrences. All these processes are afoot in Transmara. The most clear evidence on marginalisation of a

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large segment of the population is the shortage of milk at the household level. By supporting self help groups processes now, before the deepening demographic crisis, the TDP will be contributing to the development of significant numbers of the population in a sustainable manner. It will also be reducing the management cost of development.

2. Target Groups

Given the traditional culture of the Maasai, the marginal groups are women and young males (who in the Transmara euphemism lexicon are called youth). Traditional wealth is livestock. Women had ownership and use rights but limited disposal rights to them. Young men were controlled by the specification and control over livestock use rights by the gerontocracy. Thus moranship and herding were institutions of limiting youth's access to livestock ownership and use, especially for dowry, among other objectives. It is precisely for those reasons that the main groups interested in self help activities are women and youth other than area based specific groups like water groups. Self help activities are a ticket, first out of traditional resource distribution within households and secondly, out of structural marginalisation, for target groups who have not got the ticket to modern economic improvement i.e education. Livestock producers - mainly men are also a significant target group in a residual sense.

APPENDICES

APPENDIX 1:

SUMMARY TABULATED REVIEW OF COMMUNITY DEVELOPMENT AND SELF HELP ACHIEVEMENTS

Activities	Level of Operations				
	Total Project Area Rep.	Specific Zones	Community Level	Group Level	Boma/ Indivi- dual Level
4.1 Identify and train community mobilizers for cluster area					
4.1.1 Participatory Development Approach	Y				
4.1.1.1 Self Help Promotion Team formed	Y				
4.1.1.2 Participatory approach concepts developed	Y				
4.1.2 Identify community mobilizers for cluster areas					
4.1.2.1 Participatory training team identified	Y				
4.1.3 Train community mobilizers			Y		
4.1.3.1 Participatory approach training					
4.1.3.1.1 Counterparts	Y				
4.1.3.1.2 Leaders	Y				
4.1.3.1.3 Group members				Y	
4.1.3.2 RRD approach sensitizing					
4.2 Mobilize cluster community for self help group development					
4.2.1 Survey to establish on existing groups	Y				
4.2.2 Selection of model groups and cooperatives to test concepts and approaches		Y		Y	

Activities	Level of Operations				
	Total Project Area Rep	Specific Zones	Community Level	Group Level	Boma/ Indivi- dual Level
4.2.3 Develop mobilization concepts and instruments			Y	Y	
4.2.3.1 Awareness workshop			Y	Y	
4.2.3.2 Residential workshops	Y			Y	
4.2.3.3 Formation of comm. development and self help promotion team	Y				
4.2.3.4 Participation of DDC and leaders meetings					Y
4.2.3.5 Counterpart meetings		Y			
4.2.4 Mobilize cluster community for self help group development					
4.2.4.1 Model cooperatives	Y	Y		Y	
4.2.4.2 Model youth groups	Y	Y		Y	
4.2.4.3 Model women groups	Y	Y		Y	
4.2.4.4 Formation of new "			Y		
4.2.4.5 Formation of TAB	Y				
4.3 Support groups invol. in project related activities					
4.3.1 Community development	Y		Y	Y	
4.3.1.1 Support to area land use planning		Y			
4.3.1.2 Community dev. committees	Y		Y		
4.3.1.3 Coordination of support services	Y				
4.3.2 Physical infrast. dev. assistance	Y				

Activities	Level of Operations				
	Total Project Area Rep.	Specific Zones	Community Level	Group Level	Boma/ Indivi- dual Level
4.3.2.1 Building of vaccination crushes		Y			
4.3.3 Production of beekeeping			Y	Y	Y
4.3.4 Support of bull programme			Y		
4.3.4.1 Identification of the beneficiaries			Y		
4.3.4.2 Survey for bull sources		Y			
4.3.4.3 Training of bull owners		Y			Y
4.3.5 Support of contact herders programme			Y		
4.3.5.1 Selection and training of contact herders	Y		Y		
4.3.6 Distribution of Gloria spray pumps					Y
4.3.7 Vegetable production				Y	Y
4.3.7.1 Training of 4-K clubs				Y	
4.3.7.2 Promotion in groups (women, youth)				Y	
4.3.8 Assistants to project consultants	Y				
4.3.8.1 Approach to promoting self help initiatives in Transmara	Y				
4.3.8.2 Beekeeping cons.	Y				
4.3.8.3 Women in ASAL consultancy	Y				
4.3.8.4 Gender in dev. consultancy	Y				

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APPENDIX 2: TRANSMARA STAFFING: JUNE 1994

DEPARTMENT	OFFICERS	SUPPORT	FIELD FILLED	FIELD VACANT
Agriculture	11	11	16	18
Vet	4	8	12	10
KARI	9	17	-	-
Livestock	3	5	11	26
Education & Admin.	5	8	16	13
Teachers	-	-	255	155
Public Health	16	-	16	12
Curative Health	13	7	7	4
Cooperative	2	3	2	4
Social Services	3	3	7	8
Water - Kilgoris	9	14	23	7
KWS - CWS	1	1		
TDP	4	10		

APPENDIX 3:   TRANSMARA   DISTRICT   POPULATION: 1989   POPULATION CENSUS
AND PROJECTIONS

Population by Sex, Number of Households, Area and Population Densities
for all Administrative Areas

AREA	MALE	FEMALE	TOTAL	HHs	SK.m	Den
KILGORIS DIVISION	43,227	45,747	88,974	16,380	1,115	80
MOITANIK E.	12,465	13,503	25,968	4,675	215	121
NJIPISHIP/ SHARTUKA	5,990	6,419	12,409	2,336	114	109
KAPUNE/ MEGUARA	2,383	2,584	4,967	865	52	96
ABOSSI/ OLOLMASANI	4,092	4,500	8,592	1,474	49	175
MOITANIK W.	5,798	6,091	11,889	2,207	181	66
POROKO/ OSUPUKO	2,717	2,810	5,527	1,052	59	94
OLOMISMIS/ OLOBORSOITO	3,081	3,281	6,362	1,155	122	52
UASIN GISHU WEST	4,180	4,373	8,553	1,718	203	42
SIKAWA	4,180	4,373	8,553	1,718	203	42
UASIN GISHU EAST	6,411	6,676	13,087	2,560	251	52
SHANGOE	1,818	1,821	3,639	649	88	41
OSINONI	4,593	4,855	9,448	1,911	163	58
EMARTI	14,373	15,104	29,477	5,220	265	111
EMURUA DIKIR	8,943	9,591	18,534	3,209	135	137
ILKERIN	5,430	5,513	10,943	2,011	120	84

TRANSMARA DISTRICT POPULATION PROJECTIONS BASED ON 1989 CENSUS

Kilgoris Division

4% Growth Projections 1990-1996:

1990	44,956	47,576	92,533	17,035	1,115	83
1991	46,685	49,406	96,092	17,690	"	86
1992	48,414	51,236	99,651	18,345	"	89
1993	50,143	53,066	103,210	19,000	"	93
1994	51,872	54,896	106,769	19,655	"	96
1995	53,601	56,726	110,328	20,310	"	99
1996	55,330	58,556	113,887	20,965	"	102

7% Growth Projections 1990-1996:

1990	46,253	48,949	95,202	17,527	1,115	85
1991	49,279	52,151	101,430	18,674	"	91
1992	52,305	55,353	107,659	19,821	"	97
1993	55,331	58,555	113,887	20,968	"	102
1994	58,357	61,757	120,115	22,115	"	108
1995	61,383	64,959	126,343	23,262	"	113
1996	64,409	68,161	132,571	24,409	"	119

Lolgorian Division

4% Growth Projection 1990-1996:

1990	24,619	24,502	49,121	8,964	1,759	28
1991	25,566	25,444	51,011	9,309	"	29
1992	26,513	26,386	52,900	9,654	"	30
1993	27,460	27,328	54,789	9,999	"	31
1994	28,407	28,270	56,678	10,344	"	32
1995	29,354	29,212	58,568	10,689	"	33
1996	30,301	30,154	60,457	11,034	"	34

7% Growth Projection 1990-1996:

1990	25,329	25,209	50,538	9,222	1,759	29
1991	26,896	26,858	53,844	9,825	"	31
1992	28,553	28,507	57,151	10,428	"	33
1993	30,210	30,156	60,457	11,031	"	35
1994	31,867	31,805	63,763	11,634	"	36
1995	33,524	33,454	67,069	12,237	"	38
1996	35,181	35,103	70,376	12,840	"	40

TRANSMARA DISTRICT

4% Growth Projections 1990-1996

1990	69,575	72,079	141,654	25,999	2,874	49
1991	72,251	74,851	147,102	26,999	"	51
1992	74,927	77,623	152,550	27,999	"	53
1993	77,603	80,395	157,998	28,999	"	55
1994	80,279	83,167	163,446	29,999	"	57
1995	82,955	85,939	168,894	30,999	"	59
1996	85,631	88,711	174,342	31,999	"	60

7% Growth Projections 1990-1996

1990	71,582	74,158	145,740	26,749	2,874	51
1991	76,265	79,009	155,274	28,499	"	54
1992	80,948	83,860	164,808	30,249	"	57
1993	85,631	88,711	174,342	31,999	"	61
1994	90,314	93,562	183,876	33,749	"	64
1995	94,997	98,413	193,410	35,499	"	67
1996	99,680	103,264	202,944	37,249	"	71

APPENDIX 4: PERSONS INTERVIEWED

1. J. Sunkuli
2. Prof. Van der Ohe
3. Dr. E.D. Tenamberger
4. Terer
5. A. Mwarali
6. Mrs. Nankoye
7. Mrs. Nchoe
8. William Seur
9. Mrs. Evelyn Mambule
10. Ole Koros
11. Ole Sarone
12. Ole Sharu
13. Ole Sinoni
14. Ole Muchira
15. Ole Ndanbibii
16. S. K. Tangus
17. Dr. Laqua
18. G. Sinoni
19. Chief F. Sainoni
20. Linus Tompoy
21. E. Nenkuseyo
22. Parsiria Melubo
23. Jackson Kortoni Koila
24. Saruni Ntiyae
25. Ole Melubo
26. John Shira
27. Mrs. Nkwuni
28. Mrs. Lucia Korkai
29. Siteti Noorprarkuo
30. Sarah Riangony
31. Elizabeth Langat
32. Emily Korir
33. Mary Langat
34. Christina Bor
35. Peter Korinko
36. Daniel Kalasinga
37. George Ketere
38. Joseph Ole Tito
39. Mary Naiguran
40. Gladys Makallah
41. Susan Daniel
42. Marget Makallah
43. Joseph Santien
44. William Nkepen
45. Daniel Olminis
46. Michael Konchellah
47. Rosemary Messopir
48. Angelina Taraja
49. Isaac Kariuki Mbuthia
50. Mr. J. M. Muhoro
51. Mr. Tendwa
52. Dr. S. Kimani
53. Mr. J.A.K. Mbai
54. Dr. H.K. Cheruiyot
55. T. Jungjohann
56. Dr. A.K. Njoroge
57. E.R.N. Tongi
58. P. Maruti
59. Michael Ole Maki
60. V.O. Masime
61. J. Ole Lerina
62. G.K. Sawe
63. J.K. Onyuro
64. Dr. S.O. Orot
65. Dr. P.G. Ondieki
66. P. Sipakati
67. P. Oirere
68. H.O. Mbata
69. j.k. Cheboi
70. J. Mabeya
71. S.N. Munge
72. P.N. Muchendu
73. H.S. Ongongo
74. C.C. Muyesu
75. S.K. Sunyai
76. L.M. Agan
77. J.K. Muoha
78. M. Tupunya
79. J. Kamai

APPENDIX 5: TDP DOCUMENTS CONSULTED

1. An Approach to Promoting Self Help Initiatives in the Transmara Region (Sam K. Sekyeme).

2. An Overall Rangeland Management and Tame Pasture Development Activities in the Transmara Sub-District, Kenya. (Thomas L. Thurow).

3. Assistance for Group Support.

4. Community Development and Self Help Promotion Report: June 1992 - July 1994.

5. Community Development and Self Help Promotion Summary Report 1992 - 1994.

6. Community Development and Self Help Promotion.

7. CPK Diocese of Nakuru: Transmara Rural Development Programme.

8. CPK Diocese of Nakuru: Transmara Rural Development Programme: Annual Report; January - December 1993.

9. Disease Control Proposal.

10. Farming Systems and Crops Component.

11. Group Subsidy Proposal.

12. Guidelines for Project Progress Review GTZ.

13. Health Component of the TDP Briefing (Dr. Tenamberger).

14. Keiyan Farmers Cooperative Society: Awareness Creation Workshop March, 1994.

15. Kirindon Beekeepers Group; Awareness Creation Workshop; April 27 - 28, 1994.

16. Koibeyiot Farmers Cooperative Society Ltd.: Awareness Education Workshop April, 1994.

17. Land Management Units of the Transmara Sub-District.

18. Livestock Development Programme.

19. Livestock Development Report: June 1992 - August 1994.

20. Locational Social Development Assistants Support.

21. MCK Rural Appraisal Programme Steering Committee Meeting 10/11/94.

22. MCSS: Request for Annual Grants.

23. Ministry of Agriculture, Livestock Development and Marketing: Second National Extension Project (NEP II) Mid Term Review. August 15 -27, 1994. Introduction to an Animal Health Component.

24. Olenkapune Beekeepers Youth Group: Awareness Creation Workshop Proceedings Jan 24 - 26, 1994.

25. Olomismis Narropil Beekeepers Group: Awareness Creation Workshop Proceedings March 22 - 23, 1994.

26. Organisation of the Integrated Rural Development Programme of the Transmara District (Chart).

27. Participatory Rural Land Use Planning Workshop (Report).

28. Participatory Training for Community Development and Self Help Promotion.

29. Political Organisation of the New Transmara District.

30. Report on the Proceedings of TDP Technical Officers Induction Workshop held from 20 -24 June 1994 at Tea Hotel, Kericho. Kenya (Participatory Development Consultants).

31. Target Groups/Cooperatives Information.

32. TDP Plan of Operations.

33. Tick Control Proposal.

34. Transmara Association of Beekeepers.

35. Transmara Cooperative/Reto-o-Reto Youth Group: Awareness Creation Workshop: April 1994.

36. Transmara County Council and TDP Locational Social Development Assistants Attachment Meeting.

37. Transmara Livestock Development Project (Narok District) Project Document. Phase I (1990-1994).

38. Transmara Population Projection.

39. Vegetable Promotion Programme: Training Inventory 1993/1994.

40. Workshop Report for Head Teachers.

41. ZOPP Flipcharts GTZ.

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FINAL REPORT and PROCEEDINGS OF FOREST SPECIFIC SEMINARS

ON

NATURAL RESOURCE MANAGEMENT IN TRANSMARA

TDP Report No. 84

(Seminar organised under the auspices of TDP/GTZ and funded by the Konrad

Adenauer Stiftung)

(10th March - 5th April 1997)

Dr. O. Odek
Ms. E. Keli

June 1997

Current Stage
of NRM +
LUP

- Prohibition to
work with
Communities
has hampered
further progress.
- Half-hearted
permission
given due to
pressure from
Nairobi.
- Local leaders
(Prov. Admin,
HP Clerk CC,
etc.) fear loss
of power over
resources.

<u>FINAL REPORT and PROCEEDINGS OF FOREST SPECIFIC SEMINARS ON</u>

<u>NATURAL RESOURCE MANAGEMENT IN TRANSMARA</u>

(Seminar organized under the auspices of TDP/GTZ and funded by the Konrad Adenauer
Stiftung)

<u>(10th March - 5th April 1997)</u>

Between February and August 1996, the Transmara Development Program (TDP) commissioned consultants to carry out a study on natural resources in Transmara. The findings of the study are contained in a report dated August 1996 entitled "FOREST RESOURCES IN TRANSMARA: CONSERVATION, MANAGEMENT AND LEGAL ISSUES". The report was presented to the TDP at a workshop held in Kericho on 20th and 21st June 1996. One resolution of the Kericho workshop was that the study results and recommendations as well as the resolutions of the Kericho workshop should be disseminated to the administrative personnel and the local communities of Transmara district. To this end, numerous seminars and workshops have been held.

A Chief's seminar was held at TDP Offices, Lolgorien, on the 14th and 15th of August 1996. Subsequent to this, a Leader's meeting was held on 18th October 1996 at Kilgoris. One of the resolutions of the Leader's meeting was that "seminars be held and conducted within the district with a view to training the communities on the importance of forest conservation." In pursuance of the resolution of the Leader's meeting, TDP in conjunction with the District Adminstration of Transmara organized divisional seminars in Transmara between 25th and 29th November 1996. Subsequent to the divisional seminars, between 10th March and 5th April 1997, forest specific seminars were held. The forest specific seminars were organized by TDP and funded by the Konrad Adenauer Stiftung. The seminars focused on the following forest areas: Nyakueri, Laila, Olenkapune, Olomismis, Lookwaya, Esoit-Naibor and Kirindon.

The communities living around these forest areas were targeted for awareness creation. To this extent, it was planned that the following communities should attend and participate in the seminars: Sitoka community, Kawai/Olesheti community, Olkirriruki-Olorosoito community, Pusangi community, Laila community, Olalui community, Lookwaya community, Kirindon community, Esoit Naibor community, Olenkapune-Olmotonyi community and Metanguar community.

In all communities, the seminars were led by two consultants namely, Dr. James Kiyiapi of the Department of Forestry at Moi University and Dr. Otieno-Odek from the Faculty of Law, University of Nairobi.

The seminars organized for Kirindon and Lookwaya communities did not take place.

In Lookwaya, the community was not prepared for the seminar. They had been informed of it but only a few elders turned up. The area Chief was supposed to have held a meeting with the

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community a week before the seminar to brief the members on the objective of the seminar. The Chief's meeting did not take place. The few elders who turned up were briefed on the purposes of the seminar and the elders proposed that a new date for the forest/wildlife awareness creation seminar should fixed.

In Kirindon, the seminar did not take place as nobody came to the venue of the meeting. The consultants were unable to find the area Chief. However, the consultants did find the District Officer who stated that he was very new in his station and was not aware of the planned seminar. The District Officer hoped that there would be a chance in future for such a seminar.

In all other areas, the seminars took place as planned.

This report is divided into five parts and three appendices namely: Part A on forest/wildlife issues; Part B on legal issues and Part C on discussions and issues raised by seminar participants; Part D on recommendations of forest specific seminars and Part E on the way forward. Appendix One contains the names of committee members elected to oversee forest and wildlife conservation; appendix two gives the dates and areas where the seminars were held.

PART A: FOREST/WILDLIFE ISSUES

Dr. Kiyiapi made a presentation on forest and wildlife issues in the context of the socio-economic and cultural setting of various localities. Based on previous divisional seminars, a deliberate effort was made to address issues that had been raised by the local people with a view to provoking and stimulating discussion. General conservation objectives and values vis-a-vis development issues were addressed. Examples were drawn from other parts of the country, the district and specific forest areas to illustrate potential benefits of conservation to the communities. Existing forest resource benefits and constraints already recognized by communities were outlined.

Based on the above, Dr. Kiyiapi addressed various themes. First, land was recognized as the basic resource with competing land-use alternatives (human settlements, agriculture, livestock husbandry, natural resources conservation- soil, water, forest and wildlife resources).

Second, the value of forests in terms of timber and non-timber products was emphasized. The value of forests was explained to encompass the provision of timber, building posts, bee keeping role, fencing materials, firewood, medicine, grazing and salt licks. In terms of conservation function, forests were stated to aid in soil and water conservation, climate moderation, aesthetic values and wildlife habitat. In terms of socio-cultural aspects, it was underscored that forests have a sacred role and ceremonial functions.

Third, the current prices (Ksh/m3) of some commercial timber species commonly found in most forests of Transmara were presented to illustrate that selective felling of trees into timber would fetch far more to the land owner compared to the wasteful conversion into charcoal. It was demonstrated that if management plans were developed, most land owners would benefit from

controlled and well executed timber extraction.

Fourth, slides of different forest blocks were shown. The slides illustrated forest types and variety of sites (e.g., areas of communal use such as salt licks, beautiful scenery that could be exploited in eco-tourism development); different tree species available in Transmara, forests of various disturbance intensities (from undisturbed to heavily degraded forests); dry season grazing forests and forests containing high concentrations of wildlife.

PART B: LEGAL ISSUES

Dr. Otieno-Odek made a presentation on legal issues relating to forest and wildlife resource management in Transmara. Dr. Odek explained that land is three dimensional. It denotes the surface, the airspace and the sub-terrenean geospace below the soil surface. Land includes land covered with water, all things growing on land, buildings and other things permanently affixed to land. This includes things attached to the earth; things rooted in the earth as in the case of trees and shrubs and what is imbedded in the earth as in the case of walls or buildings.

Pertaining to ownership of forests, Dr. Otieno-Odek stated that there are four categories of forest owners in Transmara namely, the county council, group ranches, community forests in trust land and private/individual forests. There are no government forests in the district. On wildlife, Dr. Odek noted that all wildlife found in Kenya whether on private, trust or public land is owned by the state. The Kenya Wildlife Society does not own the wildlife.

Various participants in the seminars wanted to know what the law was in relation to wildlife compensation. Dr. Odek explained that in Kenya, presently, compensation for wildlife damage is only payable for loss of life or bodily injury. No compensation is due for damage to crops or property.

Relating to forest management options, Dr. Odek explained to the seminar participants that forest management must be distinguished from forest ownership. The owner of a specific forest can decide to either manage the forest resource by itself, or engage a third party to manage the forest. It was noted that in order to conserve and manage the Transmara forests under the present legal framework, the community who are owners of the forest resources may choose from the following three options:

(i)   The owner(s) can manage the forest directly;
(ii)   The owner(s) can give the management of the forests to the County Council and
(iii)   The management of the forests can be contracted out to other bodies such as the Forest Department, KWS or private enterprises.

The following forest management options were presented and discussed by the participants. In areas where the land adjudication process has been completed, it was recommended that where the entire forest land has been divided, individuals who end up having forests allocated to them should come together and form an association of forest owners. In this scenario, the individuals continue to own

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their land individually only that they form an association of forest owners. These individual forest land owners will be the members of the association and as such, they constitute a community. The individuals will then come up with a forest zonation and management plan. They will also make rules and regulations governing the rights of access to and use of the forest resources. They can also enter into a management agreement with a third party to manage the forest either at a fee or in return for some other consideration. In areas where the land adjudication process is incomplete, it was recommended that specific forest areas be set aside. In this case, the owners of the forest will be the community members who will be defined as those persons who live or reside within the specific forest.

PART C: DISCUSSIONS and ISSUES RAISED BY PARTICIPANTS

The following issues were raised in all the forest specific seminars.

1.   Forest Destruction

Since the recent land demarcation, there has been excessive forest destruction, charcoal burning and indiscriminate felling of trees in Transmara. It was unclear whether this could be linked to the realization by some people, that they do not have a forest portion on their land parcels. At the Olenkapune/Olmotonyi seminar, the participants wanted to know if the provincial adminstration was aware of the nature and extent of forest destruction going on and if so, whether there are permits issued for tree felling. On this issue, Dr. Kiyiapi explained that anyone felling trees require a permit. The area Chief, the District Forest Office and the District Commissioner's Office must all give approval.

2.   Land ownership and management

Most of the seminar participants remarked that they own the Transmara land and forests situated on Trust Land. A general sentiment was that they wanted to solely manage their forests without outside help. To the participants, forests provide their total livelihood in social-cultural and economic sense with benefits such as dry season grazing, salt-licks, medicinal plants, honey, shade, rain, water catchment and building material.

3.   Human-wildlife conflict

Most of the participants expressed that there is an urgent need to find a solution to the human-wildlife conflict. It was noted that there is minimal compensation for loss of human life and virtually no compensation for loss of livestock and damage to property. To most participants, there are no wildlife benefits of any kind and the degree of sacrifice borne by the maasai should be met with matching benefits. At the Metanguar community seminar in Olomismis, a participant observed that if wildlife belongs to someone else other than the maasai, let the owner take them away. He further remarked aloud that the maasai are a livestock community and if wildlife kills livestock without

compensation, what are the maasai supposed to eat? At the Olalui seminar, a participant commented that whereas there are potential benefits from both wildlife and forests, the issue of concern to the Maasai is how to identify various possible options/alternatives on how the potential benefits could be realized. It was further emphasized that the community would like all benefits emanating from forests/wildlife resources to come to them directly without passing through the county council.

4.   Community awareness and mobilization

During the general discussions and deliberations of the seminar, the participants expressed the need for continuation of seminars at the grass roots level in order to establish clear understanding of sustainable forest conservation by the community and leaders. To this extent, the participants expressed the desire to protect and manage their own forests using the existing indigenous knowledge and practices without unwarranted external pressure.

5.   Technical support

The communities, particularly those of Sitoka, Olenkapune and Kawai, expressed the need for technical support in the formation of associations of land and forest owners. There was also expressed the desire to have training on sustainable management principles on how to conserve forests and how to facilitate eco-tourism. The specific details of training are:

-       drawing of the articles of association for the groups.
-       introduction of Income Generating Activities based on forest and wildlife resources.

6.   Financial support

In all the seminars attended, the participants observed that there is need for financial support to start income generating activities and social development projects such as schools and health centres. Such income generating activities will bring needed cash to local communities as an alternative money-earner to forest destruction in form of charcoal and timber.

The Seminar participants were informed that on the technical and financial issues, TDP had consulted with the European Union who had shown an interest in supporting forest/wildlife activities in Transmara.

7.   Timber sales

In relation to timber products, the seminar participants observed that genuine commercial timber traders should be found to bid for debarked and mature trees in the forests. The proceeds from such sales can finance schools, cattle dips and other social development projects. In line with this thought, the Sitoka community suggested that debarked trees should be sold at current timber prices.

8.   Community Participation

The seminar participants noted that community participation in decision-making on matters related to their development, such as choice of projects should receive funding\support. In this regard, community-based "forest management committees" were proposed for all the forests. It was recommended that the committees should have responsibility for the protection and conservation of forests. It was observed that community-based forest management will flush out cattle rustlers who hide in the forests. Finally, as a matter of urgency, the participants suggested that any future decisions on land and/or forests should be taken with full community participation.

9.   Community education on forest resources

One issue that was recommended by the participants involved community education on available trees, plants and user value. Participants recommended that assistance in market survey on sale of timber, medicinal plants and resource management should be given.

10.   Land Adjudication

Pertaining to the land adjudication process, the seminar participants were of the view that the communities need to be up-dated on the land adjudication in the district. In areas where the adjudication process is complete, the view was that zonation of forests for settlement, grazing and agriculture should be done. In the Olomismis area, the seminar participants made a request to TDP to consider if TDP can map the demarcated parcels of land so that if the community decides to set aside forests, the owners should easily be known. Further, the participants wanted to know the extent to which TDP can help in ascertaining or resolving boundary issues. On this issue, the TDP representative, Mr. Paul Borsy, stated that TDP has no mandate to deal with land and it cannot adjudicate, divide or resolve land/boundary disputes. On the issue of mapping, it was suggested that the Olomismis community can make a written request to TDP for consideration.

At the Pusangi seminar, the participants noted that one of their problems related to land adjudication and the sub-division of land. The community in this area were not sure whether they were in a group ranch or in an adjudication section. To most of the participants, they believed that they were in Kimintet area but were uncertain whether it was an adjudication section or group ranch. The community was of the view that whereas they may be able to set aside some forest for conservation, they need some guidance on how to make a forest management plan.

11.   Need for Forest management plan in Nyakueri

The seminar participants from the communities surrounding the Nyakueri forest were of the view that a joint management plan needs to be produced to foster sustainable conservation, utilization and protection of the forest. There was need for TDP and other relevant government agencies to facilitate the preparation of the plan in conjunction with the local communities.

At the Kawai/Olosheti seminar, the participants were of the view that Nyakweri forest should be seen as belonging to various communities such as Pusangi, Sitoka, Kilae, Oloro Soito and Olesheti. It was strongly recommended that all these communities should be involved in discussing the future of Nyakweri.

12.   Wildlife and tourism benefits

The seminar participants discussed the issue of human-wildlife conflict and came up with the idea that communities should be helped to enter into the wildlife and tourism market. The goal herein is to make the maasai lifestyle compatible with the tourism trade and benefits thereof to be received directly by the local communities.

13.   Women's Participation in forest conservation

During the seminars, it was noted that women are forest resources users and should participate in its management. Forest-related income generating activities that benefit women need to be formulated.

14.   Wildlife and forest association

At the end of each community seminar, the community members agreed on the need to form an association to protect and manage the forest resources. The pending issue was whether there is to be an association per community and per group ranch. It was noted that the land adjudication status for each area will determine what action shall be taken. It was recommended that each community association should have a forest management committee. The roles and functions of the committee are to be drawn by the members. However, at the Laila community seminar, an issue that was raised pertained to the role of the County Council in the forest/wildlife association. One participant observed that if the community forms the association, what would be the role of the county council in the association and vice-versa?

15.   Wildlife-livestock conflict

All participants at the various forest specific seminars agreed that there is rampant wildlife-livestock conflict in Transmara. Conflict is over grazing and water resources, coupled with the spread of disease. It was a general consensus that ways and means should be found to compensate communities for loss of pasture and wildlife damage to livestock. There was a strong feeling that if benefits from wildlife cannot reach the communities directly, then they should not be paid at all.

16.   Wildlife-agriculture conflict

The participants further noted that since their land is in the maasai mara dispersal area, there is no cultivation due to wildlife. It was the view of the participants that compensation for non-cultivation and loss of livestock should be paid. In reaction to this view, the KWS Transmara District Warden

Mr. Too informed the seminar participants that KWS has a community partnership program for communities in wildlife dispersal areas to jointly care for and benefit from wildlife. This program is being done through wildlife related income generating activities.

17.   Transparency and partnership

On the issue of partnerships with outside organizations, it was the view of the participants that first they need to clearly understand what the partnership entails and be sure what type of benefits are to be forthcoming to the community. All in all, in any partnership arrangement, the communities must not loose ownership of their land and forests.

18.   Donor support requirements

The participants resolved that community committees and associations should be informed of donor requirements and pre-requisites to funding. For example, the timing of project proposal and the fact that most donors are attracted by community projects as opposed to individual projects should be emphasized. Further, the community needs information on what kind of income generating activities should be embarked upon.

19.   Relationship between the community forest conservation committees\associations and the County Council

The participants of the seminar noted with concern that the relationship between the community and the county council pertaining to ownership and utilization of forest resources is not cordial. To this end, it was recommended that ways and means be found to normalize the relations and sort out any mistrust between the two entities.

20.   Wildlife barriers

Noting that human-wildlife conflict exists in Transmara, the participants were of the view that the fencing of Laila forest to keep off elephants should be raised with KWS. This would enable the community to carry out some agricultural activities.

21.   Need for District co-ordination association/forum

Noting that the seminar participants recommended the formation of forest associations, the same participants were of the view that when all community forest and wildlife associations have been formed, there should be a district co-ordination association whereby representatives from all community associations will meet and formulate policy issues on conservation and utilization of forest resources. The district forum should deal with outside agencies interested in eco-tourism and other ventures, share costs on promotion, plan and carry out relevant training and education for various actors.

22. Legal information

The seminar participants expressed the view that the local community has a dearth understanding of the relevant laws relating to wildlife and forest conservation, the chiefs authority act and the details on how associations/communities can benefit from conservation efforts. To this extent, it was recommended that there is need to disseminate legal information on the above.

23. Forest security

The issue of forest security was one item discussed in the various seminars. The participants recommended that community scouts should be trained to carry out forest patrols. The scouts will also be invaluable to the extent that they have indigenous knowledge on the forests and their familiarity with the forest terrain will result in faster movement for security and communication purposes.

24. Permits for the tree cutting

One issue that kept recurring during the seminars related to the issuance of permits for felling/cutting of trees in forests. To many participants, it was not clear who issues permits, how many and from what office. It was recommended that issuance of permits should be co-ordinated to avoid abuse of authority. This was deemed a must to save the forests.

25. Forest and wildlife protection committees

In four forest specific seminars at Sitoka, Kawai, Olkirriruki/Olorosoito and Olenkapune/Olmotonyi, the participants formed forest and wildlife protection committees. In other seminars, the participants requested time to discuss and consider who shall be elected as committee members. In areas where committees were formed, the names of the committee members are annexed hereto as Appendix One.

The roles of the committee were outlined to be: forest protection against internal and external destruction, coordinating forest conservation and utilization issues with neighbouring communities, representing the specific forest members to higher authorities and other communities, setting up forest user rules in conjunction with all community members and liaise with forest marketing agencies. A major issue that was emphasised was that the committee members do not own the forests and in the course of their duties, the committee must act in liaison with all community members.

Other functions of the committee were outlined as:

i)   facilitate community functions;
ii)   select and mark trees for timber;
iii)   facilitate communication between the community and outside agencies;

6. Forest protection committees should be formed. These committees should organize and hold discussions with other community members to set forest use rules. It should be emphasized however, that these area NOT forest or land allocation committees - they are simply working committees which provide a vital link to the community. Formation of these committees should be seen as an initial stage towards mobilization and formation of forest/wildlife association.

7. Mobilize local people to start planning together with government departments, Transmara County Council (TCC), TDP and where necessary supporting consultants for a participatory forest/wildlife management plan. This need not be detailed initially as data is largely unavailable on a number of aspects.

PART E: THE WAY FORWARD

Based on the presentations, questions raised and discussions, the following fundamental issues must be addressed in order to push the conservation process forward:

Institutional collaboration

It has now become apparent that the relevant institutions in Transmara have not agreed on the approach to attaining forest conservation goals. However, there is consensus on the need to conserve the dwindling forest resources of the district. A pre-requisite to natural resource conservation is a clearly defined institutional framework. Institutional rivalry or disharmony defeats conservation objectives. This matter should be treated with the seriousness it deserves and a common approach should be found. Central to all the 'way forward discourse' are the people of Transmara - the land owners at whose expense and for whose benefit these resources should be conserved. A natural resource workshop to which all relevant stakeholders are invited should provide a forum in which an agreed framework can be developed.

Ownership Question

Forest/wildlife conservation and management revolves around land ownership and ultimately on the distribution of benefits. Formation of forest/wildlife association is only possible where precise boundaries of the resource is known and claims to ownership ascertainable. Various options of constituting communities into legal entities are possible and these must be thoroughly explored -this means that people themselves should clearly understand and appreciate the options open to them.

Technical Support

Technical support is very crucial to this entire process. Once an agreed framework has been developed, technical support will be needed in the following specific areas:

- Preparation of training materials and training of forest/wildlife scouts (guides)
- Local institutional capacity building in general
- Identification of tangible forest/wildlife related benefits/income generating projects
- Determination of sustainable levels of forest product extraction
- Developing equitable benefit sharing mechanisms
- Data collection and formulation of participatory forest specific management plans.

This is a long term process requiring massive human and capital investment. A 3-4 year comprehensive natural resource conservation project would need to be developed to address all the above issues and funding solicited from various sources. The European Union has shown an interest and the lead agencies in Transmara must strive to satisfy the pre-requisites mentioned above to capture this source of funding. It need not be overemphasized that the entire strategy should be people-oriented.

Appendix 1
Forest and wildlife committees in Trans Mara
Status May 97

Sitoka forest and wildlife Committee

1. Parsiria Melubo
2. Ole Parsaloi Kaka
3. Murmet Oleuma
4. Parsoilal Kiloyian
5. Julius Melubo
6. Ta? Kiloyian
7. Daniel Kaka
8. Julius Nekencha
9. Noolkilisu Melubo
10. Naisianoi Oledio
11. Samantare Parsoilal

Olosheti/Kawai Forest and wildlife Committee

1. Lekishon Ole Maasae (chairman)
2. Daniel Ole Kuyia (secretary)
3. Susuanka ?riayu (treasury)
4. Ole Meisidia
5. Salepo Ole Mamai
6. Ntaayie N. Karia
7. Kirusua Tunai
8. Napolos Enekuyia
9. Ole Moronko Meriayu
10. Nooseuri Saruni
11. Naitayuana Lankas

Olomismis Afforestation Committee

1. Samson Ole Kalamoyo
2. David Ole Kirionki
3. Susana Murrampi
4. Elizabeth Kirua
5. Jonathan Ketere
6. Noonkipa Kipasenua
7. Olenkoirien Kalema
8. Oloisiriri Kipintoi
9. Staphan Keshe
10. David Koisikir
11. Ex-off Chairman Group Ranch

Olmontonyi forest and willife association

1. Francis Ole Nenkuseyo
2. Peter Kunasei
3. Samuel Sakaja
4. Kuresoi Ole Naisuaku
5. Ynantai Samperu
6. Tranka Leto
7. Sariku Nkaliyia
8. Talala Koikoti
9. Noolkitoip Antony
10. Nooseuri Kanoi
11. Noosisi Ole Ngutie

Olootopisianoi (Pusangi) Forest Conservation Committee

1. Opiyo Ole Naginda (chairman)
2. Shadrack Ole Seiyo (secretary)
3. Saitoti Ole Kimeita (treasurer)
4. Tumpes Ole Naginda
5. Munyenye Ole Kashan
6. Kintungat Ole Karia
7. Mashau Kikanai
8. Ole Tanjenuo Mamai
9. Oloorugaa Oloolkiroro
10. Ole Korore Koila
11. Mosori Ole Naginda
12. Yianto Ole Seyio
13. Ole Sulel Mamai

Olkirriruki/ Olorok Soito forest and willife committee

1. Ole Mbirika Kakui
2. Samuel Naiduya
3. Antony Mpeti
4. Francis Mopel
5. Ole Mampai
6. Samuel Naikada
7. Peter Kokui
8. Ole Sayialel Parmeres
9. Sasi Oloolgiso
10. Mataro Noomisigiyio
11. Noolmirisho Nkilapus

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Appendix 2

Dates and areas of seminars

Venue	Date	No. of participants
Sitoka	10.03.	76
Pusangi	11.03.	49
Olkiruki/ Olorok Soito	13.03.	cancelled by TCC
	16.03.	not recorded (about 25)
Kawai	14.03.	53
Sitoka	20.03.	not recorded (about 40)
Nenteke/Laila	21.03.	79
Olalui	22.03.	34
Olmontonyi	24.03.	77
Olomismis	02.04.	105
Ilokwaya	03.04.	16
Esoit Naibor	04.04.	39
Kirindon	05.04.	failed

Transmara Development Programme

"Going step by step"

Implementing the community based and integrated development approach

People's
Participation in
Development
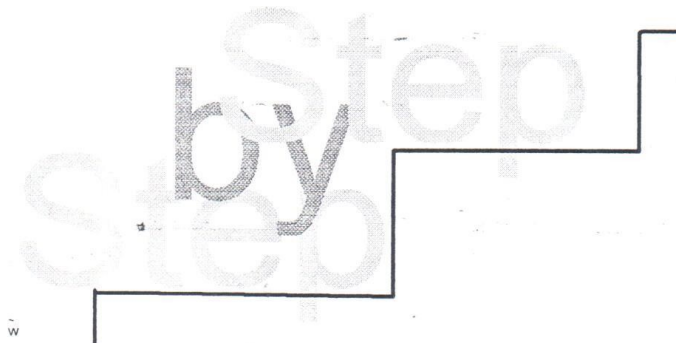
Transmara, December 1996

Preface

This paper documents the outcome of a two weeks discussion between the different actors involved in the community based, participatory development approach in Transmara District on the occasion of a consultancy mission. The objective of the consultancy mission was to jointly develop together with the TDP team strategies and methods of more effective support to self-help projects, which had been identified and prioritised by communities during the PRA phase of the PID process.

The paper is based on the TDP position paper about the actual status of a concept for participatory and integrated development (PID) of May 1996. For those who are not familiar with the PID concept of TDP, reading the position paper is recommended. The paper on hand is also based on a report of a workshop on strategies for community based/participatory approaches in the Kenyan set-up, taken place at Naru Moru River Lodge in July 1996. Having a look at this report is also recommended.

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Content

1   Overview

The implementation of community based projects takes more time and is more difficult than it has been assumed in the beginning. All role players like the communities, the technical service providers and the advisory team within TDP are facing role specific weaknesses that have to be overcome.

Community based projects are difficult to implement.

An appropriate community based approach for Transmara has to take these limitations into consideration. One important aspect is the division of the approach into stages (with each stage having different steps). This will enable the parties involved to concentrate on the tasks that are needed at the moment. A next stage will only be entered once the objective of the current stage has been reached. It is now obvious when a certain party does not fulfil the expected tasks (the stages and the respective roles are given in chapter 3.4 of the paper at hand).

Going step by step makes the implementation easier and more transparent.

Although the situation within some communities is not very conducive to the community based approach, the more limiting factor are the GOK service providers. In future services should be 'bought' from those providers that are most effective. GOK services are no longer a must.

GOK services are not a must.

The subsidy fund of TDP can be used to support community based projects. The stages mentioned above will give the minimum requirements for the release of funds to a certain project. Additional considerations on the management of the subsidy fund have been made by TDP and are given in this paper.

TDP sets a strategy for the use of he subsidy fund.

The question of how far TDP should get involved into the institution building in the communities is not yet solved. Already the linking of technical service providers with the community for the purpose of community based projects is a very demanding challenge and requires full community participation. Nevertheless the objective of building up a management body on community level that is supposed to initiate and run community projects should not be put aside.

There are different grades of community participation.

For the current project phase this paper outlines specific and practical recommendations on how to proceed with the communities in the five cluster areas and with the District wide programmes as far as community based development is concerned.

Practical recommendations for the current phase.

2 Rough assessment of the experiences with the community based approach in Transmara

2.1 Assessment on community level

Inducing factors on community level

- Mobilisation;
- CAPs;
- Tree nurseries in Shangoi;
- Tse-Tse traps in Olepikidong'oe;
- Kitchengardens in Sitoka;
- There is an awareness about having own potential (human, physical).

Hindering factors on community level

- There is lack of having somebody with stamina walking around, taking the lead to mobilise and motivate/animate people (resource mobiliser);
- There is a lack of organisational and technical skills;
- Projects chosen by the communities do not go together with the available (financial) resources;
- Chiefs and councillors have their own way of thinking (own agendas). This results into a splitting of the community into different groups/clans (so-called political interference);
- Men are hindering women advancing!
- The expectations are very high and unrealistic. This causes a too long decision making process, because the input (organisation, skills, money, labour) required by the community is very high;
- There is no co-ordination of different agencies acting in the community. They even have conflicting/confusing approaches;
- Destruction of crops and livestock by wild animals.

2.2 Assessment on GOK - service provider level

Inducing factors on District and divisional level

- District CRIPS;
- Divisional CRIPS in Kirindon, Lolgorien;
- Some committed people;
- DSDO is the co-ordinator of the District CRIPS;
- Mobilisation of officers;
- Motorcycles provided by TDP;
- Skills in participatory approaches;
- NGOs are represented (African Gospel Church);
- Community members are members of divisional CRIPS team (Julius Melubo).

Hindering factors on District and divisional level

- No frequent/regular CRIPS meetings;
- People are tired of meetings because they are not productive;
- Many joyriders - officers are not committed and not serious in the implementation of the programmes (design and monitoring of workplans);
- Misuse of motorcycles;
- Allowances ("scapegoat");
- The active people are overloaded;
- There are still a few committed people who are not involved yet;
- There is a missing link between the divisional and the District staff. People needed in the cluster are delegated to other places;
- The chance for the officers of „putting something aside" is minimised by going PID (this is something very positive, but it prevents people from getting involved);
- Unfeasible policies: An officer can not shift activities from one place to the other;
- Risks for the own career because the officers have no backing from superiors;
- Once an officer faces a certain problem in the community that he can not solve immediately, he tries to avoid it ("everything is fine"), because he does not want to commit himself;
- Some officers do not understand the approach completely, some do not agree to the approach;
- District officers want to implement themselves on locational level instead of delegating (particular interests);
- District CRIPS is more prone to political and administrative interference: Councillors, chiefs, assistant chiefs are lobbying for their own areas/interests; TDP administration in Kilgoris is running parallel programmes;
- The District steering committee is partisan/biased towards programme co-ordinator and against GTZ;
- No supervision of programme activities (process) in cluster areas after PRA by the District CRIPS;
- The District CRIPS is weak and the atmosphere is already tense because of community participation;

2.3 Assessment on NGO level

There are few NGOs active in the District and most of them are churches. Most of these churches follow up their own interest in getting new followers and therefore are competitors. In addition the churches usually concentrate on a specific area within the District. A co-operation with NGOs is therefore only possible where the project identified by the community is in line with the service offered by the NGO and where the community belongs to the area of intervention of this NGO. At the same time the NGO has to share the community based approach. Experience showed that NGOs entered communities after the PRA workshop neglecting the PRA results and only doing business as usual.

Nevertheless there are some NGOs offering services of good quality. TDP should establish a better flow of communication with these NGOs (like St. Joseph's Hospital) in order to strenghten the co-operation and to start more joint ventures, especially in the area of community based health care (CBHC).

Some NGOs seem to have the problem of no or misunderstanding TDP's role in the District.

2.4 Assessment on GTZ advisory team level

Inducing factors on TDP (GTZ advisory team) level

- Committed staff;
- Visions/ innovations/ seeking for knowledge;
- Mediating role;
- Infrastructure;
- Budget.

Hindering factors on TDP (GTZ advisory team) level

- No mandate for coming up with workplans and implementing them;
- Sometimes overreaction to provocative (political) statements;
- No clear roles/responsibilities/concepts of how to approach the communities - no practical concepts for implementation of community projects;
- No concept of how to use the subsidy fund;
- At the moment there is no mandate for employing facilitators for the cluster level (should be negotiated with the government);
- Sometimes lack of integration amongst the advisory team;
- M+E system is installed, but less effective:

  Recommendation: Reporting should be done by CRIPS (div. distr.) that is able to achieve an effective M+E. The community has to be involved into the M+E system.

The first approach is mainly focused, whereas the second approach starts unfocussed followed by focused activities. Both approaches share the same problem of bringing appropriate services to the community.

Certainly there are many possible ways in-between those two approaches. The advantage of the first approach is that the project can concentrate on those activities/sectors it is already successful. Concerning the community this approach is easier to be carried out. The approach requires only the involvement of a certain group of people for a specific community project. There are no difficulties like political interference, because all activities are more or less subject matter related. It is relatively easy for each party involved to understand his or her role.

The second approach is more challenging and requires much more organisational talent by the RRD programme, the community and the service providers (but especially by the community). The approach may cause/uncover conflicts within the community that need to be solved before continuing.
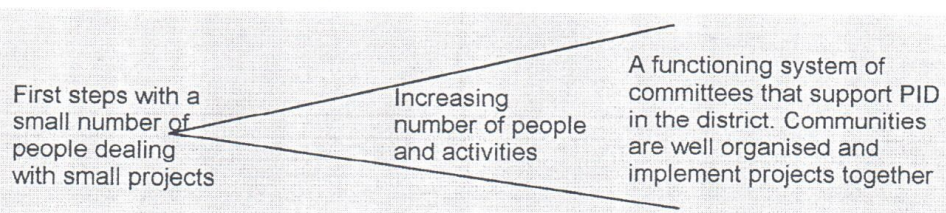
On the long run sustainability is better ensured by the second approach, but the first approach can be gradually transformed to the second approach. The success of single community based projects can encourage the community to come together and plan/organise own development activities. This should enable the community later-on to face more difficult projects, like the management of communal forests and the clarification of landownership.

With the PID (Participatory Integrated Development) approach TDP was intending to realise the second approach. So far the experiences have shown that this is a very demanding task. There is need for making adjustments to the PID approach.

3.2   Changing the direction of viewing

There were two major problems with the community based PID approach: a) The roles are not really defined/clear to both, the officers and the communities. There is need for clear responsibilities. b) There are too many „joy-riders" in the approach. There is need of identifying those government officers who are really committed to the approach. It is better to have less people, but only those who are active.

PID as it has been designed by TDP is not working. The designed structure having CRIPS on District and Division level and EACs and CACs on community level is very demanding and not possible to be achieved right now. In order to set the ball rolling it will be necessary to get some few successful examples realised on the ground, even if they are small. This will hopefully encourage people to get involved and fill the (still theoretical structure) of PID with life.

| First steps with a small number of people dealing with small projects | Increasing number of people and activities | A functioning system of committees that support PID in the district. Communities are well organised and implement projects together |

There are two directions of looking at the community based approach. The CRIPS teams look at it from the side of the government: How could the government be organised in order to reach the communities and why are the government services not reaching the communities? Due to the fact that despite of many efforts in the past, the government services are not reaching the basis, the view from the side of the community might be more effective at the moment. What is on community level really required from the government in order to get something done on the ground?

a) Government → Community — How to organise the service supply?

b) Community → Government — What is really needed?
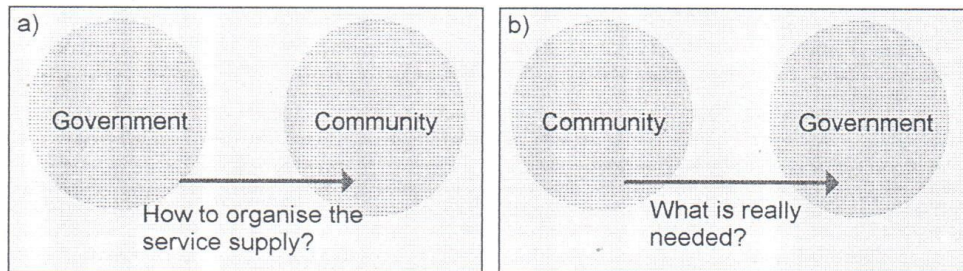
Although for a functioning PID approach both views are important, at the moment the second view, from the direction of the communities, is more appropriate.

3.3 Self-help promotion

TDP should only complement community activities. The stress lies on self-help. The right understanding of self-help in the communities can not be achieved by explaining it to community members. They will always expect more input from TDP, because this is the way they have experienced development work. The right understanding of self-help has to be generated through practical experience with (for the beginning) small community based projects. These projects need a process facilitation from outside the community. Once the communities have an idea of the procedure of self-help projects and the different roles required, they can undertake projects without intensive facilitation and start bigger joint ventures with TDP.

Another point is that the communities need more guidance by selecting appropriate projects that go together with the limited resources. Big infrastructural projects that need a lot of input from outside are not feasible.
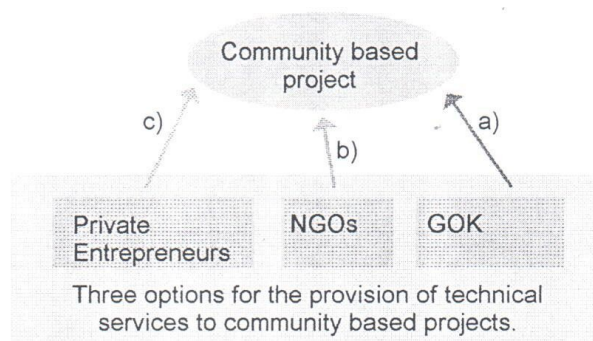
If the communities insist on unrealistic big projects, the reason must be found in the way, PRA has been conducted. The understanding of PRA within TDP should be discussed again and an appropriate design of using (other) tools in a different sequence should be found. Tools can be borrowed from other participatory approaches. A problem identified by the community through an open minded/unfocussed PRA has to be followed up by a focussed discussion process.

PRA workshops should be seen as part of a sequence of various events. In the first initial workshop not everything has to be discussed in full. The workshop should be seen as a starting point wherefrom other activities can continue.

3.4 Service delivery

Once an appropriate community based project has been identified by the community and the input required from outside (like a specific service) is known, there is still the question, who will deliver this service to the community? Who has the capability for this? In most cases the GOK services are not ready to do it as experience has shown.

The community and TDP through its facilitating role should identify other options once the GOK solution is not feasible (see figure below). The best possible option (in terms of quality and price) should be selected.

Community based project

c)   b)   a)

Private Entrepreneurs   NGOs   GOK

Three options for the provision of technical services to community based projects.

Training should be provided only for those officers (from GOK and NGOs) who performed well and are committed to the community based approach. Training should no longer be seen as something that can be taken for granted but as a privilege.

3.4 Stages, steps and roles of a community based development project

Apart from a different direction of viewing there is need for a better design of community based projects. This design should clearly fix roles and responsibilities. At the same time it should give detailed steps/stages as a guidance for the implementers. The following stages of a community based project have been developed by the GTZ advisory team within TDP and are supposed to be used for any community based project funded by TDP. The roles of the various actors are clearly defined. A project will not get into the next stage of the process unless the objective of the current stage has been reached.

Stage	Roles/responsibilities of different groups of actors		
	Community development and self-help promotion actors (PA)	Community (C)	Technical service providers (TSP)
Pre-step: Framework conditions for community based development in the selected area	• Define own objectives • Assess policy- and legal framework conditions • Assess capacity for intervention (own/community/TSP) • Resolution and agreement with the TSP • Consult local leaders • Establish a communication for easy flow of information (include DDC system) - roles and actors should be clear.	• Local leaders to be consulted and to prepare people for the community based approach	• Commitment to co-operate
At the end of the step the parties involved have to share the same understanding on what has been achieved. They have to make resolutions for the next steps to be taken.			

Stage	Roles/responsibilities of different groups of actors		
	Community development and self-help promotion actors (PA)	Community (C)	Technical service providers (TSP)
1. Identification (needs- and problem analysis)	• Link TSP to the community to assess the needs (PRA workshop). • Clearify whether you are dealing with a genuine target group - have a clear understanding of the community target group. • Make sure that the questions 1.1 - 1.3 are answered. • Make sure that there is a basic understanding that we are talking about self-help driven projects.	• Willingness to participate in the whole process • Accept own responsibility • Openness	• Committed person should be qualified and capable to accompany the process • These persons communicate needs to their institutions/organisations

Questions to be answered/issues to be tackled in stage 1:

1.1   What is the core problem you are facing?

1.2   What is the extend of this problem?

1.3   What are the reasons for this problem?

At the end of the step the parties involved have to share the same understanding on what has been achieved. They have to make resolutions for the next steps to be taken.

Stage	Roles/responsibilities of different groups of actors		
	Community development and self-help promotion actors (PA)	Community (C)	Technical service providers (TSP)
2. Preparation (solution analysis and conceptual planning)	• Make sure that the steps 2.1-2.7 are followed and the results are documented and communicated to the responsible PA team (member). • If problems are encountered in community participation, back-up services by PA should be provided. • Community members identified are representing the community - support formation of committee or group.	• Community has identified responsible members.	• Select somebody who can provide communities with needed technical information and has appropriate skills to deal with community based projects (TOT-skills). • Document the discussion process.

Questions to be answered/issues to be tackled in stage 2:

2.1 How did you try to solve this problem?

2.2 Did you succeed? If not, why?

2.3 What other options are open to you?

2.4 Who are the beneficiaries for each option (be specific)?

2.5 What are the resources needed for each option?

2.6 What can you say about the availability of the resources for each option? What can you contribute to each option and where is assistance needed from outside?

2.7 What can you say about the costs for each option? (cost-benefit analysis - input-output analysis)

2.8 What can you say about the benefit you expect from each option?

At the end of the step the parties involved have to share the same understanding on what has been achieved (agreement on process documentation done by the TSP). They have to make resolutions for the next steps to be taken.

Stage	Roles/responsibilities of different groups of actors		
	Community development and self-help promotion actors (PA)	Community (C)	Technical service providers (TSP)
3. Appraisal and selection (strategic planning and design)	• Make sure that the selected option is in line with own objectives and resources. • Needed steps have been identified and adequately covered. • Assist community in linking-up with appropriate service providers. • See that reports from TSP are specific for clear resolutions and agreements.	• Selected beneficiary group(s) back/commit themselfes to the identified option and select members for implementation. • Selected beneficiary group(s) inform their leaders and the DDC system on the project.	• Provide needed technical input with regard to designing the project. • Back and commit themselves to the selected project and appoint officers/members for implementation. • Responsible for documentation and reporting.

Questions to be answered/issues to be tackled in stage 3:

3.1 Which is the best possible (with the stress on self-help) option?

The community decides, which option should be followed up.

3.2 What tasks (activities in a rough way) are to be performed in order to realise the best possible option?

3.3 Who are the beneficiaries and who is involved in the project from the community side?

3.4 Who are the specific actors involved from the TSP side?

3.5 Location of the project and land ownership/user-rights

3.6 What are the real expected costs for the best option?

The service providers develop a design for the selected project and consult the community by doing this

At the end of the step all actors agree on the basis of the prepared technical design and identified resources on the **plan of action.**

Stage	Roles/responsibilities of different groups of actors		
	Community development and self-help promotion actors (PA)	Community (C)	Technical service providers (TSP)
4. Implementation and control (operational planning, implementation and monitoring) (For the structure of the operational plan, please see the following page.)	• Initiate the operational planning process in the community (1-2 days workshop). The involvement depends on the complexity of the project. • Make sure that assignments/tasks are very specific to enable appropriate reporting. • Provide overall co-ordination of project implementation (*provided TDP structure has build up accordingly*). • Link implementing actors with their relevant authorities. • Secure the contract/memorandum of understanding. • Use approved operational plan for final approval by the community. • Secure implementation of detailed workplan(s).	• Community action committee (EAC/group) take full responsibility for assigning tasks to community members for their commitments. • Maintain records to follow-up services by the TSPs. • Provide needed back-up for TSPs in the community (security, housing, etc.). • *Community conduct site/review meetings with supporting partners as planned.*	• Make sure that assignments are allocated accordingly. • Provide necessary reports as specified.
Questions to be answered/issues to be tackled in stage 4: 4.1 What can the community contribute? 4.2 Which service and external support is needed from outside? 4.3 Responsibilities of community/ service provider and external supporter (names) 4.4 Time plan 4.5 If training is required who will be trained on what by who?		4.6 Summing up point 4.1 to point 4.9 into a contract/memorandum of understanding. Identify who has to sign the contract (see point 4.7) and sign it. Use the approved operational plan for final approval with the community for implementation. 4.7 Monitoring of the fulfilment of the contract. Monitoring is done by the community (visitors book and a calendar where activities can be documented in a brief way), the service providers (field book). 4.8 Clearing funding regulations and financial control is part of the monitoring.	
Full handing over of project/ project closing / either a report or a function.			

Stage	Roles/responsibilities of different groups of actors		
	Community development and self-help promotion actors (PA)	Community (C)	Technical service providers (TSP)
5. Follow-up (evaluation and replanning)	• Follow-up on pilot projects. • Building up self-evaluation capacity of the community. • Self-evaluation of own role in the project process.	• Self evaluation of the project • Maintenance of the project • Seek for advice/services/support from outside when needed. • Take full responsibility of the project. • Identify new areas for co-operation with PA and TSPs.	• Evaluation (using own format) • Assisting the community in identifying new projects. • Develop extension messages to replicate (for use) in other communities. • Maintain contacts as a routine assignment.

Operational plan:

Activity	Time	Responsible for activity	Input	Costs of input	Responsible for input

(see also concept for PID, page 18)

Planning stages and interaction of relevant actors in the process of a community based project

Stages	Involved actors		
	CD/SH promotion actors	Community	Technical service pro-viders
Pre-step		Framework conditions for community based development in the selected area	
1. Identification		Analysis of needs and problems	
2. Preparation		Analysis of possible solutions and conceptual planning.	
3. Appraisal and selection		Strategic planning and design	
4. Implementation and control		Operational planning, implementation and monitoring	
5. Follow-up		Evaluation and replanning.	

3.5   Practical example: Kitchen garden project in Sitoka

During the PRA workshop people in Sitoka expressed their interest in the following areas of development: School; Kitchen gardens; Spring protection; Traditional Birth Attendants (TBA) and Community Heaths Workers (CHW).

The analysis of the problem "unbalanced diet" resulted into the plan of the community project: "Kitchen Gardens". In order to plan this community based project properly, the following stages should be taken together with the community. The answers given in *italics* after the questions should be taken as examples only. They have been elaborated together with the divisional CRIPS team in Kirindon.

1   Identification

1.1   What is the core problem you are facing?

1.2   What are the reasons for this problem?

Lack of vegetables, lack of unbalanced diet cause human diseases in the community.

1.3   What is the extend of this problem?

Widespread in the community

2   Preparation

2.1   How did you try to solve this problem?

a) Buy vegetables from the market; b) treat diseases; c) traditional doctors.

2.2   Did you succeed? If not, why?

a) far and expensive, not reliable; b) not reliable, expensive, far, not sustainable; c) same as a and b, not effective.

2.3   What other options are open to you?

Grow our own vegetables/kitchen gardens (individuals, neighbours, groups).

2.4   Who are the beneficiaries for each option (be specific)?

Only one option is here to be mentioned: group of nine families having their own kitchen gardens to grow vegetables for human consumption. The neighbours of these families who might get vegetables from them through butter trade. barter

2.5   What are the resources needed for each option?

Seeds, land, tools, pesticides, labour (time), skills, favourable weather, timing, fencing material, capital, transport, oxen, water.

2.6   What can you say about the availability of the resources for each option? What can you contribute to each option and where is assistance needed from outside?

Available in the community: land, water, weather, tools, labour, fencing material, oxen, some capital, timing.

Not available in the community: Skills, timing, seeds, pesticides, certain tools, some capital, transport.

2.7   What can you say about the costs for each option? (cost-benefit analysis - input-output analysis)

Approximately labour (in days) in one year for nine kitchen gardens: clearing (9), fencing (54), preparing the ground (54), watering (300), spraying (11), seeding (18), transplanting (36), weeding (72), harvesting (54) = 608 day = 67 days per family in

- *Practical work in the kitchen gardens: the nine families (names)*
- *Design for the training: TDP advisor of crops and farming system department, 2 officers in Kirindon (names)*
- *Advice to kitchen garden owners: 2 officers from Kirindon[2]*
- *Advice to women in cooking: 1 person from Home Economics (name)*
- *Farmer group mobilisation: Pastor of the community (name)*
- *Allowances: TDP*
- *Transport and procurement of material: The nine families*

4.4 Time plan

See the table below. Make sure that there is room visits without any determined purpose - "ready for the unexpected"

4.5 If training is required who will be trained on what by who?

Two block trainings: Establishment of kitchen garden; Management of kitchen garden. Both trainings are for men and women. Conducted by the department of agriculture

One Block training: Utilisation of kitchen garden products. This training is for the women of the nine families. Conducted by the department of home economics.

Activity	Time	Responsible for activity	Input	Costs of input	Responsible for input

Fill out this table thoroughly after having the design for the training (s).

4.6 Summing up point 4.1 to point 4.9 into a contract/memorandum of understanding. Identify who has to sign the contract (see point 4.7) and sign it. Use the approved operational plan for final approval with the community for implementation.

4.7 Monitoring of the fulfilment of the contract. Monitoring is done by the community (visitors book and a calendar where activities can be documented in a brief way), the service providers (field book).

4.8 Clearing funding regulations and financial control is part of the monitoring.

5 Follow-up

5.1 All parties involved check regularly whether there is need of adjustment of the operational plan. If yes they agree on the necessary changes.

At the end of the project (after one year - in the planning phase agreed), all parties involved evaluate the project and identify needs for new plans.

Community project is sustainable implemented in the routine structures.

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[2] In most cases there will be no need of going with two persons from Kirindon to Sitoka.

3.6 TDP commitments and the subsidy fund

Questions that need to be answered:

a) What is the subsidy fund?

b) For which purpose do we want to use it?

c) How to administer it, when do we allocate it, under which conditions, how is it approved?

The subsidy fund:

- is a flexible fund which is not tied by the ZOPP;
- is not to be used for own implementation;
- needs a partner (NGO, Institution without own funding system) organisation or group for implementation;
- is allocated as a lump-sum to community projects;
- The bookkeeping has to be done by the implementing structure;
- Responsibility of budget control has to be handed over to implementing partners but the fund holder will still take over a controlling role;
- Single projects can not exceed a 100.000,00 DM;
- No limit a the bottom.

The purpose:

- Only for community based projects the subsidy fund can complement community contribution and pay community project related services;
- The subsidy fund is a tool under control of TDP for pilot measures.

The strategy:

- Develop replicative models for funding through agencies (service providers);
- Concentrate on cluster areas;
- Leave the possibility of supporting projects outside the cluster, once these are pilot projects or projects that have a broader area coverage than a cluster (forest, wildlife, associations, etc.) or where community initiatives follow the prescribed procedure of stages;
- Projects should only be funded that we have an implementing capacity for or where this capacity can be drawn in from outside;
- No funding without design;
- Set a priority list of types of projects that are able to be funded;
- Define criteria for funding, like:
  - Projects go through planning stages,
  - Projects have an implementing body,
  - No individual projects,

- communities have to contribute at least 25% of the total input (money, material, labour),
- Resource to be developed is owned by the community,
- Landownership and user rights are clear;
- Form a *subsidy fund allocation committee* to review community applications derived through the prescribed process of planning. The committee sets the criteria for funding;
- Lobbying for other funding sources e.g. EU, SDD, KWS wildlife fund, etc.;
- Joint funding of different sources;
- Subsidy fund allocations have to be communicated to the DDC system;
- Make funding allocations and criteria transparent and accountable;
- Only funding when maintenance costs are secured by target group;
- Disbursement of allocated funds according to performance;
- Community chooses service providers;
- Only direct community project funding.

3.7 Community based project and the roles within the GTZ/TDP advisory team

3.7.1 The GTZ structure within TDP

Germany → Bilateral Agreement ← Kenya

GTZ — Ministerial and District Steering Committee — MoALDM

Advisory Team — GoK Coordinator

C o m p o n e n t s

Livestock Development	Farming System and Crops	Community Development	Land Use Planning and NRM	Distr. Planning + Infrastructure
• Dept. of Livestock Production • Dept. of Veterinary Services • KARI • NGOs	• Dept of Agriculture • District Farming System Team • KARI • NGOs	• Ministry of Culture and Social Services • Ministry of Co-operative Development • Dept. of Health • TCC • NGOs	• Dept. of Forestry • KWS • Ministry of Water • Soil Conservation • Ministry of Lands • NGOs	• Ministry of Planning • Ministry of Works • DDC • DDO • DEC
Livestock breeding Livestock nutrition Range Management Contact herder Apiculture Tse - Tse Control Livestock Marketing Research	Crop Diversification Farming System Dev. Research and trials On farm storage Water harvesting Energy saving devices Draught animal technology	Self help projects Group promotion Co-ordinate groups NGO support Support Organisations	Tree nurseries Land use planning Soil and water conservation GIS system Natural resource management Coordinate actors	Lobbying for funds Infrastructure: water, roads District planning

I M P L E M E N T A T I O N

C o m m u n i t y   P r o j e c t s

3.7.2 Limitations of current structure

Structural limitations

- GTZ advisory team is not allowed to work directly/implement with the community. They have to go through an intermediate and do not have the capacity to implement pilot projects;
- Top-heavy partner structure. Local level staff lacking;

- Available structures are tuned to a top-down system.

Limitations of the performance within the structure

- capacity of staff on the ground inadequate;
- Co-ordination of overlaps on advisory level (GTZ) and implementing level is insufficient;
- PA structure is not linked with TSP structure on GTZ level;
- Even those PA and TSP structures are often not linked with the community structures;
- Vertically the delegation of responsibilities is not taking place (GTZ/GOK).

3.7.3 Different roles within the advisory team with regard to community based projects

The community development department together with the respective technical departments is preparing the ground for community based interventions to achieve the results given by ZOPP.

The GTZ advisory team will accompany the process through all stages of a community based project.

In technical projects the technical departments within the GTZ advisory team take more and more the directly link to the communities as they proceed in the process. This means at the same time that the community development department is slowly by slowly withdrawing responsibility the further they get in the process of implementing a specific community based project.
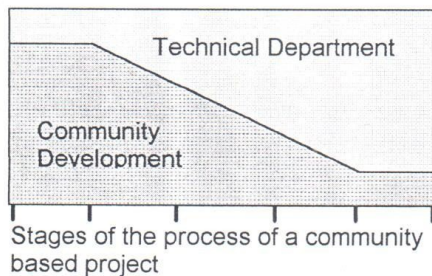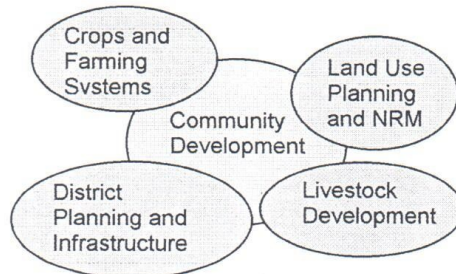
Detailed tasks within such a process can only be specified through a practical project. Before starting a project both, the respective technical department and the community development department, are responsible to take action and to plan together the roles of both departments for all stages of the planned project. This bilateral venture will then last as long as the project duration. In the case of a multisectoral project, more than two departments can be involved in the process. The figure above shows the intensity of involvement of the community development department and the technical departments within TDP during the project process.

3.7.4 Proposals for adjustments to the team

The lower the level of a community project and the more the number of community projects the higher will be the need for advisory services because of lacking implementing capacity at local/service provider level and because of lacking self-help/organisation capacity of the community and groups.

To overcome this limitation it is essential to build up a gap-filling support structure. This is just an interim structure with no roles then to interlink the actors involved.

A solution for this should be to employ "development mediators[3]" for each of the five divisions of the project area.

Job description for the "development mediator":

- "Wo/man in the middle" - interlinking the community and service providers securing the community based integrated approach;
- She/he secures that advisory services are equally available to all actors of the community development project;
- He/she is physically present to be reachable by the community and the service providers (has to be mobile);
- Community mobilisation and motivation;
- No gate keeper but facilitator;
- She/he ensures that all groups of beneficiaries are involved/approached in a community;
- Function as a supporting communication agent for development;
- Provide organisational assistance to service providers;
- Represent TDP in all agreement making fora on community project level.

4   Practical recommendations for TDP in the area of community based development

4.1   Short term recommendations

Next steps to be taken in the five clusters and outside the clusters in the area of community based development and the respective responsibilities (LD = Livestock Development; FS = Farming Systems, NRM = Natural Resource Management, DP = District Planning, CD = Community Development):

---

[3] There are many names for the same function circulation in Kenya. There is need of comming to a common term.

Community based activity	Advisory departments[4]				
	LD	FS	NRM	DP	CD
OLOPIKIDONG'OE CLUSTER					
Tse Tse program will continue in all 7 elatias	●				○
Concentrate on small other projects that are not influenced by political interference (e.g. human water). Concentrate on 2 elatias from conflicting party areas (Kilae, Ololmongi).					●
CBHC - package: Select the committed partners for implementation (NGO, St. Joseph's, Rural Water -Kisi, CEDEMO).		○			●
Prepare projects that involve more people (livestock water) and let them take off once the circumstances are conducive.	○	○		○	●
Only assist communities in forest and wildlife issues if a request is coming.			●		
Continue pilot trials in pasture development without extending.	●				
People from Olopikidong'oe might be involved into district wide programmes on livestock development.	●				
Try to use the Tse Tse programme to revive the idea of a community centre. Try to involve other activities taking place in the cluster.	○				●
SITOKA CLUSTER					
Continue (re-design) kitchen garden project; Citrus fruits.		●			○
The other parts of the CBHC package (result 7.2-7.4) will continue. Parts of these activities are: TBA, CHW and human water.		○			●
Continue pasture development trials	●				
Continue beekeeping activities.	●				○
Continue steer-fattening.	○				●
Continue boma level training for contact herders.	●				
Continue road construction.				●	○
Start (continue started) forest activities.			●		○
School planning (continue activities).					●

---

[4] ● = mainly responsible; ○ = involved

Community based activity	Advisory departments				
	LD	FS	NRM	DP	CD
SHANKOE CLUSTER					
Continue tree nursery activities.			●[5]		
Continue kitchen gardening; Citrus fruits in those elatias where the communities are already active.		●			○
Continue/start the other parts of the CBHC package (result 7.2-7.4) only in those elatias where the communities are already active.		○			●
Involve communities in district wide livestock development programmes as planned.	●				
Discuss soil and water conservation programme.		●	○		
Continue road construction.				●	○
Follow-up tree issues.		●			
SHARTUKA CLUSTER					
Start the community service centre activities.			○		●
Continue tree nursery activities.			●		
ENOSAEN-NKARARO CLUSTER					
Complete PRA activities.	○	○	○	○	●
DISTRICT WIDE PROGRAMMES					
Tree nursery.			●		
Forest/wildlife.			●		○
Kitchen gardens.	●				
Banana balking, citrus promoting, *home economics,* appropriate technology.		●			
SWC.		●			
Bringing together existing groups (beekeeping, steer fattening) into associations or co-operatives.	○				●
Support co-operatives co-ordinating programme on district level.					●
Bringing NGOs together in a co-ordinating forum.					●
Contact herder programme, beekeeping, livestock nutrition, livestock breeding.	●				
Crush rehabilitation (small scale) complete old plan and review approach.	●				

[5]   ● = mainly responsible; ○ = involved

General strategy on a short term basis:

- For each joint venture of LD, FS, NRM, DP, CD clearly define who to do what and when - make a workplan;
- Disentangle the CBHC package. Who to take care of which element (e.g. kitchen gardening to be taken care of by FS) and who to co-ordinate the package;
- Look for appropriate partners and start negotiations;
- Get some models for community based projects running;
- Make TDP's vision/approach for community based projects transparent to other partners;
- Secure local capacity building on a continuous process;
- Support the CRIPS where it is active;
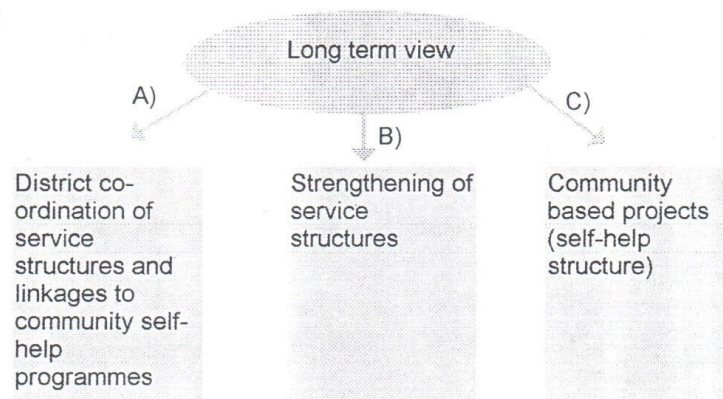- Continue with other pilot trials.

4.2 Long term recommendations (next phase and beyond)

The question, whether the community based approach is recommendable and if yes, for what type of activities, is not yet fully answered (first or second approach or somewhere in-between - see chapter 3.1).

Find strategies for sector specific approaches (area coverage, inside-outside the clusters, communication, staffing, finances, co-ordination, involvement of external - non - governmental - institutions).

GTZ advisory team's role is to safeguard that the technical implementation is community based.

There are three elements (A/B/C) of the long term view as given in the figure below:

```
                        ╭─────────────────────╮
                        │   Long term view    │
                        ╰─────────────────────╯
         A)                      │                     C)
                                 B)
  ┌──────────────┐      ┌──────────────┐      ┌──────────────┐
  │ District co- │      │ Strengthening│      │ Community    │
  │ ordination of│      │ of service   │      │ based projects│
  │ service      │      │ structures   │      │ (self-help   │
  │ structures and│     │              │      │ structure)   │
  │ linkages to  │      │              │      │              │
  │ community self-│    │              │      │              │
  │ help         │      │              │      │              │
  │ programmes   │      │              │      │              │
  └──────────────┘      └──────────────┘      └──────────────┘
```

Activities	Element
Institution building on beneficiary level - community and above - (e.g. Transmara Association of Beekeepers).	C
Build up staff and capacity for community based self help (e.g. CRIPS). Build up supporting structure within GTZ advisory team and TDP.	A/B
Maintain flexibility in the budget to react to community plans and performance capacity of counterpart agencies.	A/B
Strong training and consultancies to support programme activities.	B
Technical capacity building within communities.	C
Assessment of performance on institutions/agencies and their staff. Communities should be free to choose the best services.	B
TDP should have the freedom to carry out pilot (policy supporting development concept) trials.	A/B/C
Develop a strategy to decentralise the contact herder approach and build up capacity for delivering services within the community.	B/C

Transmara Development Programme / Kenya

Project Progress Review

Volume 1: Report

on behalf of the

DEUTSCHE GESELLSCHAFT FÜR TECHNISCHE ZUSAMMENARBEIT (GTZ)
GmbH, Eschborn
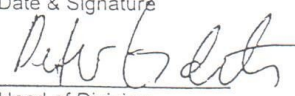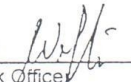
Report approved as presented:
Date & Signature

Head of Division

Date & Signature

26/08/97

Desk Officer

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FOREWORD

A project progress review is always dependent upon the contributions and willingness of all partners to share their knowledge with the team. People are subjected to long discussions and meetings, they are often required to work beyond the normal call of duty in order to assist the review team. More importantly, much of their normal work remains unfinished because of the time they have to spend with the review team either in the offices, during field visits or during the planning workshop.

For their active cooperation in sharing valuable insights into the operations in Transmara and for all of the important information which they provided, the PPR team would like to thank them all for their hard and sincere work. Particular thanks also to the TDP team who provided the necessary logistical support. Last but not least, special thanks need to be extended to the community of Transmara who always welcomed the team openly during their field visits and who took time to explain their developmental issues.

Nikolaus Schall
Agnes Abuom
James Tendwa
Bertus Kruger

List of Abbreviations & Acronyms

AHA	Animal Health Assistant
AIE	Authority to Incur Expenditure
AP	Action Plan
ARO	Assistant Range Officer
ASIP	Agricultural Sector Investment Programme
AWP	Annual Work Plan
CDA	Community Development Assistant
CRIPS	Committee Responsible for the Implementation of Participatory Strategies
DAEO	District Agricultural Extension Officer
DAO	District Agricultural Officer
DC	District Commissioner
DDC	District Development Committee
DDLP	Deputy Director of Livestock Production
DDO	District Development Officer
DDP	District Development Plan
DDVS	Deputy Director of Veterinary Services
DEC	District Executive Committee
DFRD	District Focus for Rural Development
DIDP	District Integrated Development Program
DISC	District Intersectoral Coordination Committee
DIU	Divisional Implementation Unit
DLEC	District Livestock Extension Coordinator
DLEO	District Livestock Extension Officer
DLMO	District Livestock Marketing Officer
DLPO	District Livestock Production Officer
DO-1	DC-Deputy
DSDA	Divisional Social Development Assistant
DVDC	Divisional Development Committee
DVO	District Veterinary Officer
DWO	District Works Officer
EU	European Union
FAO	Food and Agriculture Organization (of the United Nations)
FEW	Frontline Extension Worker
FRG	Federal Republic of Germany
FSA	Farming Systems Advisor
GoK	Government of Kenya
GTZ	German Agency for Technical Cooperation
HQ	Headquarters
IFAD	International Fund for Agricultural Development
IRDP	Integrated Rural Development Project
KARI	Kenya Agricultural Research Institute
KCC	Kenya Cooperative Creameries
KLDP	Kenya Livestock Development Programme
KWS	Kenya Wildlife Service
LAB. TECH	Laboratory Technician
LDA	Locational Development Assistant
LDC	Locational Development Committee
LSDA	Locational Social Development Assistant
LUPA	Land Use Planing Advisor
M&E	Monitoring and Evaluation system
MCSS	Ministry of Culture and Social Services

MoA	Ministry of Agriculture
MoALDM	Ministry of Agriculture, Livestock Development and Marketing
MOPW	Ministry of Public Works
MP	Member of Parliament
NGO	Non-Governmental Organization
NRM	Natural Resource Management
NSC	National Steering Committee
PC	Provincial Commissioner
PDLP	Provincial Director of Livestock Production
PDVS	Provincial Director of Veterinary Services
PMU	Project Management Unit
PPO	Provincial Planning Officer
PRA	Participatory Rural Appraisal
PSC	Project Steering Committee
RRD	Regional Rural Development
SH	Self Help
SLDC	Sublocational Development Committee
SMS	Subject Matter Specialist
TA	Technical assistance
TAB	Transmara Association of Bee-Keepers
TBA	Traditional Birth Attendant
TCC	Transmara County Council
TDP	Transmara Development Project / Programme
ZOPP	Objectives Oriented Project Planning

1.   PREFACE

A project progress review (PPR) was carried out for the Transmara Development Programme (TDP) from 16th June - 4th July 1997. A team of consultants were requested to carry out the PPR on behalf of the Government of Republic Kenya and the Government of the Federal Republic of Germany. The PPR team was composed of the following members:

- Dr. Agnes Abuom, consultant, Nairobi Kenya
  (participatory integrated development PID, community based organisations, primary health care, and gender issues);
- Mr. Bertus Kruger, consultant, National Coordinator, Sustainable Animal & Range Development Programme, Namibia
  (farming systems, integration of crops, livestock development, livestock husbandry, range and pasture improvement, animal health, appropriate technologies);
- Dr. Nikolaus Schall, consultant and mission leader, Usingen, Germany
  (overall direction of regional rural development, prioritization of future programme orientation, programme concept and strategies, district planning, land use planning and natural resource management, district infrastructure);
- Mr. James Tendwa, Assistant Director, Dept. of Livestock Production, MOALDM
  (potentials and constraints of existing institutions, institutional development, as well as aspects of crop and livestock production, provision of communities with need and demand oriented agricultural and technical support services).

Central objective of the mission was to review the status of implementation of the TDP programme (compare ToRs in annex 1). The intention was to conduct the exercise in a participatory manner involving all partners in the programme. During the discussions, positive elements, possible constraints and challenges were identified. Jointly with the discussion partners approaches to resolve specific constraints which are currently hindering effective programme progress were elaborated upon in considerable detail, including necessary changes in programme emphasis for phase II. Initial discussions were conducted in Nairobi with representatives of MoALDM and various associated sectoral line departments, followed by a short meeting with the MoALDM representatives at the Provincial level in Nakuru. Eight days of intensive discussions and field visits with the sectoral line departments, district administration, county council staff, community leaders, councillors, community members, NGO representatives and the programme staff were conducted. Since discussions were held with very many people it can be concluded that a broad based and fully representative picture of the status of the TDP programme could be achieved by the PPR mission. A workshop was conducted in Kericho from 30.06.1997 to 04.07.1997 with the objective of presenting and discussing the PPR mission findings, developing an activity plan to resolve essential outstanding issues required prior to phase II commencing and outlining a tentative plan for phase II of the programme. More than forty representatives from the national, provincial, district and community level attended the workshop and all endorsed the PPR mission findings and recommendations (compare PPR schedule in annex 2). Finally, a minutes of understanding, which included the condensed PPR report, were signed by the PS and the GTZ representatives (compare annex 3).

2.   SUMMARY

The Transmara Development Programme (TDP) is a bilateral technical cooperation project carried out by the Republic of Kenya and the Federal Republic of Germany (FRG). On the Kenyan side, the Ministry of Agriculture, Live stock Development and Marketing (MOALDM) is charged with project implementation, while the German Government contribution is managed by the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ).

Implementation of the TDP programme commenced in November 1991 with a so called "orientation phase" which lasted until December 1994. In October 1994 a project progress review was conducted which resulted in recommendations for the commencement of the first implementation phase of the project from January 1995 - December 1997. The programme is designed with a 12-15 year perspective. Programme implementation is based on the project planning matrix (PPM) which was elaborated during a ZOPP-planning workshop conducted in Kericho in October 1994.

Transmara district was created in 1994. The district's rural economy offers high potential agricultural areas, extensive pastures and importantly a unique ecological system which is closely related to the famous Maasai Mara game reserve, part of which is located in the district. This unique ecological zone is characterized by interspersed forest areas, riverine forest areas and an abundance of flora and fauna, many species being unique to the area. Balancing the use and management of agricultural, livestock, forestry and game in the district poses just one of the many challenges facing the district at present. The area is also undergoing a rapid change and a transition from a well-balanced, almost exclusively livestock-based economy with extensive use of natural resources, to one focusing more on intensive and integrated forms of agriculture and livestock management. Linked to those developments are not only changes in land ownership and social structures but also excessive uses of the available resources, often leading to the destruction of water catchment areas, over-grazing, destruction of forests and partial soil erosions all of which need to be checked in order to ensure that a sustainable development in the district can be pursued.

The Transmara Development Programme was designed to smoothen this transition process and to contribute to the efficient and sustainable use of natural resources through a participatory "bottom-up" community based development approach which was seen as offering the most promising approach to development in the long term. Activities were undertaken to involve local communities as well as district administration and sectoral line departments in project planning and implementation. The TDP concept, focuses on mediating, coordinating, lobbying and supporting existing administrative and social frameworks, and was not designed to create new separate, duplicative, or competitive institutions and structures.

Not only are the people in Transmara in a transition stage but TDP as a programme has also been going through such a process since its inception. Initially designed as livestock development project it has moved more towards being a regional rural development programme. The orientation phase laid the foundation for this transition which has been systematically followed through during phase I of the programme. TDP has been able to achieve a great deal during phase I, which is subject of the

progress review. Livestock development, crop production have all proceeded well in the district, improvements in the infrastructure, the development and operationalization of the GIS unit and pioneering work in combining community based forestry and wildlife management mark just some of the many highlights which the project has been able to achieve during phase I. Closing the gap between the community and the service providers has also been an objective which TDP had pursued vigorously during the phase. The idea of mobilizing the communities, of strengthening their organisational capabilities and spreading the idea of participatory approaches are just some of the many ideas and approaches which TDP had undertaken. The main conclusion which can be drawn is that TDP has been able to achieve quite a considerable number of the targets it had set itself in 1994 (compare the summary evaluation tables contained in annex 5 and reports of the evaluators contained in annexes 6,7&8).

A complex programme such as TDP, which has also been going through its own transition phase, is bound to face a number of problems and constraints. The main constraints are linked to tne poor transparency which existed in the system, particularly with regard to the disbursement of GoK funds and the role of the GoK coordinator. Furthermore, the limited acceptance of the participatory approaches by many of the leading sectoral line departments, the politicians and the district administration, the rather hostile attitude of the Transmara County Council towards the programme and the difficulties encountered with land ownership are just some of the many aspects which were observed during the review. In addition, TDP had endeavoured to develop joint plans of operation with the counterpart departments. While some departments carried out the agreed upon work, others only followed the plans partially or ignored them. The reasons for this are manifold and due to their polarisation it proved difficult for the PPR team to illicit the exact causes. Reports and accounting of resources provided for these activities by TDP was also not always forthcoming. Effective communication which is based on transparent processes was severely lacking in the whole process; a fact which was not helped by the many hidden agendas that were also being pursued.

Apart from these external factors, internal aspects of TDP also caused frictions to arise between TDP, the sectoral line departments and the communities. Generally, TDP was ill-equipped for the community work which it had taken up as the central focus of its approach, particularly the inherent conflict which participatory approaches are bound to incur. Furthermore, TDP had to complete many activities which had been initiated in the orientation phase and this led to a very broad spectrum of measures being implemented. The planning hypothesis which was established, namely, that the effects from the pioneering work of TDP would spread throughout the district has not happened and it is probably too early to expect such effects. Thus the plan developed in 1994 was very ambitious and covered too many diverse activities which in turn led to TDP spreading its resources too thinly. Emphasis and concentration on enhancing community development and community participation, assisting in developing an effective service provision and ensuring that a truly bottom-up approach to planning and implementation takes place would have helped to focus TDP's efforts more clearly.

Even though TDP has made considerable efforts at involving the counterpart organisations in the planning and implementation work of the programme, these efforts were not always as fruitful as had been hoped for. Gradually a split began to develop between the programme and key counterpart

organisations and, to some extent, also with the communities. This was mainly due to the reasons cited above. The PPR team were struck by the rather tense and at times quite acrimonious atmosphere in Transmara and tried systematically to follow-up the reasons why this situation existed and examined what could be done about it. Unfortunately there is a strong polarization of views and perceptions of the causes for the tensions, these are often poles apart. The ability of the PPR team to get a complete picture of all the facts in the short period of time available proved almost impossible. In fact it became quite difficult even trying to bridge some of the gaps that existed. Thus the PPR team resorted to taking a quite neutral stand and saying that **all** partners in the process were in one way or the other at fault and had contributed towards the general tensions that exist. This led the PPR team to recommend that a new phase of the programme was **not advisable** until all of the existing constraints and bottlenecks had been removed. In fact the PPR team went so far as to recommend that a neutral person may be required to systematically assess the reasons for the current tensions and help broker agreements and bridge the gaps between the various partners. This person simply has to enjoy the trust and confidence of all the partners, must be a neutral person, and must possess good managerial and personnel capabilities (he/she does not need to be a psychologist). The reason for this recommendation quite simply rest in the belief that all partners continue the trend of seeing others at fault and they are not always willing to admit that their own behaviour and attitudes has also contributed to the general tensions that exist.

During the presentation of the PPR teams findings at the planning workshop in Kericho, almost all the participants fully agreed with the teams assessment of the situation. At the centre of the teams recommendations was a four month interim phase during which six important elements need to be dealt with, the extent to which they need to be completed has been defined in the indicators contained in annex 9a/9b. Agreement was also reached during the workshop to extend the current project phase by six months (i.e. until June 1998). Thus two plans exist for the extension phase: a plan for the fulfilment of the pre-requisites and a plan for the activities that still have to be completed by June 1998 (annex 9c). In order to enable the Kenya partners to tentatively allocate funds for a possible future phase II of the programme, a tentative plan for phase II was elaborated during the planning workshop (annex 9d). This is purely a draft document and subject to the proposed mini-review and further elaboration during the planning workshop to be held at the end of 1997.

As a result of the Kericho workshop and the ensuing minutes of understanding which were signed (compare annex 3) it became amply clear to all concerned partners that if they wanted the programme to continue they must make serious efforts at resolving some of the most pressing problems that exist. Since then, the indications are that a great deal action has already been undertaken. Nevertheless, the PPR team still recommends that the future of any phase II of the programme should be based on making substantial progress at resolving the constraints, that all partners also make positive efforts to improve the working relationships. It is also recommended that any phase II of the programme has to concentrate more on community mobilization and improving the linkage process between service providers and communities and less on experimenting with new crop and livestock varieties. The proposed changes in the approach have been outlined in this report, whereby it is clear that these ideas need to be further assessed by the programme in the next few months prior to carrying out the planning workshop for phase II.

- 4 -

3.   ANALYSIS AND ASSESSMENT OF THE PROJECT PLANNING

3.1   Initial problem analysis

3.1.1 Context of problem analysis

Initial planning for the programme was conducted as far back as April 1989, the main planning work was completed in Nyeri in June 1992. During this workshop an extensive analysis was conducted including a problem, objective analysis and analysis of alternatives. Finally, a project planning matrix was developed for the orientation phase 1992-1994. A project progress review was conducted in October 1994 (compare U. Kipper, *et al* Project Progress Review Mission Report, October 1994). Initially, several constraints were identified including: not fully utilizing the available livestock, agricultural and natural resource potentials in the district, the limited availability of infrastructure and the inadequate extension services as the main contributors to a generally unsatisfactory use of the generally good development potential of the Transmara district.

The PPR conducted in 1994 concluded that a trend in change could be discerned away from a dominant pastoral agricultural system towards a mixed cropping farming system with maize as the dominant cash and food crop, finally leading to a mixed farming system based on individual land ownership patterns.

The team continued to recommend that a holistic district planning approach taking into account all groups involved in the development process should be pursued. A jointly elaborated plan should be developed which takes into account not only the agricultural potentials but also the infrastructure requirements, provision of government services, wildlife and natural resources. In addition, the 1994 PPR team recommended that holistic development activities, meaning the concentration of activities in smaller areas (e.g. sub-locations, locations and catchments) including crop improvements, livestock and pasture improvement together with health services, fruit and vegetable promotion, agro-forestry and soil conservation should be undertaken by the TDP programme. Emphasis was to be placed on introducing the results of the orientation phase into the district planning and implementation process. However, implementation of these activities was to be limited to operations in the pilot areas. The programme was not to assume GoK functions and its role was mainly to be to "support district planning, decision making and lobbying for district development" (compare U. Kipper, October 1994).

3.1.2 Current problem analysis

The problem analysis described in 1994 PPR report is still largely valid. The situation was summarized as:
"To briefly summarize the situation: increasing demographic pressure in the vicinity leads to immigration and extension of agriculture, thus destabilizing the initially balanced land use system. Traditional extensive pastoralism is giving way to crop production and some integrated agriculture. Linked to those developments are changes in land ownership and social structures but also land-mining, destruction of water catchments and reduction of dispersal areas for wildlife as production systems are not properly adapted to the area in terms of efficiency and sustainability of land use. The

Transmara Region is changing from a well-balanced, almost exclusively livestock-based economy with only extensive use of natural resources, to one in which more intensive and integrated forms of agriculture and livestock keeping is rapidly expanding in an almost uncontrolled fashion.   The aforementioned *de facto* uncertainty concerning land ownership, little or no organization on the community level, as well as absence of almost any kind of services generates a framework, that favours only a minority.

Consequently, larger parts of the population will suffer from economical, social, cultural and ecological losses if development continues to happen by default. As changes are fast, there is an immediate need for action to avoid irreversible negative outgrowth and smoothen the transition. Otherwise the natural, and economic resources of the Transmara and the livelihood of major parts of the population are at stake". (U. Kipper, *et al,* pp. 8-11, 1994)

3.1.3 Project purpose and its relevance for resolving the central problem

The overall goal which was agreed upon in 1994 centred on improving the standard of living of the people in Transmara district on a sustainable basis (compare annex 5a). In order to be able to contribute towards this overall goal, the project purpose defined in 1994 was   ***communities increase self-reliance and capability to utilize development potential.*** Achieving this project purpose required the achievement of the following main results or outputs:

1. Integrated District planning facilitated
2. Community based organisations strengthened
3. Support to district infrastructure development facilitated
4. Sustainable natural resource management supported
5. Ability of community to manage livestock resources improved
6. Crop production diversified and increased
7. Community based primary health care promoted
8. Appropriate rural technologies introduced and promoted

Conclusions drawn from the analysis and assessment in 1994, which were then reflected in the project planning documents, unfortunately tended to concentrate too strongly on the technical issues and less on the socio-political ones. Thus TDP was ill-equipped to deal with the ensuing inherent conflict which any intervention in a status quo brings with it. In other words, by working stronger with communities and less through the formalized bureaucratic system meant that people had to change roles and functions. It is quite normal that such changes often bring resistance with them. The project experienced constraints in so far as community needs/demands on the one hand and the service delivery approaches of NGOs and departments on the other hand did not always match and in some cases have been conflictual. What is important is that these potential conflicts are well understood and counteracted as early as possible in order to ensure that they do not negatively affect the project.

A further observation is that the PRA approach has created serious conflicts which were going to occur at some stage or other simply because the approach, by necessity create, conflicts in communities. PRA as a tool and participatory approaches in general, enable people to participate. However, when the leadership is not ready for democratic organization and decision making then the whole process becomes a major problem. The main problem was that TDP was not equipped to deal effectively with the conflict which were set in motion through its interventions. TDP lacked mobilizers and the few that the county council had were not equipped with necessary skills. With community development having to take on a central focus and the need for communities to become well organized, the project needed to think more about wide spread mobilization and community development and how best it could accompany this process of transition rather than spending too much time on development of technical approaches and solutions.

Thus it can be concluded that the current problem analysis is still valid, however, the conclusions drawn and the approach selected for dealing with the problems was partly flawed and eventually led to many of the conflicts. There are in effect three main areas which have to be addressed by the programme: communities have to be mobilized and community development processes initiated throughout the district, a demand driven community oriented service facilities have to be developed and strengthened and communities have to be able to access financial resources in order to effect some of the developmental activities planned by them. Only once these three aspects have been addressed can one conclude that the initial problem analysis can be adequately taken care of.

3.2   Technical cooperation guidelines and development objectives
3.2.1 Technical cooperation guidelines and target group orientation

TDP focused its attention on a number of key aspects, including: poverty alleviation, self-help, women in development and natural resource management. Having set itself the purpose of improving the self-reliance of the communities, the focus has been to target the community level and less the intermediaries (e.g. governmental service agencies, non-governmental agencies). Furthermore, TDP works through the decentralized planning approach known in Kenya as the "District Focus for Rural Development (DFRD)". This approach promotes a "bottom-up" planning and implementation approach. Unfortunately in reality what can be observed in Transmara is that a certain degree of "centralization at the district level" has begun to develop. While most of the actors involved in the development process always emphasize that they are supposed to work through a bottom-up system, reality shows that in most cases mere "lip-service" is given to the approach. Most decisions are made at the district or national level, the lower levels are simply informed of what will happen. Furthermore, there is a real danger that many of the participatory methods will be used merely to suggest some form of participation of the community has taken place. Many of those using the techniques have not understood that they are part of a process and not merely an *ad hoc* tool to be used to get those answers which the bureaucracy wants. It is unfortunate that theoretically all the instruments for an effective "bottom-up" planning system exists, the instruments are well known, the approaches have been tried and tested in some parts of the country, however, it is being used for the wrong purpose namely, to strengthen the position of the ruling elites. TDP has experienced the consequences resulting from doing genuine "bottom-up" planning, namely a certain degree of

resistance by the bureaucracy who often fear loss of influence and control over processes. Nevertheless, a well thought through system of decentralized planning and development exists in Kenya which can and should be used in order to encourage greater community participation in development.

Transmara's potentials lie in agriculture, livestock, forestry and wildlife. There are some mineral deposits in the area (especially gold) but these are not so significant that they would have a major impact on the development of the district. Certain parts of the district are so called high potential agricultural areas. Ensuring that these valuable resources are managed effectively and not destroyed lies at the centre of the TDP strategy and conceptual approach. For example, the need to develop a sustainable approach for pastoralists to improve their income generating capacity through a combined approach of improved livestock management, managing the forestry resources and attracting tourism to the area provides an important contribution to sustaining the unique ecology of the area. Destruction often takes place out of greed or survival needs (whereby charcoal burning is often a case of both greed and necessity). Virgin forest areas have to be cleared in order to access new land areas since many traditional pastoral areas have been taken over for intensive agriculture. By developing a balanced approach, TDP can contribute significantly both to improving the income generation capacity while at the same time maintaining the environment.

Main target group of the project has always been the pastoralists and farmers and those groups who find themselves in a transition phase from extensive livestock to mixed farming. Special attention was given to those groups who are particularly vulnerable during the transition phase, whose livelihood is often jeopardized by the increasing shortages of land or the overuse of the natural resources. Women have also been targeted by the programme, in some cases they have been addressed directly, in other cases they form an integral part of the programme activities. The level of involvement of women in development in the district varies strongly between the different ethnic groups. The Maasai women traditionally have little or no income and are usually completely dependent upon their husbands. Since the issue of women in Transmara is of particular concern a separate short study was commissioned to examine what the programme has been able to achieve to date (compare annex 13). However, if the level of women participation in the bureaucracy is anything to go by there is a great deal of work which has to be done in order to improve the situation of women in the district. It would be important that the programme cross-checks and validates its activities and interventions by a local expert who has a thorough understanding of the role of women in development in the area, who can judge whether the measures are gender balanced or whether they will simply contribute towards making life even more difficult for the women and whether they are appropriate for the cultural setting. The topic requires considerably more attention and should not be carried out by men, as is currently often being done.

Even though there are many constraints in effecting the approaches which TDP has set itself it is possible to conclude that, in general, the programme is in line with the German and Kenyan technical cooperation guidelines.

on changing some of its services policies in order to reduce the burden and costs placed on the state. Giving the divisional and community levels the responsibility for implementation and the district level more the role for overall planning, monitoring and evaluation is already one visible step in this direction. This requires considerable changes in attitude of the governmental employees, they have to see themselves more as service providers demanded by the communities rather than development providers. Giving up many of their privileges at the district level to the divisional level will not prove to be easy and is likely to face some resistance. TDP can be instrumental in assisting this transition process, whereby it will be necessary to develop new ideas as to how service providers can be economically operationalized. As long as communities are unable and probably unwilling to pay for certain governmental services (e.g. agricultural extension services) the ability to privatize such services will be limited.

A further dilemma rests in the regional rural development approach which stands at the centre of the GTZ/BMZ strategy. The basic tenor which underlies the approach is to say that programmes such as TDP are expected to have a strong innovative function, are expected to generate new ideas and assist in promoting sustainable appropriate technologies. Community mobilization and community development approaches are tried and tested on a few communities. What is often missing is the "key" as to how such an approach is expected to spread throughout the whole district. In addition, the resources available to carry out the work in the pilot areas is totally disproportionate to the resources available for multiplying the concepts throughout the district. The easy part is the experimental work, the really difficult part is ensuring that it is replicated throughout the whole district. The concept needs to be reviewed in order to encompass the scaling-up process throughout the district. It is becoming increasingly clear that the community mobilization has to be effected in every community throughout the district. This is the minimum which has to be achieved in order to ensure that a sustainable bottom-up approach can be followed beyond the project's life-span. Sustainability really needs to be looked at more closely and planning hypotheses have to be critically assessed, since in many cases it is already a commonly known fact that certain parameters have not changed over the past twenty years and there is little hope that they will change in the next few years (e.g. the question of transportation).

3.3   Summary and assessment of the project planning

TDP has undergone considerable changes in its relative short history. Having commenced as a livestock improvement project, it grew initially to encompass livestock related activities and has now progressed to be more of a regional rural development programme. The planning reflects these changes and it is not surprising that some of the constraints which the project has had to face stem from the changes in roles and the varying perceptions the target group have towards this. Having often been viewed as a service provider by the communities, TDP has moved more towards a process initiator and manager. This has proved to be confusing for the target group. During discussions with some communities they complained that when they went to TDP, for example because their cattle were ill, they were asked to seek the services of the district veterinary officer, when they went to him they were told to go to TDP. In previous phases TDP's staff would attend to

such cases individually, however, with the changing role of the project this service can not be sustained. The question really revolves around having a clear perception of roles and responsibilities.

The project planning documents developed in 1994 are very technical in their approach. The main emphasis rests on developing ideas and approaches for specific topics. Many of these activities had been initiated during the orientation phase and thus needed to be completed. Looking at the eight results which the project strived to achieve in phase I, several are in fact activities or sub-activities and not results. Furthermore, there is a big jump in the logic between the eight results and the project purpose. By experimenting in a few selected sectors, by strengthening some communities in the district and by improving some of the infrastructure needs of the district will not automatically mean that the project purpose (i.e. communities increase self-reliance and capability to utilize development potential) can be achieved. The purpose which would have been more realistic would have been to say that the necessary conditions to assist the communities to become more self-reliant had been tried and tested. It is only when these are replicated throughout the whole district that one can realistically say that all communities self-reliance and capacity to utilize development potential has been increased. In fact there are several intermediate steps which would have been needed before the state which has been defined in the 1994 planning matrix could have been achieved

This is an important reason why the TDP was also not equipped for the work required to mobilize the communities and to deal with the inherent conflicts that develop when changes to the *status quo* take place. In other words, too much attention was given to developing technical solutions to assist the communities to bridge the state of transition and far too little attention was given to the socio-economic, socio-political and process orientation which has to accompany such a transition phase. It is not merely a question of providing communities with technical solutions and ideas nor is it sufficient to establish community organisations without providing the necessary intensive back-up services to ensure that these community organisations can cope with the changes that take place in such a transition period.

4.   ANALYSIS AND ASSESSMENT OF THE PROJECT IMPLEMENTATION
4.1   Cooperation with counterpart organisation
4.1.1 Organisational structure

The framework to support the current phase of the Transmara Development Programme consists of a number of counterpart agencies which include the Governments of Kenya and the Federal Republic of Germany, the Ministry of Agriculture, Livestock Development and Marketing and other line ministries at the national and district levels, the German Agency for Technical Cooperation (GTZ), the Kenya Agricultural Research Institute(KARI) and an advisory team at the district level. In line with the Regional Rural Development concept applied in the TDP, this range of counterpart agencies further includes Non Governmental Organizations, church organizations, farmers associations, entrepreneurs, the Transmara County Council, etc. (compare figure 1) The framework was designed to address the following:

- to strengthen counterpart linkages;
- to enhance cooperation through improved coordination at all levels;
- to provide the means for involving other counterpart agencies in the program with the purpose of facilitating discussion, adoption and implementation of collective community based development strategies;
- to facilitate joint or coordinated planning, implementation and problem solving arrangements by all stakeholder;
- to reflect the key roles played by each stakeholder in the programme;
- to provide a facility through which the target groups perceptions and response to the programs interventions can be effectively ascertained.

The MoALDM is the lead ministry for the TDP and the coordination role is performed by the Department of Livestock Production.   Under the current arrangements a National Steering Committee comprising of representatives from the three technical departments of the MoALDM and one from KARI performs the headquarters backstopping for the project. At the district level, a Project Steering Committee comprising of representatives from implementing ministries is chaired by the District Commissioner and coordinates intersectoral implementation of project activities. The Project Steering Committee is a sub committee of the District Development Committee and reports to it. At the lower divisional level there is no formal structure directly associated with the TDP with the exception of a team of trainers on participatory approaches (Committee Responsible for the Implementation of Participatory Strategies - CRIPS) which is loosely linked to the lower level district development structures (divisional DDC).   At the technical level, component coordination is undertaken by management units which are chaired by the relevant head of department with a membership of the involved heads of departments and a TDP advisor.

To strengthen participatory implementation approaches a committee at both the district as well as the divisional level chaired by the Department of Social Services - CRIPS (Committee Responsible for the Implementation of Participatory Strategies) exists since 1994. The role of the district CRIPS team is to create awareness and institutionalize participatory approaches at the district level, to train the divisional CRIPS teams on the participatory rural appraisal methodology and conduct follow up support role to the divisional teams. The divisional CRIPS team conducts the PRA's and support communities in the implementation and follow up of community action plans. It is a sub committee of the divisional DDC and therefore fits in the District Focus for Rural Development structure. Implementing line ministry representatives, NGO's, church organizations and members of the community form the membership of this committee.

Phase I of the programme adopted a more integrated approach to development and identified wider number of agencies and institutions to play a role in the programme. The MoALDM was requested to provide a coordinator to assist the TDP link up with all these different actors for the purpose of coordinating approaches, identifying complementary relationships and providing the required inputs to support community activities as and when required. In the project memorandum the MoALDM was requested to provide an experienced officer with the relevant qualifications experience acceptable to both parties. Subsequently an officer was identified and posted to the district to take

up these responsibilities. The overall expectation out of this was that the GoK coordinator would facilitate enhanced coordination between and within the major institutions with a resultant improvement in the planning and implementation process of the TDP in the district. Unfortunately, the desired effect of posting the coordinator to the district did not materialize and the coordinator has now been withdrawn (compare 4.1.2).

The TDP structure fits into the existing GoK structures, specifically the arrangements within the District Focus for Rural Development strategy.

4.1.2 TDP organisation and counterpart organisation strengths/weaknesses

Over the last three years the TDP has experienced substantial challenges which have severely tested the current structures. During the field visits the primary problems seemed centre on a basic disagreement on the exact roles and responsibilities of the TDP advisors and GoK counterparts and the fact that there was a less than satisfactory programme coordination and support at all levels. In addition, the current organisational set up described in figures 1 and 2 has not been successful in addressing other important concerns including the following:

- an inability to undertake a self appraisal process to determine solutions to existing operational problems at all levels of the TDP structure. Pursuing different objectives, hidden agendas, limited willingness to share information amongst all partners are possibly some of the reasons for the limited ability for self-appraisal;
- it has failed at the level of the government officers to impart a sense of ownership and partnership in programme planning and implementation;
- limited effective communication mechanism between the target groups and the advisory team. In many cases contact to the target groups (e.g. communities) by the district sectoral line departments is limited to their field staff while. The advisory team could only often maintain contact to certain selected communities who were involved in implementing TDP activities. This approach meant that not all communities could be reached by either party. These processes need to be merged and harmonized.
- inability to attract a sustained involvement, support and cooperation with other cooperating agencies which have specific approaches targeting specific groups;
- the structure has not been successful in addressing issues related to authority, control, transparency and accountability to the satisfaction of all the stakeholder.

The major weaknesses which have impacted on the TDP coordination and operations at the district level include the following:

- the composition and the arrangements for the national TDP support structure (the National Steering Committee) were not satisfactory enough to promote multi sectoral professional and technical considerations, nor to instill a sense of commitment and to promote effective participation at the district level by the GoK team;

- the design and arrangements for the District Project Steering Committee were not adequate enough to enable the GoK coordinator to promote a professional and technical emphasis and to deter undue use of GoK project resources for non technical activities.   Moreover the District PSC was not able to ensure a link up of the available GoK funding to GTZ co-funding in the implementation process through the approved work plans and to prevent the implementation of activities which were outside the approved annual workplans;

- the whole issue of GoK funding of joint activities remains shrouded in mystery. Neither TDP nor the district Heads of Department know exactly where and for what the GoK contributions have been disbursed. While funds have reached the district these have not always been used for the jointly planned TDP activities.

- while the initial relationship between the GoK coordinator and the TDP team leader were cordial, they quickly became acrimonious. The reasons for this rest partly in the fact that the whole system of coordination and management was not very transparent;

- the impression which an outsider gains of the coordinator was that he was firmly caught between two large rocks (i.e. his own ministry and TDP), with each one placing very different demands upon him. Loyalty to the ministry meant that he was expected to follow orders and requests to carry out work which was not always in line with the agreed upon work programmes and was expected to disburse the funds accordingly. At the same time he was under pressure from the TDP to follow the agreed upon work plans. In fact there was a real lack of transparency of GoK funding arrangements for all concerned partners to follow, with the project coordinator finding himself being an instrument of many interested parties in the disbursement process. Unable to satisfy either side effectively his position become increasingly precarious and his role was questioned by all sides. His ability to act was further hampered by the fact that many of the government officers he worked with were of higher rank in the civil service structure which meant that he could not command the necessary authority that such a position demands.   The conclusion which can be drawn is that the proposal made during the last PPR in 1994 to install a GoK project coordinator proved to be more than counter-productive;

- the GoK coordinator was not exposed to any major capacity building measures to overcome the challenges of inadequate exposure or experience with participatory, technical cooperation and the regional rural development concepts. These were reflected in the problems experienced with the implementation of the participatory approaches, the subsequent fallout in the communication process and ultimately an unsatisfactory relationship with the TDP team of advisors;

- the ideal level of inputs required by the GoK coordinator was not realized. There was either lack of or in-sufficient GoK inputs to the coordinator in terms of office accommodation, transport, support staff and equipment. On the other hand budgetary provisions were more than adequate in relation to anticipated levels in the Project Planning Matrix;

- the TDP and the coordinator faced significant problems associated with weaknesses in the district focus for rural development structures. The problems arising from this weaknesses led to a poor level of understanding or appreciation of the programme and its approaches to the community. This ultimately resulted in a display of apathy and resentment amongst some of the programme's target groups.

The historical siting of the TDP programme offices at Lolgorien has had a negative effect on the links between the TDP advisors and the GoK officers including the GoK coordinator located at the district headquarters in Kilgoris. At the time when Lolgorien was selected, Transmara was a division of Narok district and the offices were built on the premises of the research station. However, now that Kilgoris has become the district capital the distance between the two towns has become a constraint, possibly leading to a lower frequency of contact between partners which may have further contributed to a chilly relationship.

What is amply clear is that on each side there are major grievances which are often poles apart. One of the problems is that each side always sees the other as being at fault, there is a scarcity of self-criticism in the system. Development and maintenance of an effective communication approach can contribute to a greater level of understanding but this requires that all partners are willing to be open and frank with each other and to avoid any "hidden-agendas".

One of the major challenges the TDP faces is the level of bureaucracy and the extremely long process of approving action plans (compare figure 4). On this issue there is a unanimous feeling by all that this has been a major bottleneck which needs to be rectified (proposed improved system has been depicted in figure 5). These long winded processes, which have also been criticized by the NGO / church organisations, have also been a contributing factor to the strained relationship between GoK/TDP officers and the fact that not very durable relationships have been established with the NGOs and church organisations even though joint work is taking place in rural water and sanitation related areas. The Transmara County Council has had a frosty relationship with the TDP and has not been a forthcoming partner in the TDP development processes. The exact reasons for this impasse are not entirely clear, whereby, local politics, worries of loss of spheres of influence over local communities and general misinformation are probably the most likely causes.

The role of service providers (working in collaboration with the TDP) has not been very explicit in the current phase of the programme. One of the reasons is that many of the Community Action Plans have not been completed and as yet not yet been circulated and communities have not yet been able to solicit for assistance to undertake specific action.

In conclusion it can be said that the institutional setup has not been as effective as expected and this is largely due to the failure by the elements within the structure to provide coherent support to each other. The ultimate result has been reflected in the breakdown in the communication process. This has resulted in mistrust, lack of transparency in operations, heightened suspicions and hostilities and rumours which have often been personalized.

4.2   Comparison of planned-versus-actual

The overall conclusion which can be drawn is that the impressions gained by the PPR team were broad based and were verified on numerous occasions. It is important to point out that the team was expected to gain the same level of information within a period of nine days which many people had accumulated over a three years. Thus it can not be entirely assured that a complete picture of all the

facts could be achieved, particularly since much of this is also subject to differing interpretations and perceptions by those being interviewed. However, during the presentation of the PPR results at the planning workshop in Kericho, the vast majority of the participants corroborated the results of the PPR team.

The presentation of the project assessment follows the eight main results which were at the centre of the plan developed in 1994. In addition, summary evaluation tables have been included in annexes 5b - 5e.

4.2.1   Integrated district planning facilitated

In the 1994 planning documents, considerable emphasis was given to formulating an integrated district development plan. Currently, two important documents are produced at the district level, the *district development plan and the yearly annexes*. The work is carried out by the sectoral line departments and it is coordinated by the District Development Officer (DDO). The DDO is a key figure in the decentralized planning and implementation approach.

Improvements in the district development plan are necessary since the existing plan only provides a limited and superficial insight into the potentials and problems of the district. They are so broadly elaborated that they could be applicable for almost any district in Kenya and the impression gained is that they have not been completely developed and written in the district but rather at the national level. The plan lacks a well thought through analytical section based on realistic projections coupled to development scenarios. The integration of the district vis-a-vis the neighbouring districts, the importance of specific economic activities, the long term effects of changes in development on certain ethnic groups, the loss of important traditional pastoral lands to maize and sugar cane farming, changes from nomadic to sedentary practices, the difficulties of integrating wildlife and eco-tourism into a sustainable community forestry concept and many other important constraints to development are not properly analyzed. Such work requires a certain visionary and imaginative ability on the part of the district planner and a considerable commitment to his/her work, all of which is presently not apparent in the district. Although it would be relatively easy for the TDP project to develop such a plan, this should be avoided since the plan must be developed by the people in the district. The project should only facilitate this process. One important contribution which the project has been able to achieve so far is to improve the general information base, especially with regard to:

- establishing a functioning GIS and GPS unit;
- establishing and entering data bases into the computer;
- producing and visualizing numerous maps;
- training of staff from four different departments in GIS;
- landuse planning, a zonation by communities has been undertaken to identify protection and utilization zones in five communities;
- commencing discussions on the future land uses in 11 communities;
- completion of the collection baseline data for the landuse plan;
- implementation and discussion of a study on landuse rights.

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These elements form the key basis for a sound analytical development plan, however, they only make part of the necessary "ingredients". Areas where information still has to be collected needs to be looked into, methods as to how the missing data and information can be gathered in a cost-effective manner have to be looked into and a decision made as to whether the information is important for the development of the plan or whether it can be added at a later stage. The data then needs to be analyzed, scenarios developed and then discussed at the various different forums. The GIS unit will continue to form a focal point in the whole process, however, much greater integration of the GIS into the planning establishment of the district has to be strived for, whereby it is important to note that this integration is a two-way process. In other words, the relevant governmental staff need to use the system for planning purposes, need to take an active role in the process and must also develop an appreciation for the need for good quality reliable data on which planning work is undertaken. Where data and information is not available, suitable methods for filling these data gaps have to be examined and applied in a pragmatic manner (e.g. extrapolation methods, data interpolation, etc).

Landuse planning is an important ingredient for district planning, however, without a transparent landownership process and by further marginalizing certain sections of the community, TDP has to be very careful that it does not provide the cover under which land-grabbing and irresponsible land allocation takes place at the expense of the local communities. It is interesting to note that landownership problems are not a unique problem to Transmara, it is a common problem throughout many parts of the country and it is a common phenomenon in many developing countries. The attitude of donors has always been to shy away from addressing the issue openly and frankly, preferring to hope that the problem will resolve itself. While it is true that the problem does often resolve itself, it is almost always to the detriment of the local communities. Development projects are then expected to develop technical solutions to problems which are caused directly by proliferous land-grabbing by the ruling elites. In Transmara the marginalization of certain sections of the communities can eventually lead to resentment and a violent back-lash, both factors that need to be avoided. This means that landownership has to placed firmly on the agenda, it has to be addressed openly and projects such as TDP need to be given the necessary political support in order to be able to develop solutions to the problem. A balance has to be found between ignoring land matters (by stating that it is an internal Kenyan issue) and trying to resolve such a highly political issue, whereby both extremes are not tenable. Probably the only realistic way of addressing the issue is to mobilize communities so that they can articulate their own needs and requirements. This means that information has to flow freely, transparent processes have to be established and communities have to be involved in the process. All of these are factors which a programme such as TDP can actively influence.

A general deficit was also noted which respect to the overall quality of the planning process. Most of the sectoral departments planning work is carried out with limited field contact. Yearly planning work is often mechanical, and done at the "green-table". Many of the officers know from past experience that they rarely get sufficient capital funds to implement any of the ideas which they develop. As a result the officers are the not overly willing to invest a great deal of time and effort in

the planning process, a repetition of the previous years plans with a simple adjustment for inflation is usually sufficient.

The need for a vision or forward planning is not shared by many of the officers mainly because there is little chance that anything will be approved. Furthermore, the recurrent budgets of the majority of departments hardly suffice to sustain the operations at the district level, let alone of disbursing sufficient funds to the divisional levels. The result is an understandably complacent attitude towards planning in general. This can only be changed if the project is able to assist the sectors in improving their plans which in turn forms the basis for successful lobbying for funds at the provincial and national levels. Once the sectoral departments see that funds can be successfully acquired through improved planning then a change in attitude towards an improved participatory community oriented planning approach will become a reality. This can then be followed up by a general improvement in the district development plan.

The conclusion which can be drawn with regard to the integrated district planning is that the objective set in 1994, namely that an improved district plan is developed, has not been achieved to date. So far only a few integrated area development plans have been established. However, given the fact that Transmara only recently gained the full status of a district, the targets set for this result were overly optimistic. This fact is further underlined when one examines the rather poor data and information base which exists for the district which has to be upgraded before any improved district development plan can realistically be formulated. What has been achieved is to lay the necessary foundations for the formulation and development of such a plan. However, as has already been mentioned this needs to be further integrated into the district planning process through the DDO. Once the District Information and Documentation centre is completed and once the DDO has collected all available information and placed these in the DIDC, then a complete overview of existing information can be undertaken.

4.2.2   Community based organisations strengthened

The project undertook a review of guidelines on enhancing the promotion of community based organizations such as youth, women, cooperatives, associations and farmer groups. All of the groups who work with TDP are registered with the Ministry of Culture and Social Services. Concerning the preparation of the guidelines, the process was broad based in so far as departments are concerned since the team reviewing the process were composed of people from the different government ministries. Guidelines were produced which are currently in a draft form. The Participatory Integrated Development (PID) Strategy was also reviewed and the PID concept was formulated. This review process is captured in three documents namely the Review of PID, Concept for PID and Going - step by step. The review proved useful in helping to clarify some of the problems posed by tools such as PRA and concepts like community based development.

The involvement of communities in the assessment of groups for promotion was designed to facilitate the groups to come up with clear objectives and develop action plans. In order to arrive at this, the project conducted PID/PRA workshops in five clusters (except that in Nkararo/Enoosaen,

the exercise was not completed because the District Steering Committee stopped TDP from carrying on with PRAs). Support for the preparation of Community Action Plans (CAPS) as well as support during the implementation of joint projects and promotion of cluster action committees and their support was also undertaken by the project. The project trained and put in place a District Training Team as well as the CRIPS. The members of this team were identified by various Heads of Departments. Unlike the PRAs, Community Action Plans (CAPS) were prepared, promoted and supported in four clusters. Furthermore, Community Project Action Committees were established, promoted and supported in four clusters. Along side this, project agreements were written by committees which became an instrument of linking communities to service deliverers. Another important activity for community development was the Memorandum of Understanding facility whose function was to forge close links between community and development agencies in the implementation of community activities.

The basis of advising TCC on the deployment of LSDAs is primarily to tap development potential of TCC to promote community development. To achieve this, the project was to facilitate the formation of an advisory committee to address community needs and strengthen the capacity of TCC. Little has been achieved on this activity apart from the CDAs and LDAs having participated in PRAs and other community activities. About three workshops on awareness creation were held for councillors. Otherwise, the activity did not realize the intended output.

Development is a process which requires participatory skills to support self-help initiatives, hence the purpose of one of the activities was to train development agents in participatory integrated skills. Both the divisional and district teams were trained. Even though a lot of training was carried out, not enough training was carried out at the community level directly, much more training would have been required at this level. In fact additional training at all levels is required in order to firmly anchor the idea of community development. In addition, more TOT training is required of such groups as CRISPS.

The concept behind coordinating extension activities of the community development teams is that implementation of community activities requires involvement of all stakeholder to ensure success and sustainability. This requires the development of an integrated planning and implementation of community projects. A key achievement is the formation and training of (CRIPS) at divisional level as well as being supported with finance and transport in the four cluster areas. In addition to CRIPS, teams were formed at divisional level to support community action plans, while at community level the project ensured the creation of cluster community project committees to coordinate projects. Concerning the NGOs, TDP helped in the establishment of an NGO forum which has in turn made it possible for some NGOs to initiate action and work with community activities.   There is also now available data compiled on the status of NGOs in Transmara district.

The idea of assisting associations and groups to articulate their interests is that community organizations should be able to create a fora to address their needs, which in turn requires TDP to promote and strengthen community based organizations. While there is potential for the growth of organizations, associations and cooperatives the political environment has not been conducive. So

far a few organizations with common interests have been organized and supported. They are the Transmara Association of Beekeepers, the District Cooperative Committee. The type of support afforded to such groups has been varied, including training, advise on marketing, materials etc.

With respect to monitoring and evaluating performance of the development teams and groups, ideas have been developed but the project and a consultant but have a participatory M&E system is not yet in active use in the programme. It would seem that the staff visited groups, and reports of various activities were compiled. This area needs to be looked into during phase II of the project.

♦   **Challenges with respect to community development**

A major constraint to the implementation and promotion of the PID concept is the fact that implementing partners lack the capacity and in some instances even the necessary commitment necessary for such a concept. Thus they are not in a position to assist communities to either understand or adopt what the participatory methods and concepts are all about and how they can be of benefit to the communities. In addition, the counterpart organisation (i.e. the Ministry of Culture and Social Services) is not equipped with sufficient staff at the cluster or divisional level. On the other hand, there are far to few NGO's and church based organisations in the newly created district to be of real benefit for community development. Furthermore, the focus of the church organisations is more a religious agenda than developmental one. Given the lack of staff capacity (both in terms of quality and quantity) in the department at the community level and the few operations NGOs, the promotion and strengthening exercise of groups and organizations has been rather limited. Many of the groups and organizations who were visited were found to be lacking a real sense of a common purpose, their agendas were dominated by social or political issues rather than developmental ones.

During community meetings most leaders tend to shy away, mainly because many of the lack basic group leadership and management skills. The communities   relationship with their leadership therefore tends to be ineffective and is not always very conducive to effect mobilizing communities. In general, there is lack of appreciation for community empowerment. This problem is not helped particularly by the fact that the concept of participatory development is presently not fully agreed upon nor adhered to by all implementing partners. This often leads to confusion amongst the communities who are given different messages by different organisations and persons. All of this culminated in the suspension of TDP's PRA activities by the provisional administration, which in temporarily ended the programmes community based activities. Unfortunately, many of the PRA workshops which were conducted were very broad based, were often un-focused and tended to create very high expectations amongst the communities. Many of these expectations could not possibly be met by the service providers which opened a further rift between all the developmental partners. The politicization of groups proved to be a further hindrance to community development. Finally, the cluster approach as a focal point present a too small area to have any real impact on the development of the district. It is at this point where TDP conceptually comes into difficulties, since neither TDP nor the responsible sectoral line departments have the capacity to expand the community based concept throughout the district. This could mean that only a few communities are actively involved in the new developmental process being propagated by TDP and the sectoral line

departments. The mechanism for ensuring that all communities are covered in a reasonable period of time is missing entirely in the current approach.

Although the Transmara County Council has resources at its disposal (i.e. from the Maasai Mara Game Reserve) it has little or no vision for developing the district nor for increasing their capacity to undertake community based development. This problem can be amply demonstrated in the manner in which the TCC appoints the LSDAs and CDAs on political basis rather than on merit. TCC spends no money on training the LSDAs who are the only community mobilizers, apart from the few adult education teachers who also sometimes take over the role of mobilizing the communities. While it is correct to note that Transmara is a new district and that it faces many challenges, it is unfortunate to note the TCC has not shown much commitment as a development partner either towards the communities or the TDP.

The provincial (i.e. district) administration and a number of the sectoral line departments have all not been overly supportive of PRAs. The reasons for this probably rest in the limited understanding of the concept, the genuine fear of loss of power and influence over the communities, the fact that "learned" people would have to listen attentively to what the illiterate community really wants! A constraint occurred when the PRA training started, it was done dogmatically and was not very flexible which was contrary to the spirit of participation. This led to PRA results which were, on the one hand, very vague and general, and on the other they boded considerable conflict potential within the communities and between them and the service providers. TDP's approach to the whole matter was only clarified when the PID concept was developed and the document "Going Step-by-Step".

A further obstacle is the apparent lack of commitment to inter-sectoral integration amongst the sectoral line departments, despite all the fora in the district focus concept. Inter-sectoral coordination to date has concentrated mainly on the agricultural sector. However, the integration of community plans which may focus on other elements apart from agriculture has not been fully appreciated and operationalized by the sectoral line departments. There are hardly any joint plans as most staff still perceive themselves as specialists who deliver services, which further enhances the service oriented approach to extension as opposed to a need oriented one. Most technical staff are simply not used to having farmers or community members participating in "their" decision making since most still believe that they are "experts" should have the final say. This is one important reason why communities find it particularly hard to get their plans integrated into the District Development Committee system, despite all the avid lip-service which is given to the "bottom-up" approach. The very fact that the sub-DDC system is almost non-functional further highlights the fact that technicians are unwilling to give up their influence and power to plan and implement development activities in isolation of the communities.

The newly formed NGO forum as well as the other NGO committees exist and are operational but receive very limited support from the relevant government officers. This increases the NGOs feeling that they are not accepted as equal partners in the development process. Wit so few NGO's and church organisations available to the communities in the district, every bit of assistance and help should be accorded to them by the government officers in order to maximize the developmental

impact in Transmara. This is vital because many communities still suffer from the dependency syndrome from which they have to be carefully weaned. This process requires the concerted effort of all, including NGO's and church based organisations.

4.2.3   Support to district infrastructure

While Transmara was still a division of Narok district, it tended to make up the periphery of the district, even though it offered considerable developmental potentials. Having gained district status in 1994 new challenges and problems have been bought upon the fledgling district, particularly with respect to the provision of infrastructure. Transmara has only 10km of tarmac surfaced roads in the whole district. Many of the main roads are in need of maintenance and repair and some new roads are also needed in order to fully access the development potential of the district. In addition, residential houses and office space is required for the sectoral line department staff. Some sectoral line departments have commenced building offices in Kilgoris for their staff (e.g. forestry department) and the construction of the District Information and Documentation Centre (DIDC) which is jointly funded by the GoK and the GTZ has also commenced. A need exists for more community service centres, so far only one has been constructed and two are in planning. At the divisional level there is a considerable need for infrastructure improvement, particularly office and residential accommodation.

Important for the infrastructure development of the district has been the construction of the C17 road from Kilgoris to Lolgorien. This road was co-financed by the GTZ in from of a financial agreement. The road construction was accompanied by very many problems. Starting point for these problems was the selection of a contractor who simply was not equipped to carry out the work. The work was delayed and eventually the contract was with-drawn. After lengthy discussions it was agreed that the sections of roads that require completion would be done by the Ministry of Public Works and Housing, while the remaining culvert work was to be tendered out. Having been given a lengthy explanation by the district roads engineer, it would seem that the whole construction process of the C17 road has not been very satisfactory, commencing with the contractor who won the initial tender and then had to be removed, through to the tendering of the new contractor for the culvert works. Delays in assigning the tenders, problems with the tender documents all led to further delays in the construction works being completed. The culverts still have to be completed and only after that can the last sections of gravel work be completed. While the road is a significant improvement for the district, questions are being raised as to whether the amount expended has produced the best possible result. Since the road is also part of a separate financial agreement, it would seem to be appropriate that once the road is completed a complete and thorough audit of the financial agreement is carried out, whereby special emphasis should be given to the quality of the road vis-a-vis the actual money expended.

Work commenced on the Sitoka road, whereby this road can not be completed until finances have been secured for the necessary bridge/dam, the high cost of which makes it difficult to find a willing donor to finance the works. The Sitoka road created quite some expectations amongst the communities and it is a pity that the road can not be rapidly completed. Care has to be taken in

Thus the uniqueness of the ecology in Transmara is currently under sever pressure. The communities, particularly the Maasai, are being "boxed-in" into a ever smaller area by the permanent agriculturalists, the are in a state of transition from a semi-nomadic life to a settled lifestyle. Having lived in harmony with the wildlife, they find that their radius of action is becoming smaller, they have to start moving into the forested areas, which in turn restricts the areas available to the wildlife. Seeing the wildlife more as a liability than as a realistic potential has further contributed to the man-nature conflict. Faced with a choice of remaining pastoralists or having to engage in permanent agriculture, the Maasai would prefer the former. However, pastoralism under the above mentioned conditions becomes increasingly. Thus the only real opportunity is to combine improved pastoralism, forestry management and wildlife management with some form of tourism (e.g. eco-tourism, etc.).

TDP has focused on the above mentioned problems and has begun a series of activities which were designed to develop viable solutions. Studies into the landownership issues, forest ecology and resources and wildlife conservation and management have all been undertaken to study the current situation and possible solutions. The general impression gained is that there are considerable opportunities. However, one additional problem is that once a potential is identified and feasible approaches developed to utilize the object for economic gain, it not only becomes of interest to the local communities but all of a sudden also for a lot of other people. This in turn causes further friction and often leads to renewed squabbles about land ownership. In extreme cases this can even lead to local communities becoming marginalized and their land being taken over by non-locals who then proceed to reap the benefits of the land. Thus, when talking of landownership in Transmara, it is a subject which bodes intensive political activity. The in-transparent manner in which landownership issues are being currently dealt with does not help to resolve the situation, it merely helps to increase the level of mistrust and discontent and often leads to a marginalization of certain sections of the communities.

Apart from the above mentioned measure, TDP has actively encouraged 12 community tree nurseries, has undertaken a lot of training in forestry related matters, has assisted in seedling production, has carried out a forestry and wildlife study, has conducted numerous workshops on sustainable forest and wildlife management options, has helped in the creation of 5 wildlife committees and has established numerous links to institutions such as KEFRI, EU, DED with respect to NRM. Close cooperation has also been established to KWS.

There is a broad base consensus amongst all people in the district, ranging from the sectoral line departments, district administration down to the communities, that the unique ecology of Transmara has to be protected and managed effectively. The project has initiated an important process of developing an integrated and community based approach to meet two objectives: managing the forestry and wildlife resources and providing tangible economic benefits to the communities involved. Landownership problems, disagreements on use of communal forest areas, mistrust by the community of the County Council management of the land held in trust are just a few of the most important problems which TDP has had to face. All of these eventually led to an order being given by the district administration that TDP is to cease its community based NRM activities. This matter was extensively discussed at the planning workshop in Kericho and agreement was reached that the

order has to be reversed and that a system for resolving land issues which restrict TDP activities has to be developed and agreed upon. NRM is an important topic in Transmara and it is essential that TDP continues to assist in the development of viable solutions for the sector.

4.2.5   Ability of community to manage livestock resources improved

The PPR conducted in 1994 concluded that the agricultural systems would change from a dominantly pastoral system towards a mixed cropping farming system, with maize as the major cash and food crop. It was foreseen that in the medium and long term a mixed farming system based on individual land ownership patterns would emerge. This conclusion held true and it can be stressed that this trend is speeding up.

The Programme Management Unit for this component consists of the GTZ Livestock Advisor being the programme Coordinator, the District Livestock Production Officer (DLPO), the District Veterinary Officer (DVO) and the Director Veterinary Research at the Lolgorien Sub-Centre of the Kenya Agricultural Research Institute (KARI). The Programme Implementation was done by the Department of Livestock Production in the MOALDM, Department of Veterinary Services in the MOALDM, KARI, NGO's and the Private Sector.

The result addressed the livestock development component, which is made up of two sections, the livestock health section that caters for veterinary support and community based livestock health support and the livestock production section catering for livestock improvement, pasture/range improvement and apiculture.

In the field of improved livestock nutrition, a lot has been achieved by first testing several fodder and pasture species on station in Lolgorien. Demonstration and bulking plots for fodder and improved pasture species were established on-farm all over the district. These venues have been used to create awareness on fodder and improved pastures as well as for training of farmers. The project has made plant materials and seeds available to other farmers interested in improved livestock nutrition.

Problems with seed quality of some varieties and the recent drought had a negative impact on this activity. The involvement of the Frontline Extension Workers (FEWs) is still not sufficient and there was limited support from KARI in Lolgorien due to the unclear role and mandate of the sub-station in relation to support to TDP activities. Follow-up from Divisional staff was not adequate.

Closely related to improved livestock nutrition, the project assisted farmers to improve their livestock production potential by the introduction of Sahiwal and Ayrshire bulls into the project area. In the process of supporting this activity, training in animal husbandry practices was provided and links for professional backstopping to the NAHRC Naivasha were created. Support in terms of animal health was provided through the contact herder programme backed up by the veterinary services in the district and the TDP Advisor on livestock production. As additional support, two stud book herd farms were established with the view of making superior breeding material available to other farmers.

The scarcity of bulls from outside sources was a major concern and not enough bulls could be obtained since the demand for improved bulls was high. The relative low level of involvement from the Divisional livestock staff in doing follow-up with the farmers that bought improved animals was a further constraint in implementing this activity. It also seems that the relative high prices for the breeding stock made it difficult for farmers to buy these animals.

The potential importance of the Red Maasai Sheep (RMS) was recognized and the project managed to establish a small nucleus herd at the Kenya Agricultural Research Centre(KARI) in Lolgorien. The facilities at the KARI station in Lolgorien were improved and the first progenies of the herd were born. The current demand for the Red Maasai Sheep amongst the farmers is not known. The sources to get superior RMS breeding materials are limited. The involvement of the local extension staff and the office of the DLPO is limited.

In terms of apiculture, considerable awareness creation and training of communities groups (including women) was done. A functional training apiary was established at Lolgorien and the Transmara Association of Bee-keepers (TAB) was supported with several inputs and the creation of a workshop for production of Kenya Top Bar (KTB) hives in Kilgoris. Several farmers and communities have bought these KTB hives.

Currently no facility for the processing of honey and wax exists. The roles between KARI staff in Lolgorien and extension workers in this regard are unclear. There is currently a lack of professional capacity amongst local staff. Another constraint is that potential buyers are not always aware of the honey that is available. There is a lack of adequate training aids. Some management problems regarding theft and pests do exist. The bee-keeping groups that were established are not sustainable at this stage and they cannot yet function independently. Allegations of mismanagement of the workshop of the Transmara Association of Bee-Keepers (TAB) were made and it will have to be addressed.

The importance of proper marketing of livestock and livestock related produce has been recognized by the project, however, the complexity of the topic has meant that only marginal success could be achieved. A multi-disciplinary committee, the Transmara Livestock Marketing Promotion Committee (TLMPC), was set up with the view to come up with recommendations on how this activity should be handled in future. The preliminary findings of this committee were presented to the District Steering Committee in May 1997.

The contact herder programme to increase the access of veterinary services to livestock producers is a major achievement. This activity was taken one step further in training the women at boma level in treatment of livestock diseases. Follow-up training with the first contact herders was done and a manual for contact herders has been developed. Several exposure visits have been undertaken and intensive Training of Trainers has been conducted. The current unclear policy on contact herders and the use of ethical veterinary drugs is a major concern. The limited willingness of veterinary staff at district and divisional level to get involved also needs to be mentioned. The contact herders are not organised in order to be able to articulate their interests and the poor pay back of costs by the

contact herders to the TDP might be an indication of poor commitment from the side of the contact herders.

Awareness creation on community based tsetse control has been done. Several catalytic groups for tsetse and tick control were trained with the view to enhance the process of community involvement. Information collection as well as a socio-economic survey was done and the pilot phase of this community approach has started. There seems currently to be no clarity on the policy in relation to community based tsetse control. Communities make very limited financial contributions to the project which is an indication on the difficulties with the two approaches in terms of tsetse control. The community approach is still new to the communities and the staff have limited experience in implementing it. The tick component was discontinued and there seems to be a lack of co-ordination and co-operation between the DVO and TDP advisory staff in this regard.

A functional diagnostic laboratory in Lolgorien has been established with enough trained staff in place to be able to make a contribution towards improved livestock health in the project area. In Kilgoris a functional diagnostic laboratory has also been established to support livestock farmers in the northern part of the District. The communities currently have very limited knowledge about the laboratories and the services they can provide. The phasing in of mechanisms that communities have to pay for services rendered is one of the major challenges for the near future.

In order to improve the handling of livestock, several crushes have been built throughout the project area.   These crushes were built with the contribution (TDP 85%; Community 15%) from the communities and several crush committees were formed with the view to take responsibility for maintenance. The major constraints are the seemingly low level of commitment from the crush committees and the poor access to many of the crushes.

Even though TDP has carried out joint planning with counterpart staff, has developed and signed reports and planning documents with the relevant departments there was still a rather low level of direct involvement of counterparts on district and divisional level as well as the Front-line Extension Staff (FES) in the training, follow-up and demonstration activities. In part this seems to be due to differing approaches, in part it would seem that the counterpart did not actively identify themselves with the TDP activities and did not internalize the processes. With respect to the contract herders. the limited participation of the vet staff can mainly be attributed to the confusion regarding the national policy on contact herders and the handling of ethical drugs by contact herders. The reasons for this seem to be quite varied and polarised, nevertheless, a need exists to look into the problems and assess whether they can be resolved at all.

In terms of bee-keeping the major constraints are the lack of capacity of local staff on district and divisional level on improved bee-keeping practices, management problems in the TAB workshop in Kilgoris. Even though local processing facilities were developed and promoted, no central processing facility was recommended by any of the experts Furthermore, such central facilities have also not proved to be very successful in other parts of Kenya.

At the community level, the inability of the contact herders to repay their 40% towards covering the costs of veterinary kits issued to them after the training, the fact that there is currently no mechanism for district and divisional staff to supervise the activities of the contact herders and the point that contact herders are not organized in order to articulate their interests are all challenges which TDP needs to look into in phase II.

4.2.6   Crop production diversified and increased

Considerable success had been achieved with regard to the promotion of fruit, vegetables, cereals and legumes. Awareness creation on different crops and production technologies was done and farmers were recruited for demonstration purposes. Clean plant materials have been acquired and bulking plots have been established for distribution of materials to farmers. Several 4-K clubs and women groups are assisted in the establishment of vegetable plots. The biggest constraint is the acquisition of clean plant material for distribution to farmers and the current top-down approach of extension services.

The major achievements are the formation of two catchment committees in the project area for the promotion of soil conservation, the training they received as well as their exposure to other areas. Some 4-K clubs and women groups were also trained in soil conservation techniques. Communities are involved in the establishment of soil conservation structures.

The TDP and SIDA supported efforts are not harmonized in terms of the PRA methodology used (general vs. focused PRA). Hardly no follow-up is done by the divisional staff.

Assistance to farmers in farm planning has achieved considerable success in that many farms have been surveyed, data are collected and inventories are in the process of being established. Several staff members and farmers have been on training courses and exposure visits to other areas. The biggest concern is that the training was sometimes too technical and that the priorities of farmers were not always taken into consideration.

The promotion of on-farm storage of produce is a new concept for many farmers in the project area. A review on the status of on-farm storage was done, training needs were identified and training aids have been developed. Training of staff and farmers also took place. The follow-up on training was not adequately done and adaptation of technologies is slow.

In the field of providing support for on-farm and on-station crop research even though an operational plan was developed for crop research on the KARI Kilgoris station, this was not implemented to due to disagreements on the use of the land for other purposes. Nevertheless, on-farm research could have been conducted by KARI, a fact which was not done. Problems experienced is the unclear mandate of the Regional Research Centre at Kisii in terms of the Lolgorien sub-station as well as the lack of sufficient qualified staff at Kisii to support activities at Lolgorien. The whole issue of too low allowances for staff also aggravates this situation, or putting it differently, the allowances are not really allowances according to KARI rules and regulations.

Several 4-K clubs and women groups as well as staff have been trained in hygiene, nutrition, sanitation and energy conservation. Demonstrations of various energy saving devices took place. However, no uniform approach concerning cost sharing does exist.

The major achievement with regard to the promotion of a participatory extension approach was to secure commitment from MOALDM staff on the appropriateness of the demand driven participatory extension approach for the future. The challenge will be to find the necessary mechanisms to implement this approach.

Challenges which crop production sector still face include acquiring clean plant material for distribution, getting away from the top-down extensions approach, harmonizing PRA methods between SIDA and TDP, ensuring better extension follow-up, taking farmers priorities better into account and, agreeing on a practical cost-sharing approach.

4.2.7   Community based primary health care promoted

An important achievement of the project has been the training of trainers (TOT) for TBA's and community health workers. In addition, a district health forum has been established and a coordinator has been appointed by the members of the forum. Of importance has been the introduction of community based health care service, especially the establishment of 1 community service centre which can also be used for health related activities (two further ones are in planning). TDP has actively promoted kitchen gardens, general hygiene awareness, the protection of springs and use of VIP latrines in places such as Sitoka, etc.

Whether more could have been achieved is open to debate, especially given the fact that the implementing agency has not been overly willing to implement community based programmes, and they have also not given full support to the district health forum concept. A further reason could be due to the conflicting approaches by the different implementing actors. At the same time, the issue of land allocation for public utility has in some places impacted negatively on the programme because people are not sure where to locate facilities and whether they will be privatized or not when land adjudication is completed. The training which has been conducted so far has been limited both in numbers and clusters covered. Additional TOT and CBHW's training is urgently required and emphasis should also be placed on following-up the training which has been imparted.

Once again the implementing agency is not active in pushing forward the health agenda through the forum even though it is important so that the health implementors can develop common approach and concept to health issues. In some cluster areas, the communities are not sufficiently mobilized to understand the idea of cost-sharing on drugs. Furthermore, MoH staff argued that their needs have been largely overlooked since the creation of the district and are thus not able to implement the measures expected of them..

The project has experienced a difference of opinion and approach between the advisor and staff person in the Department of Home Economics which has made it difficult to implement the home activity measures. At the same time, front line staff are not trained to carry out the tasks. Due to the varying level of awareness in the community (which varies from clan to clan and cluster to cluster) communities in places such Sitoka and Miguerra are far more able to implement CBHC ideas quickly. Others such as Olopikidong'oe encountered big difficulties in implementing the ideas and require very close supervision and coaching. Thus, TDP will have to develop different strategies for each variety of community. This necessitates understanding the differences between the communities and being able to identify the exact training needs of each community in advance of undertaking measures with them.

4.2.8   Appropriate technologies

Even though appropriate technologies had been addressed in several of the results of the project (e.g. crop storage, energy saving jikos, etc) the planning for appropriate technology really only referred mostly to draft animal technology (DAT). Although a number of activities had been undertaken in the field, including demonstration of donkey carts as a form of transportation at the farm level, training of farmers in using animal traction, selection of artisans to be trained for appropriate technologies, the success in this field has been rather limited. DAT does not seem to find much enthusiasm amongst the target group. The reasons could be that the technology was not sufficiently "local" (i.e. local in the sense of being local to Transmara and not from Nairobi). The line department staff commitment to the whole idea of DAT and appropriate technology also leaves a lot to be desired. The whole idea of appropriate technologies may require a review in order to determine the type of technologies which may prove acceptable to the communities and in which areas they have a demand for appropriate technologies. In other words, a demand oriented approach needs to be pursued, whereby demonstrations of potential technologies could also help to determine the local demand for certain products. Here it is necessary to bear in mind that demand also has to be created for appropriate technology!

4.2.9   Deviations and conclusions

In 1994 the project did not produce a single plan of operations, but rather opted to develop individual plans with the relevant departments based on the eight results contained in the project planning matrix. These plans were agreed upon with the various partners, copies of which could be found in the well established filing system in Lolgorien. TDP tried to further define indicators and targets for the programme implementation with the various partners, however, although this work was completed, the indicators and targets were not strictly followed by the partners involved in the implementation process (examples of tables developed and used by TDP for planning purposes have been included in annex 10). In fact, it is unfortunate that for some sections of the TDP the plans remained academic since a number of the cooperating partners chose not to follow the agreed upon plans. In these cases TDP carried out most of the work on their own, which was not the purpose of the exercise.

The reasons for the lack of interest by a number of the sectoral line departments in actually carrying out the work agreed upon is difficult to define precisely, especially since each partner sees the causes quite differently from each other. In addition, the GoK project coordinator, while initially working very closely with the project, eventually seemed to implement activities without any form of coordination with TDP. Large amounts of GoK funds were disbursed for activities which were not covered by the joint work programmes, these seem to have been individually defined with little or no coordination taking place with TDP. Where and how these GoK funds were disbursed and who actually received what funds remains shrouded in mystery, particularly since it was not possible to get a detailed break-down of expenditures in direct relation to the TDP activities. This status is not very satisfactory and heightens the calls for much greater transparency of all the procedures and processes. The reasons why this took place leave a great deal of scope for individual interpretation. During the interviews very polarised positions were presented and it proved impossible to get at the real "truth" in the short period of time available for the PPR. It would seem rather pointless to mention any of the statements made by the interviewed partners since it was not possible to say whether the facts presented were broad based enough, particularly since there also seems to be a certain "hidden-agenda". What is absolutely clear is that tensions exist between almost all partners and these have to be removed and much greater transparency has to be achieved throughout all processes. Therefore, the PPR recommends that an external, unbiased person assists in the process of resolving the current impasse. The need for such a "mediator" is made all the more important since it is the firm belief of the PPR team that the present climate of accusations and counter-accusations simply leads to further tensions.

The experiences made with the last GoK project coordinator did not prove very encouraging. A gap existed between his official role, namely of coordinating the GoK resource inputs flowing into the TDP activities and the "unofficial role", namely of disbursing the GoK funds with little or no coordination with the TDP activities. This eventually led to a complete isolation of the person. While possible reasons for this have been touched upon above, it would be helpful if they are examined in a neutral and factual manner and not in an emotional manner which the PPR team often experienced during their field work. The exercise would be useful in order to understand what went wrong and why so that the mistakes are not repeated in phase II. Since the PPR team does not see itself in procession of all facts to be able to make a clear and unequivocal statement, it recommends that these are resolved in the next four months. Here, a neutral mediator and process manager would be very helpful, whereby the motto should be to create an atmosphere of trust and mutual respect. While it is important to learn from past mistakes and it is essential that no "hidden-agendas" are followed by all partners, efforts should be made to look to the future. It is necessary to develop the necessary trust and confidence so that joint activities can be undertaken. Failure to do this would really place the whole project in serious doubt. A similar GoK project coordinator is not recommendable. Instead, a transparent approach in form of the District Intersectoral Steering Committee (DISC) with regularly rotation of the chairman is probably a better approach for coordinating the activities.

4.3   Project guidance

Project guidance has to be seen from two main perspectives, guidance by the national counter-part agency (MoALDM) and the GTZ-HQ, whereby the GTZ-HQ has to be split into technical and regional guidance. Support from MoALDM has been forthcoming throughout phase I, however, the adequacy of the support has been questioned in section 4.1.2 above. Despite these deficiencies, MoALDM management, particularly the Permanent Secretary has always been very supportive of the project, defending it during the provocative questioning by the local Member of Parliament.

When a serious rift developed, mainly as a result of the role of the GoK project coordinator, MoALDM should have taken a more active role in resolving the problems. Clearly, the majority of constraints result from the guidance lapses and inability to take corrective action. The response of the national level for requests to resolve difficulties was often met by *ad hoc* uncoordinated action. Discussions by the national level representatives at the district level often seemed to result in announcements being made of changing procedures without having consulted all partners in the process, especially TDP management. One example of such a spontaneous decision being made and proclaimed at a large gathering was witnessed by the PPR team. This immediately led to questions being asked by those affected by the decision as to whether this is now an officially approved procedure since no official documentation existed on the matter. Furthermore, there was little or no participation or transparency in reaching this management decision, even amongst the national level staff. The result left most of people confused, wondering what should be done and asking themselves what the term "participation" really means. This was a good example of what many termed a lack of transparency in the decision making process. In future, such *ad hoc* decisions should be avoided, the necessary committees should be allowed to deliberate upon organisational ideas which the national level may have and should actively participate in the formulation of these decisions.

More active guidance by the GTZ-HQ for the project would also have been very welcome. At the technical level, the project would have benefitted considerably from good guidance while moving from a largely livestock related project towards a regional rural development project. Warnings of the impending problems which the project faced were voiced in the regular GTZ reports. A quick and coordinated action to deal with the issues was not always forthcoming. In fact the GTZ-HQ should have taken a much more active role in Transmara in searching for solutions, in determining how serious the problems are, in ascertaining the exact nature of the problems. For example, the GTZ-HQ has to decide whether serious issues such as land ownership can be simply "wished-away" or whether a more concerted effort has to be undertaken in order to ensure that the problems are addressed effectively. The problem regarding the lack of transparency, particularly of the GoK funds allocated to TDP, should have been investigated with considerably more vigour. This is all the more important when considering that this is not merely a unique problem to TDP but also affects some of the other projects which are being implemented with the same counterpart organisation.

The conclusion which can be drawn from all of this is that the project guidance was partly flawed by allowing matters to escalate to such an extent, insufficient action was taken to resolve important matters, too few field visits were undertaken by the responsible officers to see for themselves where

the problems are, too little critical dialogue was undertaken together with the project team. Furthermore, TDP could have profited from technical experts from the GTZ-HQ (e.g. as "sparring-partners") with whom they could test ideas, verify decisions, gain impressions how things are being done in other countries, get exposed to critical assessments, etc.

5.   RECOMMENDATIONS
5.1   Pre-requisites to be completed prior to planning phase II of the TDP programme

Even though the programme has been able to make good progress in the various areas listed above, a modification to the approach is being recommended by the PPR team as well as the fulfilment of specific pre-requisites prior to the commencement of the second phase of the programme.

In view of the fact that many of the interviewed partners were not entirely satisfied with many of the procedures involved in the programme implementation and the fact that a number of approaches have also not been harmonized, the PPR team recommends that all of these issues are dealt with before the next phase of the programme commences. In fact, the PPR team recommends that unless and until all issues are resolved to the satisfaction of all concerned partners, the next phase of the programme should **NOT** commence. The process of fulfilling the pre-requisites should be *facilitated by an independent and mutually acceptable person* in order to ensure that the necessary trust and confidence between all partners can be restored. The PPR team envisages that this process will take some 3-4 months and would involve the use of many common facilitation techniques which, in a "cascading" or "pyramid" form, would eventually lead to written agreements being reached between all concerned partners. Thus the dual objectives of the exercise would be *confidence and trust building* and *written and binding agreements*. The following are the main pre-requisites that have to be fulfilled in the next 3-4 months:

- revoking the current restriction imposed on TDP to carry out community mobilization and community based activities;
- changes to the TDP organisational structure at the national and district levels (particularly to de-link local politics from technical issues);
- appointment of a National Project Coordinator to ensure inter-sectoral and inter-ministerial coordination and project support at the national level;
- transparent allocation of TDP resources (both GoK and GTZ), clarification of roles and responsibilities at the district level;
- development of a transparent mechanism to address and harmonize land disputes currently hindering TDP community based activities;
- harmonization of concepts and strategies guiding TDP activities (in particular community mobilization and community based development);
- establish an improved information and communication system which ensures that all partners are regularly informed and which allows sufficient transparency;
- clarification of exact roles and responsibilities at all levels starting from the national ministerial level, down to the field staff level and agreement reached on the exact programme staff profiles needed for meeting the challenges;

- develop, agree upon and implement procedure for managing conflicts and contradictions that naturally arise out of the joint implementation the programme activities;
- community development approach has to be fully developed, harmonized and agreed upon by all concerned partners;
- streamline operations to avoid parallel process and structures. Integrate activities into the existing structures whereby the divisional level should form the focal point for implementation and where the community stands at the centre of all activities;
- gaining special permission to undertake pilot measures with respect to forming different community organisations such as "NRM associations".

A plan has been developed during the Kericho workshop specifically to deal with the above mentioned pre-requisites. This plan was agreed upon by all participants and includes objectively verifiable indicators which have been designed to determine how successful completion of the pre-requisites will be determined in November 1997 (compare table contained in annex 9a-9d and Kericho planning workshop documentation).

5.2   The changes to the TDP organisational structure

At the HQ level the broadening of HQ support for district activities through the NSC and the appointment of a chairman who will be selected annually on a rotational basis to act as the contact officer at the MoALDM HQ to coordinate and provide HQ support on policy, guidelines and backstopping. HQ would be expected to provide backstopping on issues related to current policy guidelines, programme budget provisions, monitoring and evaluation and would ensure that there is a full participation by district heads through an effective HQ supervision function. Where there are doubts about roles or possible differing interpretations by the implementing staff of these roles, then it is the task of the HQ through the NSC chairman to deal with these issues immediately.

At the district level the strengthening of district coordination through the institution of an intersectoral coordination committee (**DISC**) comprising of technical implementing line ministries. This require a consensus type of approach based on the experiences of the programme in the current phase. Specifically this has the objective of facilitating a process of de-linking the programme from undue interference at the technical level; of institutionalizing an appropriate mechanism for ensuring transparency and accountability with regard to available resources. A major outcome of these action would be to effect measures that would reject applications for improper and unplanned use of programme funds. Improving intersectoral cooperation through a more transparent and a more collective approach to decision making will also be an important objective of the DISC.

This implies that coordination of project activities will in the future be transferred to the DISC from the GoK coordinator (compare figure 3). TDP linkages to the district development structures will continue since the DISC will be a sub-committee of the District Executive Committee and the District Development Committee.

- improving the allocation of scarce resources;
- avoidance of duplication and overlapping responsibilities and activities and enhancing co-operation and co-ordination;
- improved targeting of activities and measures based on a long-term district planning objective and not only on short-term sectoral priorities;
- improved assessment of sectoral thrust areas based on realistic developmental objectives;
- encouraging a systematic, self-improving and cyclical planning, implementation and management approach;
- establishing and sustaining a dialogue with all concerned actors and the target population in the development process so that innovative and creative solutions based on the potentials can be continuously developed.

Improving district planning requires two aspects, firstly, a planning, management and implementation **bottom-up process** needs to be set in motion. This process needs to reconcile local needs, priorities and aspirations with national priorities and policies. Secondly, as a result of this process a two pronged development **plan** needs be developed consisting of a longer term development **policy statement** and a more detailed **district development plan**. The following recommendations describe both the process and the plan in the light of the restrictions which have been identified above.

♦ **Process Orientation**

Process orientation (which should include a systems approach) is probably by far the most important component which needs to be set into motion in Transmara district. Experience in other districts and countries indicate that too often emphasis is placed on the development of the plan and not enough attention is placed on the on-going process.

Since one of the main objectives of the planning and management process is co-ordination, the limits of this method need to be born in mind in order to maximize its impact. Co-ordination can only really take place if the participants see any value in it either for themselves or for their organisation and it is therefore not only the responsibility of the DDO and DDC (i.e. the "planning unit") to strengthen this process but also that of the district administration. Therefore, gaining the sectoral line departments trust in the planning process will be of greatest importance. Their co-operation is needed in order to gather the necessary secondary information needed to initiate the planning process and together with the planning unit, the sectoral line departments and the target population need to evolve realistic, innovative and far-sighted solutions to the current problems. While it is highly desirable that an institutionalized trust is built up between the planning unit and the line departments, experience shows that this is largely be based on personal trust. Once a degree of trust has been established then it becomes possible to institutionalize this on a longer-term basis.

Of great importance is to mention that the "planning unit" does not replace or take over the roles of the sectoral line departments, it can only work hand-in-hand with them. The line departments, in close conjunction with the communities, will always continue to be the main agency involved in

planning and implementing the activities. The planning unit can, on the other hand, play an important role in facilitating a multi-sectoral and multi-disciplinary approach. In this way a more co-ordinated and imaginative approach to solving the existing constraints can be expected.

Promoting the coordinated development process will be dependent upon ensuring that a "dialogue" is enhanced between all the actors involved in the process.

"Dialogue", "coordination", "cooperation" or any other such word are always easy to write but often prove exceptionally difficult to implement. These processes can not always be formalized but they do rely heavily on personal contacts. Essential for an effectively functioning process is that the so called "hidden-agendas" are reduced to an absolute minimum, since they undermine any transparent process! The planning unit must be staffed by people who not only exhibit a good professional planning background but they also need to be good communicators, co-ordinators and managers. Their ability to deal with conflicting interests, political diversity coupled to their ability to manage the process is as important as their actual planning knowledge. The reasoning behind this is that development planning can not, however much one tries, be divorced from political processes. This invariably may cause conflict and a planner who is unwilling to involve him/herself in this process will not be able to tackle the planning needs and requirements of the district. All of this belongs to the planning unit's ability to manage the developmental process.

What should be avoided is enhancing and possibly reinforcing the exercise of bureaucratic power. Often decentralized planning simply ends up strengthening and enhancing the powers of the centralized institutions. Replacing a centralized structure with a overly strong district administration can not really be called decentralization, this is commonly caused deconcentration. Furthermore, the planning unit must not assume the role of trying to "centralize" all activities at the district level, this will simply stifle development activities. The **development process** has to encourage inventive and innovative ideas being developed and for this to happen a participatory, bottom-up approach is essential. This poses a big challenge for the planning unit.

♦   **Route to an improved district development plan**

At the district level the development plan can be made up of two sections, the first being the development strategy (this could be called a District Development Policy Statement) and the second being a more detailed District Development Plan. The purpose of splitting the plan into two sections is based on the need to produce one document containing a "political" part and another more a technical part. The policy statement will define the long-term goals and objectives of the district and it should constitute the "vision" the planning team proposes for the district. This policy statement must be detailed enough to ensure that it receives the necessary political approval yet it must avoid providing too much detail to avoid confusing the reader. The development plan should contain a detailed analysis, projections and technical plans for the district.

There already exists a great deal of information on Transmara district and in view of the considerable costs which would be incurred in collecting baseline data, it is recommended that mostly secondary

data and information should be used. In some cases it may become necessary to carry out additional data collection in order to provide a better differentiation of the problems and potentials of the district. An immediate task should be to decide on a systematic approach of collecting the secondary data and analysing the information. There are a host of different techniques which can be applied, these can be gleaned from numerous literary sources.

The following are the main areas of action needed to be able to develop a strategic policy statement and a detailed plan for the district:

- continue the process of developing community action plans throughout the district;
- complete the assessment of existing information and data;
- decide on the contents for both the policy statement and the development plan;
- liaise with all concerned actors in the development process and start collecting information on the basis of the needs identified for the development plan;
- apply a number of analytical techniques to the data collected in order to provide a more spatially differentiated analysis of the problems and potentials of the district;
- continue to use a variety of graphical, pictorial or mapping techniques (e.g. GIS) to depict the results of the analysis;
- collect, where necessary, additional data in the field. Students from the universities or field personnel from the sectoral line departments could be employed for these purposes;
- regularly liaise and collect information from the village level planning process, the community groups or later from the community action plans. Ensure that these ideas are built into the planning process at the district level;
- formulate a tentative development policy/strategy for the district and circulate this for all actors to comment on;
- develop scenarios and policies for the district to follow on the basis of realistic developmental perspectives;
- develop creative solutions and proposals for developing Transmara district jointly with all concerned actors;
- formulate a development plan for the district;
- seek the approval of both the development policy and the development plan in the local system;
- regularly update the development plan based on new ideas developed by the villagers, private individuals, sectoral line departments, NGOs and so on;
- continue encouraging and supporting the village level planning, implementation and management process, whereby special attention and emphasis should be given to the whole issue of gender balance and gender specific activities and actions.

Ideas for a table of contents for the development plan should be only seen as providing a tentative guideline. During the planning process all parties involved in developing the plan need to agree on the contents. A compromise between excessive detail and subjectiveness needs to be struck, whereby the emphasis should be a defining a visionary interpretation of the available analytical results. As a tentative suggestion, the table of contents encompassed in annex 11 could be used as a guideline.

Apart from improving the district planning process and eventually the district development plan, the following aspects should also be either further developed or completed with the assistance of TDP:

- complete the construction of the DIDC and assist in operationalizing the DIDC. A manual system for information collection, storage and loaning should be developed initially before thinking of computerization. This would require the DDO to systematically collect all available information and documentation and store these in the DIDC. A proper book-lending procedure should be developed The DIDC could also offer general reading facilities for the community;
- the GIS unit in Lolgorien should be accessed by all planners in the district, whereby particular attention should be given to the DDO, the district surveyor and the district physical planner. Training necessary for this should also be undertaken;
- examine and assess practical and economically viable options for sustaining the GIS in the district, either as a unit within the DIDC or as a service unit of the county council or possible even the privatization of the service.

5.3.2   Community based organisations

Guidelines for the promotion of community based organization should be finalized by TDP, agreed upon and adopted by all implementing partners. The guidelines should be accessible to all partners and be used to enhance the streamlining of approaches and the promotion of organizations. The use of PRA as a training tool by TDP should continue with modifications as indicated in the step by step document. However, despite the effectiveness of PRA, there is need to apply other community - based/ participatory skills depending on the given situation. In order to avoid the conflicts in approach, TDP should seek a clearly documented agreement on the use of PRAs. TDP has to be allowed full access to communities to continue the training process which is currently stalled because of the decision by the District Steering Committee that TDP stops conducting PRAs.

TDP should continue enhance the capacities of associations in order to de-link them from political patronage so that they can become agents of development. At the moment, many groups such as women and 4K - clubs are very vulnerable to being politicized to the extent that their development objectives are blurred. The groups generally offer a good opportunity to act as agents of change or even may become service providers (e.g. TAB) but currently they lack the necessary skills and vision to take up these roles. Specific training to enhance these skills needs to be undertaken, whereby the training may often be more akin to coaching rather than direct training. Well functioning community organisations could fill the gap which exists as a result of the limited number of NGOs in the area who usually provide many services and promote community activities. During phase II of TDP greater emphasis has to be given to the community organisations, whereby a review of the conceptual approach and methodologies being employed by the programme should be carried out prior to expanding the scope of the activities.

The DDC and its sub-committees including the County Council members should continue to be sensitized on community-based approaches as well as PRA. The local leadership for example, chiefs, assistant chiefs, village elders, councillors, teachers and other opinion leaders should be

encouraged to attend community training so that they become aware of community needs as well as becoming sensitized to some critical concerns like gender and development, land ownership.

There is need to build capacity amongst all implementing partners to better understand the concept of community based participatory development. In as much as the concept is familiar to implementing partners, there are inconsistent government policies which are at times hostile to participatory approaches and there are different perceptions of what participatory development is all about. Besides, many people have limited or no skills on community based participatory development. As a result the approach seems complicated, time consuming and even threatening to some people. Capacity building should help demystify the concept, clarify the misconceptions and provide skills in areas such as conflict management and equip community mobilizers.

The whole issue of staff for community mobilization has to be looked into. One suggestion is that mobilizers working in the community should be selected by the community themselves (similarly to the contact herder system). Assistance should be provided in the selection process to ensure that people are selected who really can meet the needs of the community (possibly form 4 leavers). Thus each community would have its own mobilizer who would either work on a voluntary basis or the community could deliberate about providing some compensation for the services. What is important is that TDP and the service providers would not pay for these people, this must be part and parcel of the community contributions to their own development. At the same time a support system has to be established so that the community mobilizers get regular support and training. Here one or possible two persons could be hired at the divisional level by TDP. The reason for this is that there simply are not enough persons available in the GoK system who could cover these activities. It would be good if these divisional staff are highly knowledgeable about local customs and traditions, are from the local area and appreciate the differences which exist between the communities in their division. At most these staff would be equipped with motorbikes, vehicles would not be necessary at this level. The task of the staff would be to concentrate on community mobilization and community development. While interacting with all the sectoral service providers at the divisional level, they would coordinate their work through the process described in the previous sections. Care should be taken to avoid getting the divisional level mobilizers into a precarious position where they control TDP resources at the divisional level since this would simply lead to many of the frictions which are currently hampering operations at the district level and would also seriously undermine their neutrality vis-a-vis the community and the community mobilizers. The above ideas should be further expounded by TDP in the next few months so that a realistic strategy can be presented at the planning workshop for phase II of the programme. How best the TCC is able and willing to take up part of the activities being proposed above also needs to be further explored by the programme.

Operationalization of the approach needs to take into account that all divisions in the district eventually need to be covered. It is not sufficient merely to concentrate on a few cluster areas hoping that the ideas will spread throughout the district on its own. Action needs to be undertaken to plan a systematic approach of developing inter- and intra-community linkages as well as developing the linkage process from the community level to the locational, divisional and district level. Thus, the three pronged approach of developing and strengthening communities (including community based

organisations), strengthening the service providers and accessing developmental resources would form the back-bone of the new TDP conceptual approach (compare section 5.4).

5.3.3   Support to district infrastructure

It would be important that the activities which have been started in the current phase of the programme are completed. This would mean that:

- the road to Sitoka should be completed;
- the DIDC centre should be completed;
- and the remaining work on the C17 road should also be completed;
- in addition, infrastructure works should be community needs oriented. In other words, in future, the community action plans should be examined and joint assistance to certain infrastructure activities could be provided.

For the next phase of the project, if the bottom-up community based approach is to be undertaken, then it will not be possible to define in advance what infrastructure requirements will have to be planned, these would result from the community action plans which will be developed by the communities. One proposal is to expand the so called community development fund (CDF) out of which a certain portion could be ear-marked for infrastructure development work. On a yearly basis, the CAP's would provide ideas as to what the community plan to carry out and a prioritization could then be undertaken based on the resources available. Once again, care and attention must be paid to ensuring that the yearly GoK planning cycle described in the annex is followed (compare figure 7), otherwise it will become an impossible task to access GoK funds for infrastructure developmental activities.

5.3.4   Sustainable natural resource management

As many of the ideas in NRM are still new, the programme would still have to continue to develop and test various different aspects of the approach. In principle, a combined approach of improved pastoralism combined with community management and use of forests coupled to eco-tourism seems to be a very promising way in which a unique ecological area can be sustained over time. In addition, NRM will feature prominently in the district planning process, since it is one important aspect for developing Transmara district. In the NRM sector the following aspects should be further examined:

- continue to develop the "association" approach for NRM management by the communities;
- assist the communities in assessing the forest resources available in a systematic manner;
- assess jointly the wildlife potential in the area;
- systematically examine how eco-tourism can be realistically and viably be attracted to the areas, including marketing strategies and development of brochures, etc;
- assist communities to develop a balanced RNM model for their areas whereby economic viability and sustainability should be focused upon.

5.3.5   Livestock resources

Even though TDP has involved the Government of Kenya staff at district and divisional level, they should play a much bigger role in the planning and implementation of activities with the necessary backstopping to be provided by TDP Advisors. If the staff can not identify themselves with the TDP activities, then this would be a serious concern for the sustainability of the whole programme. Splitting the roles of district and division maybe a useful approach (as described above). Hopefully, this will enhance "ownership" of the project and improve sustainability. In addition, communities should be strengthened to be able to identify their own problems, finding solutions to their problems on a self-help basis and to be able to solicit support for those solutions they cannot implement on their own. Cost sharing of development activities will secure again "ownership" and enhance sustainability. Much more emphasis should be put on exposing people to improved practices in a guided manner with the view to adapting existing technologies and practices to suit their specific circumstances. Technical components are currently very diverse and it might be necessary to consolidate some of them in order to focus on the more needed areas according to the needs of the target groups. Clarification is needed on policy issues regarding contact herders and handling of ethical drugs. Approaches, specifically with regard to cost sharing by communities, need to be harmonized.

On the basis of the analysis, the following additional recommendations are being proposed:

- follow-up and backstopping of farmers that have established improved pastures and fodder plots need to be further emphasized (through FEW's);
- on-farm and on station trials and tests of other pasture and fodder varieties would be useful in order to offer new options to farmers;
- farmers need to be provided with information where to get seed and other sources of plant materials;
- farmers who have procured improved livestock need to be organised into breeder groups in order to enhance their ability to articulate their interests;
- existing farmers with improved animals as well as the stud book herds need to be used more as demonstration and training venues for awareness creation amongst potential clients.
- KARI station in Lolgorien has to be more actively involved in backstopping and providing links between the stud book herds and Naivasha Breeding Station. Training and exposure of local KARI, Divisional and District staff is to be pursued;
- research on goats and sheep crosses should be postponed to avoid to many diverse activities within TDP and should only be pursued if it becomes a clearly articulated community demand. However, identification of additional sources of superior Red Maasai Sheep breeding materials could be undertaken;

- the strategy for bee-keeping should make provision for the promotion of individual production, while group processing and marketing could continue. Training of local staff and communities in improved bee-keeping should continue, especially with a view to improving the organisational capability of the TAB;

- provision of marketing information on a regular basis through the district and divisional levels may contribute significantly towards improving the marketing situation;
- contact herders should also be organised into representative groups in order to enable them to articulate their interests more effectively, while at the same time the CH need to be better integrated into the livestock health services system. Here an improved reporting system needs to be designed and implemented which also encompasses an improved supervision process for CH by the veterinary staff.
- ways and means have to be found on how to include the tick component into the programme activities. Even though the CH are involved in the training of farmers on the proper use of chemicals at the individual level since community dips have not proved to be a successful option at present there is still a need to clarify the use of "pour-on's" as a dual tse tse and tick control chemical. This has to be done by the Director of Veterinary services;
- training of women at Boma level need to be continued;
- follow-up on training and exposure of contact herders should take place, with the closer involvement of KARI Lolgorien. It would be very advantageous if the activities of KARI are also decentzralized to the divisional level;
- for cost recovery and other purposes, the establishment of a Veterinary Revolving Fund needs to be investigated;
- improved links between Frontline Extension Staff, Contact Herders and the laboratories have to be developed in order to improve services to the communities;

The whole idea of cost recovery and participation of the communities has to be streamlined so that a consistent policy is pursued throughout all TDP components. Generally, where economic gains can be expected from the activities (i.e. bee-keeping, crush pens, crops, etc) the communities directly benefitting from the measures should be expected to provide considerable contributions towards the cost of the activities. This is important to further wean the communities from the dependency syndrome and also helps foster greater "ownership" and responsibility towards the developmental measures undertaken.

5.3.6   Crop production

In general it is recommended that with the introduction of cash crops, the private sector and control boards have to play a larger role, since they know better what is needed for the markets and where the problem areas are. As both TDP and the relevant sectoral line departments would have to "acquire" the necessary know-how for these cash products, it would not seem advisable to get involved in these areas. TDP's role could be to simply act as a mediator, informing the control boards that a demand exists and, at most, creating linkages so that they can contact the communities requiring the services.

Rather than establishing too many new trials and tests, greater emphasis should be put on exposure of farmers and groups to existing demonstrations and bulking plots on-farm in order to spread the message. Such exposures can take place also in adjoining district and areas where successful farming systems can be seen and demonstrated. These exposures need to be further underlined by

providing farmers with greater support in organisational matters as well as technical issues, including planning of farms. The establishment of a district farm management data base should also be looked into. Greater involvement of KARI in Kisii should be strived for, particularly for on-farm adaptive research. These farms could also serve as important demonstrations places for local farmers. Research in general should be more on-farm rather on-station and researchers should be incorporated into an on-farm farming systems research and extension (FSR&E) approach.

Clarification on the approach and type of PRA to be used needs to be obtained, especially with respect to the promotion of soil conservation according to the catchment approach. The catchment committees need to be further strengthened through training and exposure.

A review of the impact which training and exposures have had both on livestock and crop production should be undertaken. As a result of this a training needs and assessment should be re-assessed and training adapted accordingly. The focus of training should be on the farmers and the communities, whereby training of trainers could be undertaken at the divisional and district levels. A balance has to be found between training and exposures, depending upon the effectiveness of the different approaches. Given the fact that there are already many interesting examples in and around Transmara where local farmers have successfully introduced new ideas, these should be systematically assessed and used for demonstrations purposes. New trials should only be undertaken if no local examples exist.

5.3.7 Primary health care

In order to ensure that health matters are addressed coherently, the District Health forum should be strengthened and operationalized. This means that the MOH should be active and committed to the agenda. TDP could assist in the process of developing an agreed upon policy and approach by all implementing partners on CBHC.

Furthermore, given the very limited availability of health facilities and the fact that most of the illnesses can be prevented through education/ awareness, it is recommended that TDP should continue with the training of health workers and TOTs. In addition, the implementing agencies should jointly establish common criteria for renumerating health workers in order to avoid conflict and demoralization of some health workers.

The idea of a community service centres which can also be used as a form of health centre is good and already the project has introduced the idea in Miguerra. This approach should be continued. Since most communities do not have other facilities like halls and school children lack space outside school, community service centres may include a small library space where newspapers, books etc are kept for people to come and read and discuss. This may cut down on idleness and drinking.

Similarly to the other activities the expectation is that communities will define their developmental demands. Assistance and advice can and should be provided so that realistic activities are selected by the communities with respect to health care. In other words, in future communities will decide via

their CAP's the emphasis they would like to give community health care activities. In a second stage TDP can then examine how it can assist the communities in achieving their desired developmental goals.

5.3.8   Appropriate technologies

With regard to appropriate technologies a more demand oriented approach needs to be undertaken. Whereby, demand is also something that needs to be created, thus a combination of demonstrating new appropriate technologies and possibly modifying technologies for local needs and requirements could be partly used to increase awareness and raise demand. However, it is recommended that:

- training of trainers has to be continued local artisans have to be involved together with the farmers in the design and testing of equipment.
- existing tools and equipment must be modified for the local use.
- one possibility might be to get communities organised in such a way that they share the use of the more expensive equipment.

5.4   Conceptual changes in the TDP approach for phase II

Transmara is and will remain a predominantly agricultural, livestock, forestry and wildlife area. Thus these sectors will form the backbone of any economic development which the district would undertake. This in turn justifies the reason why the main counterpart organisation of TDP should remain the MOALDM, apart from the fact that there really is no alternative institution which could be recommended at present. The above mentioned potentials can only be tapped if some of the debilitating factors are tackled, which could include such important issues as education, health, water supply and infrastructure. Thus the PPR recommends that agriculture, forestry and wildlife should remain the focal point of the programme work while at the same time dealing with those aspects which hinder the communities from tapping these potentials. In other words, the TDP should not entirely concentrate on education, health or water but rather deal with these issues when they actually hinder any community from tapping the existing potentials. The PPR team recommends cutting down on the number of results in the PPM and focusing more on community led development approach supported by a community development fund (CDF) and a divisional community service fund (DCSF)

A change in the approach of the programme rests on five main aspects:

- reduction and phasing out of crop and livestock trials, apart from specific on-farm trials;
- clarification and agreement on a district wide community development approach followed by a systematic approach for coaching communities, culminating in the development of community action plans throughout all communities in the district;
- provision of a Community Development Fund (CDF) to initiate the community based approaches and a Divisional Community Service Fund (DCSF) to provide resources so that the service providers at divisional and possibly district level can meet the services needs of the communities;

- revitalization of the locational and divisional DDC structures and procedures to assess and approve the community action plans from "bottom-up" (and not channelling these immediately to the DDC at the district level, as currently happens);
- provision of a regular flow of information for planning and development issues leading eventually to a coordinated, properly analyzed district plan based on different development scenarios, a community based land-use plan and lobbying for additional funds at national level to strengthen the community based approaches in the district.

Although the theoretical institutional framework for decentralized planning and development in Kenya (DFRD) is very good, the facts on the ground indicate that considerable "centralization" has been undertaken at the district level. Furthermore, there are very different ways in which "participation" of the population can be interpreted. While the exception is the inter-active participation of the population, the rule is that the population are mostly only "informed" of decisions which have been taken for them. The emancipation of the population to actually determine their own destiny is therefore rather limited at present.

The long-term sustainability of the process depends on several factors. It will be essential that beyond the community level (i.e. at locational, divisional and district levels) structures can be revived or created which work in conjunction with the communities by providing technical expertise and financial support where necessary. This will in turn necessitate an intensified planning and implementation process also at these higher levels in order to alleviate factors impeding development in the communities and the district in general. This process will comprise the following sections:

- a sustainable process of analysis, planning and implementation institutionalised at community level which encourages communities to develop activities which they can implement entirely on their own as well as those for which they will require services from outside the community (either advisory or resources);
- a systematic process for ensuring that community plans are moved from the sub-locational level through the locational and divisional up to the district level, where they are eventually discussed and endorsed by the DDC;
- the lobbying for and securing of additional funds for the district above and beyond the very limited funds provided by the sectoral line ministries;
- the elaboration of a broad based district development plan which is more than the simple aggregation of various dissociated sector or community plans.

This means that it will not only be sufficient for TDP to reach more communities but also it has to work intensively on institutionalising a coherent and comprehensive development process, particularly at the divisional levels. The legal framework for this is given by the "District Focus for Rural Development" strategy which has, however, never functioned in a truly "bottom-up" way in the district to date. Even if it can be revived at sub-district level (or more exactly: brought to life for the first time) some obstacles will remain. For example, the capacity of the administration and the sectoral line departments to support and sustain an intensified development process in the district will remain limited in terms of technical skills and financial means. The fact that neither TDP nor the

GoK is in a position now or in future to completely resolve all problems at the district level, in particular the issue of transportation and infrastructure means an approach has to be found where the service providers are close enough to the community (e.g. within reasonable walking distance for the community). Here the locational and divisional levels really offer the most promising hopes.

The proposal rests on the notion that the divisions, locations and communities will be the implementation level while the district level will deal with intersectoral planning, monitoring and evaluation. This approach in fully in line with the current ASIP proposals of MOALDM.

In any planning and implementation system there are different processes which have to be undertaken. These processes function at the micro scale (e.g. analysis, projections, planning, implementation, monitoring and re-planning) as well as at the macro level (e.g. community, divisional, district and national planning). In order to have any sustainable impact, it is important to understand that these processes take place at different levels, some of which are independent of each other, some have a higher level of dependence. Figure 6 depicts the processes which are supposed to take place between the various different levels. It is necessary to bear in mind that at each level some form of analysis, planning and implementation takes place.

The following short description describes the four main processes which have been depicted in figure 6, the relationship between the various process has also been briefly elaborated:

PROCESS 1:

Starting at the community level, the TDP project has acquired some experience as to how community based analysis, planning, and implementation (API) can be effectively initiated and sustained within the target communities. Of importance for phase II of TDP is that the that process 1 is expected to operate independently of whether any external (i.e. external to the community) assistance is provided. The objective is to get the communities to take a much greater interest in their own development, to take charge of the developmental process within their community in a participatory manner. This process has to continue year-in-year-out. For this to take effect, communities have to designate a community mobilizer who is supported by a divisional level mobilizer. While at the community level, the community selects and decides who will be their mobilizer, the capacity at the divisional level will have to be further examined. Presently, it seems unlikely that sufficient personnel are available at the divisional level, unless TCC can be convinced to hire such mobilizers. Thus it is likely that TDP will have to recruit and hire such persons in each division. Their task would be to actively promote the community mobilization in their respective divisions. One coordinator at the district level would be able to coordinate the work of these divisional mobilizers. In the next few months, the project should assess with all concerned partners how best the concept can be implemented given the current capacity at the district and divisional levels.

PROCESS 2:

Process 2 involves the gradual linkage of bottom-up planning into the decentralization process as formulated under the district focus process. What is clear to the author is that this system is currently largely dormant, particularly at the sub-district level. Process 2 will initially require the revitalization of the locational sub-committees. These have to screen the community action plans produced during process 1. What is important is that the action plans are scrutinized in order to determine what the community can implement on their own without seeking external assistance. Furthermore, the locational sub-committees need to assess whether certain economies of scale can be achieved, not every community requires services for themselves, some can be shared. For example, communities which are relatively close to each other can share a school, a health post, etc. Apart from screening the plans, the committee will also decide which applications should be forwarded to the divisional level.

At the divisional level, a very similar process will be undertaken. In addition, some of the communities requirements could possibly be met by the divisional level. In some cases the communities may simply require some advisory services, some good ideas or links to other developmental organisations. The divisions will then only forward those plans to the district level which can not be dealt with at that level.

Finally, process 2 is completed at the district level. Here the minimum requirements would be to screen all the developmental plans which have been forwarded from the 5 divisions, to determine how these applications can be dealt with. Once again, the district may be able to resolve some of the requests from the communities directly, either through the extremely limited resources available to the sectoral line departments, or through the provision of advisory services.

Process 2 focuses on a reversed "cascading" approach, whereby applications are systematically screened at the lower levels and the finally compiled at the district level.

PROCESS 3:

A severe lack of funds at the district level necessitates some imaginary approaches. There are funds available at the national level, many of these have not been tapped mainly due to the lack of an effective delivery mechanism at the district and community levels as well as the inherent distrust of the current decentralized machinery. Process 3 focuses on trying to get these funds to be disbursed in Transmara district. For this to happen, contacts have to be developed with the various donor and funding organisations. In addition, effective project proposals have to be written at the district level,

on the basis of the community action plans which have been developed by the communities. TDP has written a few such proposals which are currently being reviewed by the EU and others for funding purposes. What is important is that the CAP's have to be genuine requests from the community, have to involve measures which are sustainable at the community level, at should benefit the community directly. It is recommended that a task group is formed within the district made up of members from the DISC, including the DDO. This group has to assess all of the CAP's which reach the district level, have to sort these according to their sectoral applicability, and have to formulate project proposals to the various donor and implementing agencies. The success of this approach is heavily dependent upon the contacts which can be developed with the national organisations as well as on the quality of the applications made. Experience in other countries has shown that good applications can bring a great deal of additional funds into a district. A guarantee for the transparency and accountability of the funds has to be given, this could initially be given by TDP, by channelling the funds through the programme to the communities.

Three funds are being proposed: Community Development Fund, Divisional Community Service Fund and Community Recurring Fund (whereby the fund at the district level in the figure 6 only depicts the consolidated fund which will be operated at the divisional levels).

With a shift in implementation emphasis to the divisional level, there is a need to ensure that the service providers can actually carry out their services. The proposal is to have a "Divisional Community Services Fund - DCSF". This fund will be used to provide resources to the service providers so that they can undertake training and other advisory services to the communities. What assistance will be requested will always be directly related to the CAP's and can be planned on yearly basis (compare figure 6 & 7). For some sectors the consequence of this approach would be that if their services are not requested by the communities then they will not receive money from the DCSF. For the communities, the Community Development Fund (CDF) will be important source of joint funding of some of their developmental activities. The reason why two funds are being proposed is that experience has shown that if communities are given the option of selecting a service or a physical input (i.e. a school, etc) then they will always favour the tangible inputs. This would mean it would be difficult to pay for service functions from the CDF. Another argument for splitting the two funds is that it also encourages service providers to focus their attention on communities, to vie for their service requests actively and to ensure that a direct link between service provision and expenditure is established (similar to cost position accounting). The third fund being proposed is the Community Recurring Fund which the community have to establish and manage entirely on their own. No money should flow into this fund from TDP or any other sectoral line department, whereby if the fund is well managed and the community is active in its approach other external donors may decide to invest in the fund directly. The idea of this fund is that the communities generate and accumulate their own funds which are then revolved amongst the members for income generating, socio-economic or in some cases purely social activities. The design and management of the fund

can be actively assisted by TDP and the sectoral line departments through training, coaching, etc. This fund will be an important source for the communities to access for activities for which they will not receive external assistance.

PROCESS 4:

The fourth process in the approach centres on improving the quality of the district development plan. If district planning is to have any value at all for Transmara district, then it has to be significantly improved. The link between community planning and district planning can be gradually undertaken. Initially, all existing data and information has to be systematically collected. Once it has been compiled into manageable form, an interfacing with the community has to be undertaken. A series of consultative processes at important stages in the development of the district plan have to be undertaken with the community. Important milestones would, for example, be the completion of the data collection and analysis. The results could be further discussed and the consequences deliberated upon in close cooperation with the communities. Parameters which have to be set for the projecting of the district data and the development of the scenarios also has to be agreed upon with the communities. As has already been mentioned above, this process continues until the improved district plan has been completed.

Since the district plan will have to be continuously improved in order to incorporate the results of monitoring exercises, as well as continually changing frame-conditions, a community interfacing approach has to be maintained. Once the plan has been completed, it can be used as an important instrument for guiding developmental decisions, for verifying community action planning, and for directing resource utilization as optimally as possible. Process 4 can be undertaken independently at first. However, once community interfacing begins, then the process is gradually incorporated into the other three processes described above.

5.5 Critical factors, risks and assumptions

Presently, most of the risks and assumptions which can be formulated concern the next few months during which a number of important factors will have to be resolved prior to the next phase being planned. During this four month period it would also be important that the conceptual approach briefly outlined above is further elaborated upon so that the necessary information exists when the planning workshop for phase II of TDP takes place. Experience with the past phase has indicated that a great deal of "lip-service" is paid to many of the community based approaches. Thus one critical factor which will require constant monitoring is how far the service providers (including the sectoral line departments) and the district administration are willing to effect a true "bottom-up" approach. Further critical factors, risks and assumptions will have to be defined during the planning

workshop, based on the experiences made in the forthcoming four month period during which many of the pre-requisites are being dealt with.

Given the general willingness of all partners to resolve the outstanding issues in the next few months the chances are very real that a good solid plan can be developed for phase II of the project. However, the PPR team would still like to point out that the indicators, which have been established in Kericho for the period up to November 1997 (compare annex 9a-9d), need to be achieved in order to ensure that phase II of the project can be planned and can thus commence in mid 1998.

Figure 1: Current TDP organisation structure

TDP Organisation

Germany — Bilateral agreement — Kenya

GTZ

Ministerial and District steering committee

MoALDM

Advisory team

GoK Coordinator

C O M P O N E N T S

Livestock development	Farming system & crops	Community Development	Land use planning & NRM	District planning & Infrastructure
o Dept. of Livestock production o Dept. Vet Services — o KARI o NGOs	o Dept of Agric o District Farming System Team o KARI o NGOs	o Min of Culture & Social Services o Min. of Co-ops o Dept. of Health o TCC o NGOs	o Dept of Forestry o KWS o Min. of Water o Soil conservation o Min. of Lands o NGOs	o Min. of Planning o Min. of Works o DDC o DDO o DEC
Livestock breeding Livestock nutrition Range management Contact herder Apiculture Tse Tse control Livestock marketing Research	Crop diversification Farming system dev. Research & trials On farm storage Water harvesting Energy saving devices Draught animals tech.	Self-help projects Group promotion Coordinate groups NGO support Support Organisations	Tree nurseries Land use planning Soil & water conserv. GIS system Nat. Resource Manage. Coordinate actors	Lobby for funds Infrastructure & water Roads District planning

I M P L E M E N T A T I O N

C O M M U N I T Y   P R O J E C T S

Figure 2: Current organisational framework of TDP

ORGANIZATIONAL FRAMEWORK OF TRANSMARA DEVELOPMENT PROGRAMME (TDP)

GOK TDP National Coordination	Project Steering Committee (Composed of National and District representatives of CP-agencies and advisory team)	GTZ TDP Donor representative
GOK TDP District Coordinator	Intersectoral Committee (Composed of all district CP-representatives responsible for implementing TDP projects)	GTZ TDP Team Leader

District Planning & Infrastructure component	Natural Resource Management & LUP component	Comm. Dev. & Self -Help Promotion Component	Livestock Development component	Farming Systems and Crops component
GOK | NGO | Pri. Sect.	GOK | NGO | Pri. Sect.	GOK | NGO | Pri. Sect.	GOK | NGO | Pri. Sect.	GOK | NGO | Pri. Sect.
Liaison Officers | GTZ Advisor	Liaison Officers | GTZ Advisor	Liaison Officers | GTZ Advisor	Liaison Officers | GTZ Advisor	Liaison Officers | GTZ Advisor

Projects	Projects	Projects	Projects	Projects
Project or Team Coord.	Project or Team Coord.	Project or Team Coord.	Project or Team Coord.	Project or Team Coord.
Divisional coordination of projects KILGORIS	Divisional coordination of projects KEYIAN	Divisional coordination of projects LOLGORIAN	Divisional coordination of projects KIRINDON	Divisional coordination of projects PIRRAR
Tech. Service | CD/SH	Tech. Service | CD/SH	Tech. Service | CD/SH	Tech. Service | CD/SH	Tech. Service | CD/SH

I M P L E M E N T A T I O N

C O M M U N I T Y   B A S E D   P R O J E C T S
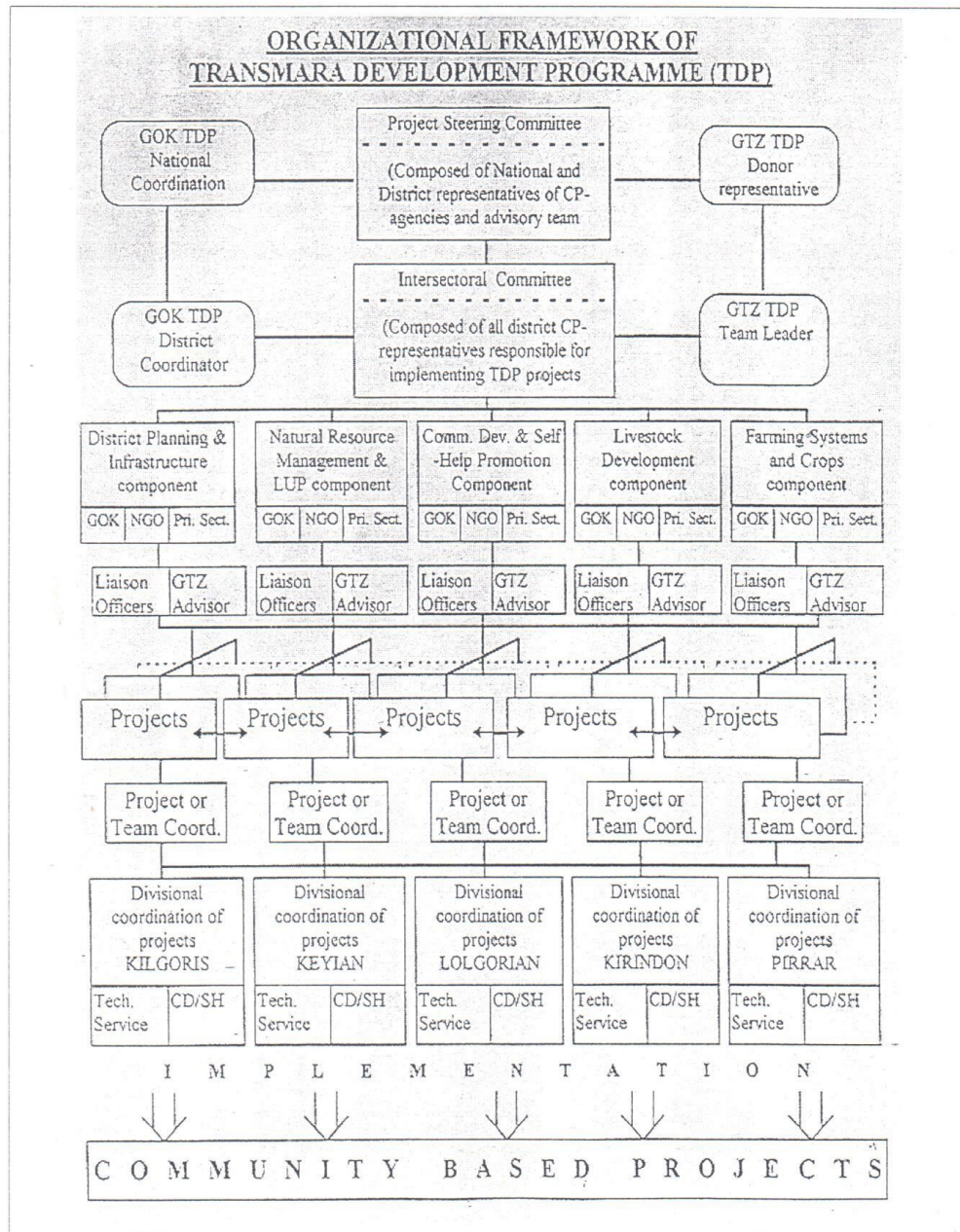
Figure 3: Proposed structure of TDP and linkages to DFRD

Figure 4: Current arrangements for the preparation and approval of Action Plans

Activity	Responsibility	Location
Action plan prepared	FEW/Div. SMS	Division, Location
Action plan reviewed	Section head	District HQ
Further review	Liaison officer	District HQ
Further review	Department head	District HQ
Further review	Advisor (TDP)	District HQ, Lolgorian
Approval of AP for GTZ funding	Advisor (TDP)	Lolgorian
Approval of AP for GoK funding	GoK Coordinator	District HQ
Departmental action	Department head	District HQ
Divisional action	Divisional head	Divisional HQ
Application for funds	FEW / SMS	Divisional HQ
Approval for funds	GoK Coordinator	District HQ
Acquisition of funds	District Treasury (GoK) TDP (Donor)	District HQ, Lolgorian
Implementation of activity	Community service provider	Project site

Figure 5: Proposed arrangements for the preparation and implementation of Action Plans
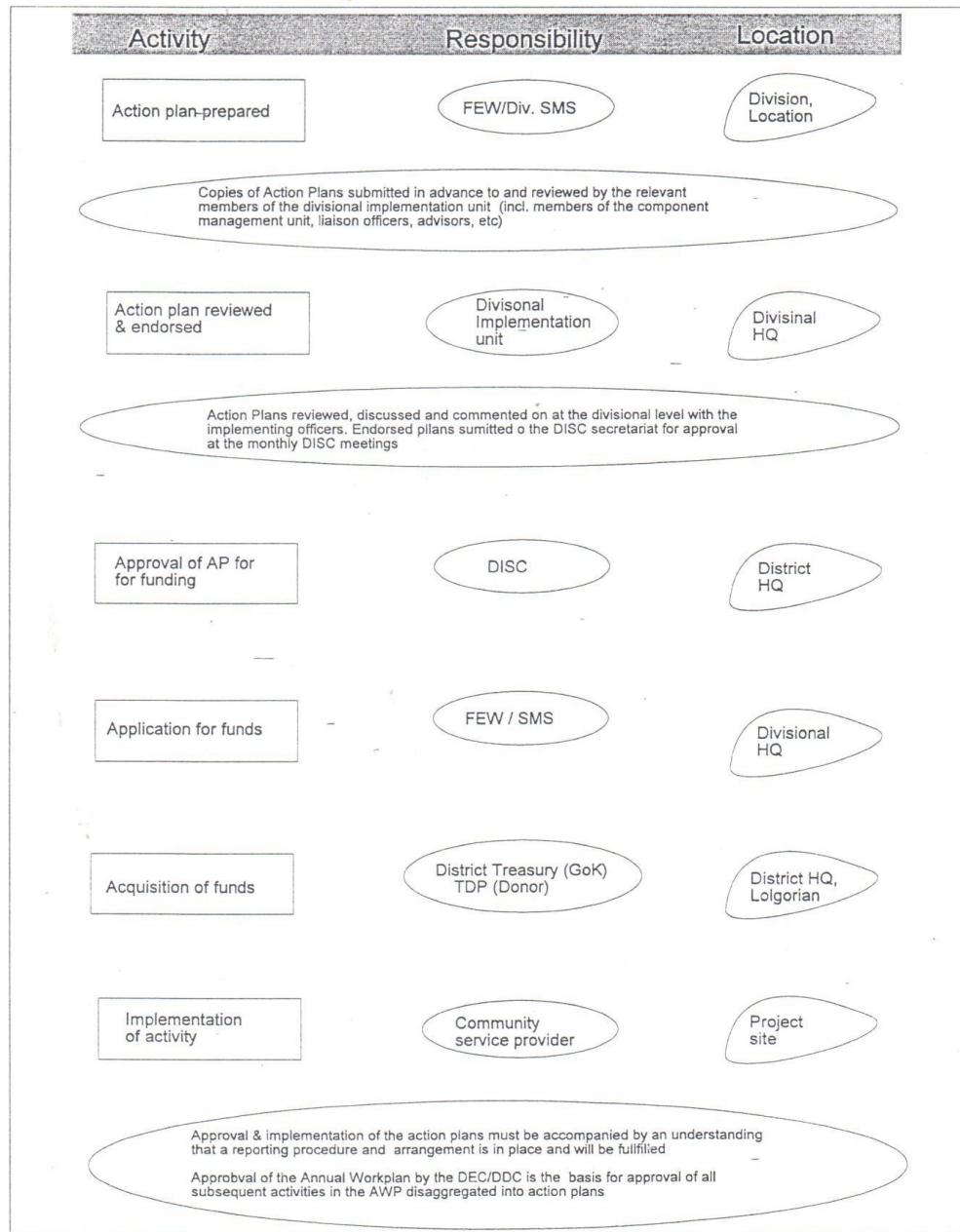
Activity	Responsibility	Location
Action plan prepared	FEW/Div. SMS	Division, Location

Copies of Action Plans submitted in advance to and reviewed by the relevant members of the divisional implementation unit (incl. members of the component management unit, liaison officers, advisors, etc)

Activity	Responsibility	Location
Action plan reviewed & endorsed	Divisonal Implementation unit	Divisinal HQ

Action Plans reviewed, discussed and commented on at the divisional level with the implementing officers. Endorsed pilans sumitted o the DISC secretariat for approval at the monthly DISC meetings

Activity	Responsibility	Location
Approval of AP for for funding	DISC	District HQ
Application for funds	FEW / SMS	Divisional HQ
Acquisition of funds	District Treasury (GoK) TDP (Donor)	District HQ, Lolgorian
Implementation of activity	Community service provider	Project site

Approval & implementation of the action plans must be accompanied by an understanding that a reporting procedure and arrangement is in place and will be fullfilied

Approbval of the Annual Workplan by the DEC/DDC is the basis for approval of all subsequent activities in the AWP disaggregated into action plans

Figure 6: Improved "Processes" from community to district level
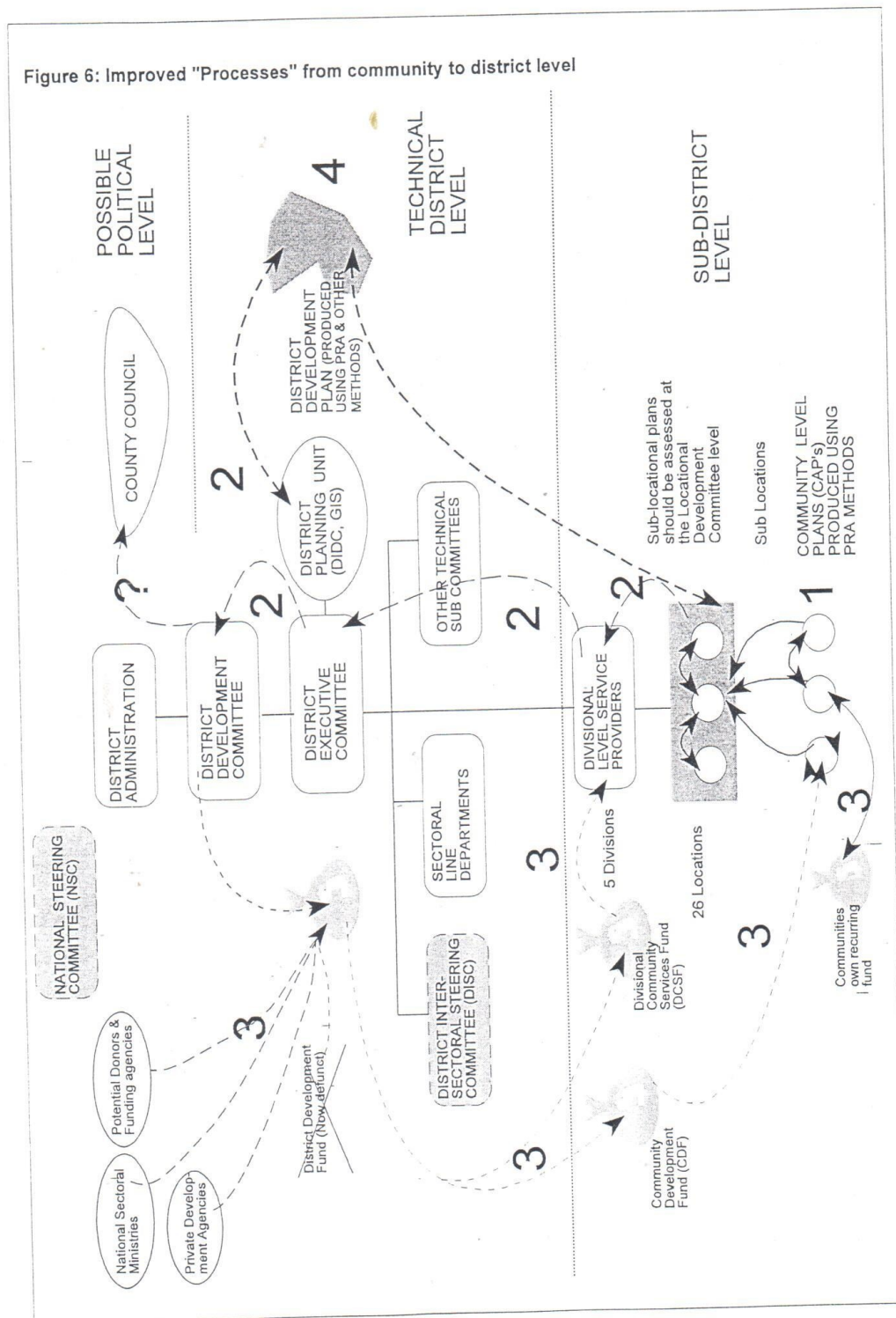
Figure 7: Proposed procedure to link community planning to the annual Government budget calender

GoK Budget Calendar	Purpose	When	Community Planning	Purpose	When
a) Public Investment Programme	Review, selection and planning of major, priority investment activities	Early July	a) Activity identification and selection	Identification, costing and selection of priority activities	By June
b) Programme Review and Forward Budget (submissions)	Review of programmes, projects and services as a basis for allocation of financial resources for the next 3 years	Exercise begins early July, submissions to treasury by September. Exercise ends in December.	b) Resource mobilization	Community mobilizes resources for planned activities	July/August
c) Programme Review and Forward Budget (Printed)	Reflects approved Treasury allocation of financial resources for the proposed activities over the next 3 years	The printed FB is released in December.	c) Progress review	Community reviews and assess extent to which targeted resources levels have been realized	November/December
d) Draft Estimates	Review and final submission to the Treasury of expected costs for planned activities using the FB for the year as a basis for funding request.	The Draft Estimates exercise begins in January and ends in April	d) Planning process	Community investment plans prepared and finalized	January/February
e) Printed Estimates (Annual Budget)	Approved funding levels for proposed activities which are presented to the Parliament for approval. These are the actual expected levels of funding which can be released for implementation of activities	Presented around mid June.	e) Implementation commences	Community action linked to GoK service providers commence	July
f) Revised Estimates (Supplementary Estimates)	Request for reallocations within the budget, new items of expenditure, increase or decrease of provisions in the annual budget	Begins in late November and ends in January/February	f) Implementation review	Community mobilizes additional resources to counter any increased costs of implementation	November/December

gtz

Social Policy Advisory Services SPAS - Kenya

Consultancy on DFRD / SDD

14th. September - 4th. October 1997
Nairobi, Kenya, Usingen, Germany

Report

on behalf of the

DEUTSCHE GESELLSCHAFT FÜR TECHNISCHE ZUSAMMENARBEIT (GTZ)
GmbH, Eschborn

Dr. Nikolaus Schall

22 October 1997

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List of Abbreviations & Acronyms

AHA	Animal Health Assistant
AIE	Authority to Incur Expenditure
AP	Action Plan
ARO	Assistant Range Officer
APTF	Anti Poverty Trust Fund
ASIP	Agricultural Sector Investment Programme
AWP	Annual Work Plan
CDA	Community Development Assistant
CRIPS	Committee Responsible for the Implementation of Participatory Strategies
DAEO	District Agricultural Extension Officer
DAO	District Agricultural Officer
DC	District Commissioner
DDC	District Development Committee
DDLP	Deputy Director of Livestock Production
DDO	District Development Officer
DDP	District Development Plan
DDVS	Deputy Director of Veterinary Services
DEC	District Executive Committee
DFRD	District Focus for Rural Development
DIDP	District Integrated Development Program
DISC	District Intersectoral Coordination Committee
DIU	Divisional Implementation Unit
DLEC	District Livestock Extension Coordinator
DLEO	District Livestock Extension Officer
DLMO	District Livestock Marketing Officer
DLPO	District Livestock Production Officer
DO-1	DC-Deputy
DSDA	Divisional Social Development Assistant
DVDC	Divisional Development Committee
DVO	District Veterinary Officer
DWO	District Works Officer
EU	European Union
EU CDTF	European Union Community Development Trust Fund
FAO	Food and Agriculture Organization (of the United Nations)
FEW	Frontline Extension Worker
FRG	Federal Republic of Germany
FSA	Farming Systems Advisor
GoK	Government of Kenya
GTZ	German Agency for Technical Cooperation
HQ	Headquarters
IFAD	International Fund for Agricultural Development
IFSP-Mwingi	Integrated Food Security Programme, Mwingi

IRDP	Integrated Rural Development Project
KARI	Kenya Agricultural Research Institute
KCC	Kenya Cooperative Creameries
KLDP	Kenya Livestock Development Programme
KIDEP	Kilifi Integrated Development Programme
KWS	Kenya Wildlife Service
LAB. TECH	Laboratory Technician
LDA	Locational Development Assistant
LDC	Locational Development Committee
LSDA	Locational Social Development Assistant
LUPA	Land Use Planing Advisor
M&E	Monitoring and Evaluation system
MCSS	Ministry of Culture and Social Services
MDP	Marsabit Development Programme
MoA	Ministry of Agriculture
MoALDM	Ministry of Agriculture, Livestock Development and Marketing
MOPW	Ministry of Public Works
MP	Member of Parliament
NGO	Non-Governmental Organization
NRM	Natural Resource Management
NSC	National Steering Committee
PC	Provincial Commissioner
PDLP	Provincial Director of Livestock Production
PDVS	Provincial Director of Veterinary Services
PMU	Project Management Unit
PPO	Provincial Planning Officer
PRA	Participatory Rural Appraisal
PSC	Project Steering Committee
RRD	Regional Rural Development
SDD	Social Dimensions of Development
SDDP	Samburu District Development Programme
SH	Self Help
SLDC	Sublocational Development Committee
SMS	Subject Matter Specialist
TA	Technical assistance
TAB	Transmara Association of Bee-Keepers
TBA	Traditional Birth Attendant
TCC	Transmara County Council
TDP	Transmara Development Project / Programme
ZOPP	Objectives Oriented Project Planning

1. INTRODUCTION

The district focus for rural development strategy (commonly referred to as the DFRD strategy or the Blue Book) was launched as far back as 1983. Prior to this strategy there were a number of other approaches which broadly rested on the principle of encouraging a multi and intersectoral approach to development at the district level in Kenya (these were termed Special Development projects). With the advent of the structural adjustment programme in Kenya a need to address the needs of the poorer sections of the population was also envisaged which gave rise to the Social Dimensions of Development (SDD) programme being officially launched in October 1994. Initially conceived mainly to cushion the adverse effects of the liberal-market economic reform policies in Kenya, the programme has been broadened to cover all poverty-relevant social programmes and projects in Kenya. It is meant to assess and harmonize all existing programmes and to launch new ones where gaps appear or mismatch between programmes and target groups occurs. The Government of Kenya has given high priority to the SDD programme, not least in the Public Investment Programme (PIP). The SDD also provided a framework for the follow-up on commitments made during the World Summit for Social Development in Copenhagen.

In a document labelled "SDD-Revised Approach" dated March 1996, marking the first substantial revamping of the initial SDD concept, the Government of Kenya, much in agreement with other stakeholder in the process pointed to the need

"....to revitalize the DFRD to make it more responsive to SDD delivery requirements. Such efforts will ensure that DFRD is restructured to ensure that local communities are involved in planning and implementation of the SDD projects."

The Government's commitment to this reform was repeatedly confirmed at Minister of State's level. Nevertheless, debate about an appropriate delivery system continued amidst wide-spread scepticism nourished by earlier negative experiences with District Focus institutions.

At the same time, the statutory body representing Kenya's non-governmental organisations, the National Council of NGO's, aired the idea of underpinning District Focus and SDD alike by some sort of generalized "lean PRA". These projects were (and are) very much in accordance with the expectations of a number of district development programmes eager to move forward after having done participatory exercises across various locations in their areas.

In the follow-up to the recognition of the need for DFRD reform a quite comprehensive training programme for district officers was carried out and district project proposals drafted. However, much to the disappointment of the stakeholder in the process, the acknowledgment of the DFRD reform needs never materialized, tangible proposals for institutional reform, although both SDD Secretariat and the Directorate in charge of the District Focus within the Office of the President were active in keeping the discussions alive. The NGO Council has also not elaborated on its idea to underpin the DFRD by some broad based participatory approaches.

Even having shed some light on the issues, the relevant documents produced to date have actually not reached a stage where a truly operational design for DFRD/SDD implementation structures has been reached. This applies even to those documents which have been labelled

"operational" or "action plans". Either general proposals are presented in optional form or core elements of a workable programme are not at all detailed in an executable manner.

Similarly, implementation of participatory approaches such as PRA, DELTA, COPP, etc and / or the creation of village level committees has largely remained issues of donor related projects. Little has been done to ensure that sustainable local community institution building actually takes places where communities are empowered to settle their own developmental priorities based on reliable information on economic opportunities and constraints.

After intensive consultation and in agreement with the management of all five Kenyan-German District Development Programmes (Transmara, Marsabit, Samburu, Kilifi and Mwingi) the GTZ on behalf of the German Government has requested a consultant to substantiate an operational proposal for the DFRD reform minima plus PRA like underpinnings. In first place, this is explicitly meant to be a GTZ input into the process, based on the ample field experiences which the agency has been able to accumulate together with its Kenyan partners. The proposals made in the report are supposed to be incorporated into a broader SDD framework and are to serve as a blue-print in some pilot districts after having been thoroughly scrutinized and modified by all SDD stakeholder.

The main objectives if the mission can be summarised as follows:

- examine current DFRD planning system and make recommendations for improvements;
- make suggestions for improving planning and implementation linkages with the grassroots level;
- examine ways of improving the district - national planning linkages;
- consider duality of Kenyan local administrative system (DFRD and County Councils) and determine how elements of local self-government can be incorporated in SDD and decentralized planning;
- consider implications for institutional proposals contained in ASIP for DFRD/SDD reforms;
- synthesize proposal in precise amendments for DFRD "Blue-book" and for key SDD documents;
- identify for potentials of using participatory approaches throughout the district and assess how this can be practically done;
- investigate possible organisational structures at the various different levels village upto district level as well as along social criteria (women committees, youth etc) and along thematic related issues (water committees, etc);
- identify necessary human and other resources at various levels for purposes of facilitation and capacities at divisional and district levels in order to respond to community proposals;
- clarify procedures on how project selection criteria and targeting formulas are generated and applied within DFRD/SDD;
- integrate recommendations on proper use of contribution such as the Poverty Reports and PPA reports within SDD process;
- recommend structures of appropriate technical assessment of proposals and decision making processes at various levels and various stages of a project cycle within DFRD/SDD institutions;
- propose ways how the SDD district profiles can be improved to meet the needs of the target groups and SDD objectives;

- clarify legal and organisational requirements relevant for the establishment of the proposed Anti-Poverty Trust Fund and for proper coordination with similar funding sources (CDTF of the EU);
- investigate institutional conditions and legal implications for pooling of SDD like financial resources at the district level, complimentary to classical funding and ministerial budget lines;
- consider current partner structure of GTZ RRD programmes and examine strengths and weaknesses of being located within a sectoral line department;
- make suggestions for appropriate partner structures for RRD multisectoral programmes at the national and district level.

The objectives of the mission outlined above are quite ambitious and cover a wide variety of aspects. However they can best be summarized as follows:

- examine the current DFRD set-up, its strengths and weaknesses and propose changes which would ensure that the DFRD approach becomes a truly participatory grassroots approach for planning and implementing development projects and programmes, including specific targeted programmes such as SDD and examine how SDD can best targeted and implemented through DFRD or similar structures

2. MAIN DEVELOPMENTAL OBJECTIVES
2.1 District Focus for Rural Development

The District Focus for Rural Development (DFRD) strategy was developed in 1983 and has been revised three times (1984, 1997 and 1995). The current revision of the so called "Blue Book" stems from 1995 and forms the basis for the review and assessment carried out during this consultancy mission. The current revision of the DFRD strategy was found necessary as a result of the Ndikwe Report and the accompanying field evaluation tours carried out by the District Focus Task Force. The 1995 revision has focused on sustainable development as outlined in the Sessional Paper No. 1 of 1994 on Recovery and Sustainable Development to the Year 2010. The main objectives which have been defined in the 1995 DFRD strategy are as follows:

a. Broaden the base of rural development by moving most decisions on the planning and management of district specific projects closer to the point of implementation and the people who will be affected by these decisions.
b. Encourage local participation in order to improve problem identification, resource mobilization and utilization, project design an implementation.
c. Accelerate development in the districts where the majority of the people live.
d. Promote greater equity in the allocation of resources, thereby bringing about balanced development.
e. Reduce delays in decision making and speed up project implementation.
f. Arrest rural-urban migration.
g. Increase coordination and sharing of development resources (interministerial, non-governmental, donor, etc).
h. Promote sharing of costs of development projects between local people, government and donor agencies.
i. Increase employment opportunities in the rural areas.
j. Enhance utilization of local resources.

The Blue Book also recognized three constraints which, despite some of the achievements of the strategy, still impeded effective implementation of the strategy, these include:

i.   lack of adequate resources both for development and recurrent operations;
ii. shortage of housing and office accommodation;
iii. inadequate communication facilities.

2.2 Social Dimensions of Development

The SDD programme has been conceived to be an umbrella programme to address the needs of the poor and the vulnerable, as well as those adversely affected by the reform measures. Its main objectives are to:

i.   sharpen the focus and enhance the priority accorded to poverty reduction in Kenya's overall development strategy;
ii. facilitate the mobilization and channelling of adequate resources to the poor and vulnerable; and
iii. improve the targeting efficiency and effectiveness of resource flows and delivery of goods and services to the poor and the vulnerable.

As the incidence of poverty and its intensity are most severe for women, the SDD Programme gives special attention to the needs, priorities and aspirations of women (extracted from "Progress report on SDD" and "Social Dimensions of Development Programme, Policy and Operational Framework Document, August 1997, p.8").

The SDD programme is seen to be the primary vehicle to translate macro priorities of investments in people into sharply focused policies, strategies and programmes and projects to reduce poverty. It is the instrument to mobilize additional resources both from domestic and foreign sources to combat poverty. It provides the mechanisms for better targeting and for improving the efficiency and effectiveness of ongoing and new programmes that address the needs and aspirations of the poor and the vulnerable. It is also seen as one of the core functions of the Government within the framework of the economic reforms agreed upon between the Government, the IMF and the World Bank. In this context, the social responsibility of the private sector in poverty reduction should also be emphasized (extracted from "SDD: Policy and Operational Framework Document, August 1997, p.8-9").

Six generic areas of intervention and targeting have been as being of high priority in the SDD programme, these are:

i.   pro-poor labour intensive public investment programmes and increased private sector investment in the delivery of basic social services infrastructure (i.e. education, health, waster and sanitation, roads, housing and shelter);
ii. women and children development including food and nutrition and population programmes;
iii. promotion of employment creation, small-scale enterprises in industry, agriculture and service sectors, youth and school leavers development and self-help programmes for the retrenched workers;
iv. sustainable environment and resource conservation through pro-poor development methodologies and decentralized development;

v.   social mobilization and sensitization, development of information base for poverty monitoring and evaluation and training and institutional capacity building;

vi. rehabilitation and reintegration of displaced persons, promotion of peace and conflict resolution, good governance, provision of security and crime prevention, and emergency relief.

These are very broad objectives which have been succinctly combined into three complementary components with some degree of continuity and overlap, they are:

i.   broadly target programmes;
ii. narrowly targeted programmes; and
iii. relief type programmes.

2.3 DFRD as a potential delivery mechanism for SDD

SDD is dependent upon using the DFRD or possibly developing alternative delivery strategies and approaches for implementation. The Government considers the DFRD strategy as the main delivery system, but is committed to consider well thought out alternative delivery systems with the potential to enhance targeting of the poor. In this context, the Government will initiate activities to reorient and harmonize the SDD institutional arrangements in line with DFRD strategy in order to make the system more participatory, responsive and facilitative (extracted from "SDD: Revised Approach to Human-Centred Development and Targeted Poverty Interventions, Nairobi, March 1995, p.10"). Clearly, it would be highly desirable to revitalize the DFRD to make it more responsive not only to SDD delivery requirements but also for the general objectives of development in Kenya.

The context described above provides the general framework in which the objectives of this consultancy mission have been formulated. The consultancy mission draws upon the special experiences which have been made in the Kenya-German Regional Rural Development Programmes in Samburu, Transmara, Marsabit, Kilifi and Mwingi. The consultant was charged with evaluating both the Samburu project in 1995 and the Transmara project in 1997. In addition, a consultancy mission was undertaken in 1996 to assist the Samburu district planning team and the SDDP project in enhancing the district and village planning linkage process. Visits to the projects in Kilifi, Mwingi as well as to Action Aid project in Ikanga (Kitui District) were undertaken during the current mission. Valuable information was gathered from detailed discussions with the project manager of the Marsabit project. In addition to these important field experiences, discussions were conducted with the European Union team working on the Community Development Trust Fund, the project review team leader for the Kenya - Netherlands projects in five ASAL districts, with important Sectoral Line Ministry officials (e.g. health, education, social services, rural planning), officials of the Office of the President, the UNDP consultant for SDD, the World Bank team reviewing the Public Expenditure, to mention just a few of the discussion partners. The consultancy mission focused intensively on the field experiences gathered in the remoter ASAL areas of Kenya and care has to be taken when generalizing the constraints and recommendations to the high potential areas which were not subject to the same intensity of review. However, the results of the discussions and based on many of the documents reviewed, the constraints facing the DFRD system would not seem to be particularly area specific but are relevant for the whole country, especially those which are directly related to deficits or constraints in the strategy as outlined in the Blue Book from 1995.

Coupled to the limited information on the optimal community organisational form needed for effective mobilization is the fact that the Government machinery only extends to the sub-locational level. Thus important resource distribution mechanisms, service provision and participation of the local population effectively finishes at the sub-locational level. Government staff to be found at the locational level are mainly Front Line Extension Workers (FEW) of the Ministry of Agriculture, teachers from the Ministry of Education and in some places health workers from the Ministry of Health. There are no Government staff located directly at the community or village levels.

3.1.3 Participation of local communities in ranking of projects

Not only is the extension of the Government services limited to the locational level, but interestingly enough the participation of the communities (i.e. the villages and communities) also only reaches up to the locational level. The members of the SLDC are made up of the governmental staff, local politicians, whereby self-help groups and local leaders can be *coopted* to attend these meetings. Heads of community organisations are not directly represented either at the LDC (DFRD, Nairobi 1995, p. 17, §3.3.8). A similar picture exists for the locational level (DFRD, Nairobi 1995, p. 16-17, §3.3.7). Thus one can conclude that local self-help groups can be represented at these meetings (i.e. can be coopted) but no direct representation has been foreseen in the Blue Book. It is probably true to say that the expectation is that they are adequately represented through the councillors and local leaders, but not as a group in their own right. Thus one can conclude that the gap between the organisational structures defined in the Blue Book and the community processes was not taken to its logical conclusion, which would have meant greater representation of these directly at the SLDC and LDC.

Procedures for ranking projects and defining priorities are hardly touched upon in the Blue Book. This leaves a lot of room for individual interpretation and subjectivity in prioritizing community projects. The Blue Book should at least provide a few ideas on how priorities are to be set, how discrepancies are to be dealt with and the balance to be found between economic and social development projects should be achieved in the ranking system.

Since the communities are nor directly represented at these meetings, the chances are quite high that priorities and ranking procedures are simply changed. The necessary checks and balances in the system are missing in the Blue Book.

What "value-added" each of the various decision making levels has on any proposed projects is also unclear in the Blue Book. It is really only at the divisional level that a proper technical interface with professional planners takes place. At the DvDC more technical officers are at hand and the District Development Officer (DDO) is also expected to participate in these meetings in order to ensure that proper targeting and selection of the proposed projects is undertaken. When comparing the time requirements for meetings, ranking procedures with the actual additional inputs the SLDC or the LDC can make to the applications then one can only conclude that there is an imbalance. This is made all the more pertinent when the lower levels have absolutely no resources (particularly funds) to decide about, thus in many cases they simply act as a sort of "post-office" which receives applications from the communities and passes these onto the next higher level. This fact is backed by the recognition in the Blue Book that LDC's and SLDC's are often inactive, probably due to the lack of knowledge on what decisions have to be

undertaken at these levels an the lack of any "value-added". Not only does is the value-added in doubt but also the process ends up increasing the already lengthy process of getting ideas from the grassroots up into the system, it is all rather bureaucratic.

3.1.4   Separation of regulatory from developmental functions

Within the processes described in the Blue Book the leadership and management has been largely entrusted into the hands of the Government officers. They are answerable to the Government and not necessarily the local people as they do not rely on the local population for the employment. The DFRD thus rests on a so called "control administration" and not a "developmental administration" which would be more suitable for promoting rural development.
A control administration is characterized by the fact that the ruling elite are interested in guiding the masses in a pre-determined development path and it uses the administration to achieve this. In this system the administration fulfils an important key role, it is closely associated with the political ruling elites and it is used to mobilize the masses according to the wishes of the ruling elites. Basically, the administration exhibits a high degree of loyalty to the ruling elite and the emphasis of these administrations is on the use of technical know-how which is checked by strict political forms of control. The administration is the logical extension of the political ruling elites, it is charged with mobilizing the masses and in providing basic services and infrastructure.

Administrations are often the link-pin between the technical levels and the political levels and politics is a key component in any administration, but since politics is always closely linked to power, the dilemma of many administrations rests in their unwillingness to share this access to power (i.e. particularly where a policy of decentralization is being pursued). Furthermore, many administrators feel that they alone have the answers to all the problems which the citizens in the country face and through their technocratic approach they often disqualify the citizens maintaining that they are incapable of conceptualizing or dealing with their own problems. A form of "administrative incapacity" often accompanies control administrations which is characterized by the administrations inability to meet the needs of the people in the country since most administrators are interested in enhancing their technical skills in order to dominate policy decisions and thus exclude the general public from analysing or planning action to overcome many of the problems which they face. Thus an administrative development along a rational and politically impartial lines has meant that the administrations are very technocratically minded. Powerful technocratic classes have developed who are more often than not totally out of touch with the difficulties which the citizens face.

Since many administrators feel that the general public are not capable of taking part in the decision making process a very paternalistic approach is adopted by these administrations in which they maintain that they know what is best for the people and that they are always sincere in ensuring that the people get what is best suited for them. Such an approach stems in part from the close association of administration with the ruling elites who control the political power. Even today district commissioners are both administrators and political officers since they are appointed by the central government (they are also the central governments representative at any local government organization).

In Kenya those developing the DFRD strategy did not envisage the need to separate the regulatory from the developmental functions, which further enhanced the already existing control administration. Additional strains to this system are provided by the relatively high level of

political representation in the key developmental meetings and the fact that there is no effective split between the political and technical development levels in the district.

It is worth pointing that other African countries (notably Ghana, Zambia and Lesotho) a district assembly has been created which is made up of elected persons from the village or ward level who in turn finally decide on the developmental goals, objectives and projects to be approved. Here the administration is separated from the developmental from the regulatory functions with the DDO taking over the developmental functions and the District Administrative Officer taking over the regulatory and law order functions. (compare annex 3) It would seem that a clearer separation of these functions is urgently required in order to successfully revamp the current DFRD strategy in Kenya.

3.1.5   Membership of the developmental committees

The existing membership of the developmental committees defined in the Blue Book needs to be further expanded. Apart from opening up the membership of the various committees to all development organisations involved in the district, the chairpersons should also be redefined. This would be one way in which a better division between regulatory and developmental functions could be achieved quickly. In other words, serious thoughts should be given to the current practice of making the District Commissioner the chairman of all of the important development committees, it would be better if this was entrusted to either the DDO or to appropriate persons selected and voted for by the committees themselves. Important is that all developmental organisations working in the district who are willing to actively coordinate their activities should have an automatic right to attend the developmental meetings. They should not be subject to these bodies inviting them to attend (i.e. being coopted). Thus NGO's, donor sponsored developmental projects and the private sector need to be fully represented at these developmental fora without having to fear that their membership can be reversed or terminated. An automatic right of attendance is presently not firmly anchored in the current version of the Blue Book.

The above problems are further compounded by the fact that many of the administrators who chair important developmental fora described in the Blue Book have no background in development planning and, being administrators and generalists, they simply have no time or expertise to guide or supervise district development activities of officials on developmental issues. Furthermore, even if they had the time and expertise they still do not have the technical administrative authority over the sectoral technical staff.

3.1.6   General comments on the DFRD strategy

Conclusions which can be drawn with respect to the Blue Book is that although it is a well thought out document there are some serious gaps in it, especially the linkage process to the community level, the mixing of the regulatory and developmental functions, the domination of the administration in the developmental fora, the strong influence often exerted by certain individuals in these fora and the lack of true grassroots representation. While comparing the number of pages devoted in the Blue Book to regulating the budgetary process, the supplies management or other such technical issues compared to those set aside for defining the meaning of participation or community organisations the impression gained is that the approach is still very much a "top-down" approach. In fact, the linkage function between the bottom-up and top-down

approaches is insufficiently articulated in the Blue Book, a point which is further compounded when one considers that the resources necessary to carry out effective mobilization of the communities and villagers throughout the country is not made available. In addition, the processes described in the Blue Book leave too much scope for individual subjective interpretation not only in the ranking procedures but also in the budgetary allocations. It is here that the gap between bottom-up and top-down really becomes blatantly evident. Lengthy and bureaucratic procedures also pose a further hinderance in the process. The Blue Book gives little direction as to how these gaps are to be realistically bridged.

3.2 Weaknesses and constraints in the DFRD system based on field experiences

Practical problems, constraints and positive experiences have been gathered from five districts Samburu, Transmara, Kilifi, Marsabit and Mwingi Regional Rural Development programmes. In addition numerous discussions were undertaken with other donor supported projects, sectoral line departments and field staff who have all contributed to the experiences shared in this report. It is important to point out that the consultancy mission was designed to focus on the five Kenya-German RRD districts which makes it a little difficult to determine whether the experiences can be generalized throughout Kenya. However, indications, principally from the European Union Community Development Trust Fund show that many of the practical problems plaguing the five selected districts can also be found in the majority of districts in Kenya, a point which was further corroborated by the Netherlands evaluation team leader.

3.2.1 Lack of effective representation of the community / village level

In the five selected districts there is only a very weak formal Governmental structure for organizing communities into village or community development committees. As the staff required for this only exists at the district level, the necessary machinery for carrying out such a task does not exist on the part of the Government, thus this work has largely been left to either NGO, church based organisations or the Kenya-German Regional Rural Development Programmes.

Even though the sub-chiefs can nominate village heads, these have tended to be seen as appointees of the Government are not viewed by the community as being people they have elected and placed in a position of confidence. With no formalized system of planning being defined at the community level, most of the work done so far, including the development of manuals and handbooks has been produced by donor supported projects.

In line with the current German technical principles on regional rural development, the coverage of the programmes in all five districts does not extend to all communities. In most cases a certain number of pilot areas have been selected and intensive work has been undertaken only with them. Recently, the Samburu programme decided to alter its concept slightly by extending its coverage over another division and it has also embarked on a systematic approach for mobilizing all communities in the district over the next few years. In the end all communities should have been coached in mobilizing themselves for their own developmental purposes and the result should be sustainable over time.

The experiences gained in formulating Community Action Plans (CAP's) by the organized communities has been an important for determining communities needs, requirements and developmental aspirations. These can later on be systematically incorporated into the district

developmental planning process. One lesson learned is that the process is time consuming and there do not seem to be many short cuts that can be taken, especially if one wants to avoid merely collecting so called community "shopping lists". Field experiences show that the whole concept of participatory approaches can not be done in a hurried manner and they require established effective structures and organisations within the communities . At the next higher level namely the sub-location or location, it is not possible to carry out these participatory approaches as effectively since these units are not only administrative units but also often formed from an agglomeration of various communities (note: communities may in some cases be synonymous with the sub-location, but this is not always the case).

The forward planning, annual annex and other district planning process are very much top down forms of planning that rarely have any direct bearing on the communities, other than referring to some of their "shopping-lists". The reason for this is that systematic approaches to planning in the communities with resulting CAP's is done only very sporadically. This also seems to be true of the development of the SDD profiles, which largely stemmed from existing planning documents and which were merely modified for the planning requirements set out in the SDD documents. The communities in the five districts were not directly consulted during the development of the SDD profiles.

3.2.2   Multi-layered developmental committees

With a few exceptions, the majority of SLDC's and LDC are non-operational in the five districts. The assessment of the Blue Book above already argued that there are too many layers involved in planning and implementation. Not only is this a very time consuming process but lends itself too easily to manipulation and leads to little development activities actually taking place. In Transmara it takes nearly one year from initial contact wit the communities until the whole process is complete, this is simply to long and unacceptable for the communities, who then often question the value of the PRA exercises. Similarly long processes were observed in the other districts, all of which signal that significantly improved and responsive structures are required which reduces unnecessary bureaucracy.

Discussions during the field visits with members of the SLDC and LDC committees highlighted their own frustration with the system. The often mentioned that they often saw little or no reason for attending meetings since no action emanated from the next higher level. They were not informed whether the applications were incorporated into the district plans and budgets and get little or no feed-back on finances which should be allocated to the divisions. While they did see a role for themselves with respect to the community they often felt disappointed by the lack of action being taken on many issues which they may have raised. Some noted that they felt that they merely acted as some form of post-office to forward applications to the next higher level.

COORDINATION

PLANNING

NATIONAL LEVEL
- Inter-Minist. District Focus Coordination Committee
- District Focus Task Force
- District Focus Coordination Unit
- Ministerial Coordination Committee
- Ministry of Finance
- Ministry of Planning and National Development
- Sectoral Line Departments

PROVINCIAL LEVEL
- Provincial Monitoring & Evaluation Committee
- Sectoral Line Departments

DISTRICT LEVEL
- District Development Committee
- District Development Committee
- District Executive Committee
- Special Purpose Sub-Committees
- District Planning Unit
- Sectoral Line Departments

DIVISIONAL LEVEL
- Divisional Development Committee
- Special Purpose Sub-Committees

LOCATIONAL LEVEL
- Locational Development Committee

SUB-LOCATIONAL LEVEL
- Sub-Locational Development Committee

?

COMMUNITY LEVEL
At the Community level no formalized structure exists. However, organisational forms a village or community development committees or special purpose development commi been formed successfuly in many rural areas in Kenya

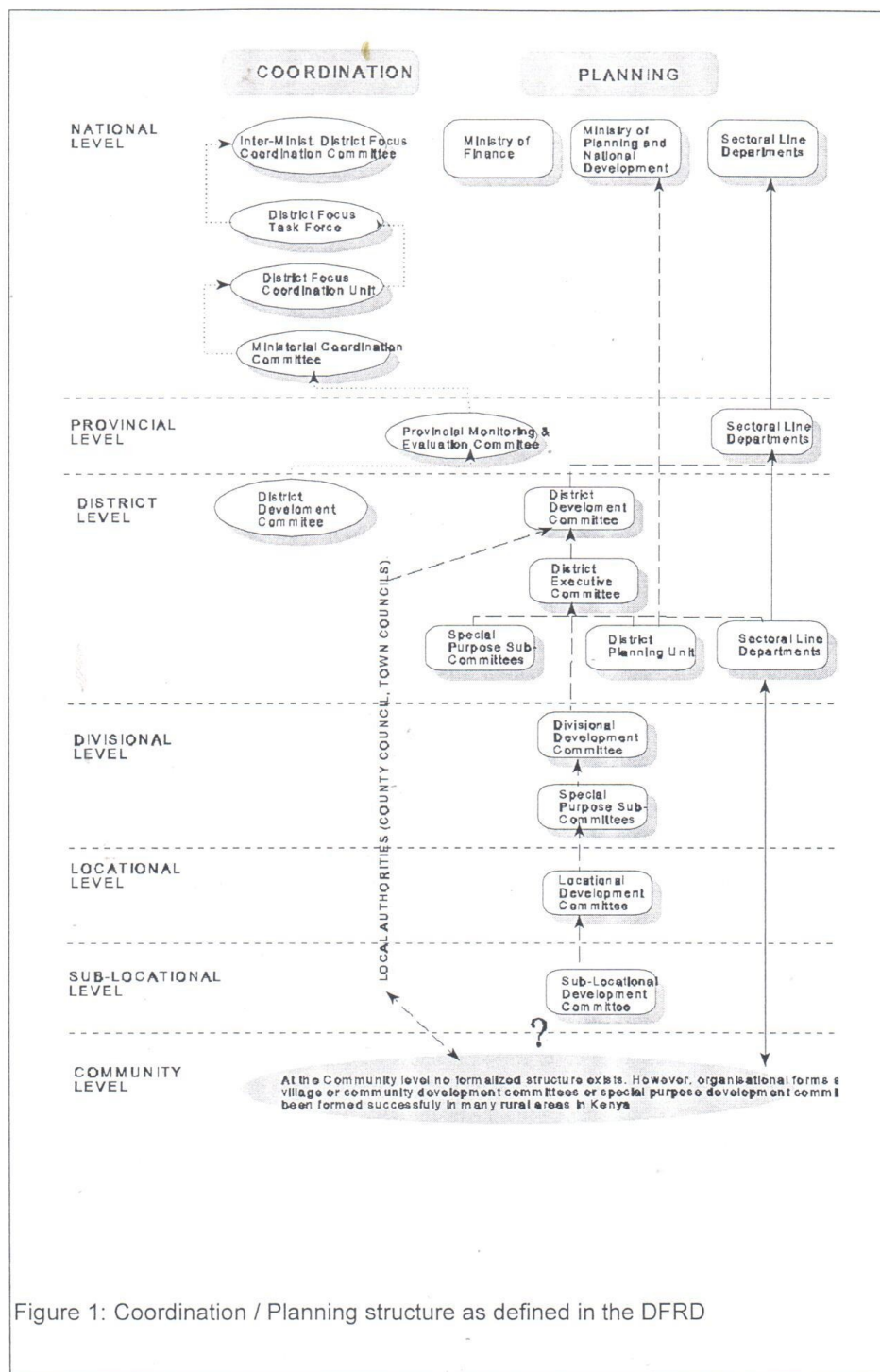LOCAL AUTHORITIES (COUNTY COUNCIL, TOWN COUNCILS)

Figure 1: Coordination / Planning structure as defined in the DFRD

One important criticism voiced in the districts is the feeling that the decentralization process has only gone as far as the district level. Decentralization from district down to divisional or lower levels has not taken place. Budgets are for the most part kept at the district levels with insufficient funds being passed onto the lower levels. Thus one can say that the DFRD has simply achieved one thing "centralization at the district level". For the communities and villages it is irrelevant whether their project proposals get stuck at the district or the national levels, both levels are rather abstract for them and both are very far away from the communities themselves.

3.2.3 Linkages to the national levels

The linkages between the district and national level is dominated by the traditional vertical sectoral line department chain of command. The departments still control the recurrent and developmental budgets for their sectors. Since the disbandment of the Rural Development Fund there are no block grants which are disbursed to the districts which were a very important instrument for intersectoral coordination and cooperation. DDO's and even sector heads noted that during the time of the Rural Development fund the DFRD system functioned more effectively, activities planned by the communities could be implemented, funds could be allocated according to the needs and priorities of the communities.

Some of the DDO's reported that there were significant differences between the information contained in the Annual Annexes and the sectoral line department plans. The final plans which the sectors agree upon amongst themselves are often not even communicated to the DDO. A further complaint was that the budgets which were disbursed by the sectoral line departments often do not follow the agreed upon plans by the district, let alone those agreed to by the communities. The only direct linkage which exists between the district plan and the national level plan is the Public Investment Programme which is based on the ideas submitted by the DDO to the Ministry of Planning and National Development. All other plans are done on a sectoral basis, whereby these should be derived from the district plan, a fact which often does not seem to be the case. The conclusion which can be drawn is that the strong traditional sectoral linkages still prevail, with a dominant vertical chain of command between the national and district level, the district plan is not always the final basis for sectoral allocations.

Sectoral heads of departments also complained a great deal about what they termed "political interference" in the planning process. Priorities agreed upon in various developmental fora are often changed by individuals and the result is that the sectoral heads are merely ordered to carry out certain activities which may be contrary to the initial plans. The degree of influence being taken in the planning and implementation process seems to be significant which makes a total mockery of the decentralized planning approach. The effect of this is that many civil servants are frustrated, see little value in the decentralization process and thus continue to support the sectoral line of command (as depicted in figure 1).

Figure 1 illustrates the different structures which have been outlined in the Blue Book. Of interest is the split between the planning and the coordination functions and the respective difference in weighting between the national and district levels. In other words, there are many coordination committees at the national level but a dearth of planning functions which correlate to the ideals of intersectoral planning promoted at the district level. Noteworthy is the sectoral strand, the importance of which has not been diminished with the advent of the DFRD, on the contrary,

since the abandonment of the Rural Development Fund the sectors have maintained their dominant role in the planning and implementation procedures.

The spirit of intersectoral planning embraced in the DFRD for the district level is not replicated at the national level, apart from the Ministry of Planning being required to develop the Public Investment Programmes. All other sectoral line departments are not expected to undergo the same level of intersectoral coordination at the national level. That means that once the Annual annexes have been developed, the sectoral line departments are free to carry out their own budgetary requests through their provincial and national line departments. It would seem that further intersectoral coordination at the national level is not expected within the framework of the DFRD

3.2.4 Duality of structures and institutional learning

At present a certain duality exists between the DFRD and the County Council (i.e. local government) system. The origins of this duality lies mainly in a historical wish not to have an elected assembly which oversees the DFRD process. This in effect means that the council system has effectively been sidelined and plays a more marginal role in the development process. The Blue Book defines that the county council developmental activities should be sanctioned through the DDC approval procedure, whereby they only make up a small portion of the overall development activities carried out in the districts. The council has two "seats" on the DDC, the council chairman and the council clerk (who is normally an appointee of the central Government). This means that the elected members of the community deliberate only on the those matters which form part of the councils activities and have only two votes in the DDC. This inconsistency in the system is an further reason why it has become so difficult to divorce the legislative, executive and administrative sectors from each other in the DFRD approach.

Although already historically the developmental fora have been dominated by central government administrators, attempts were made in the early 1970s to replace development committees through locally elected county councils, this movement was not followed up since it was felt at the time that the DDC structure was more in keeping with the country`s needs. As noted by Wallis *"Thus an implicit recognition was given of the subordinate role of the local government. The model being followed was one in which the structure for field administration were expected to be clearly dominant"* (District planning and local government in Kenya, M. Wallis: Public Administration and Development: Vol 10, 1990, p. 438). Side-lining the council system within the decentralization system was an important milestone in the Kenyan decentralization process. The dominance of the administration at the district level over and above the council system still remains to date. There is therefore no locally elected body above the DDC which controls and supervises the work of the DDC, DEC and district administration. The DC forms the pivotal power axis in the district, councillors have little to say apart from being members of the DDC. This process stands in marked contrast to other African countries who are embarking on decentralization efforts which often include either a fully elected district assembly, or partly elected and partly appointed members to the assembly (e.g.. Ghana and Zambia, compare annex 3). Understanding this subtle difference in the policies is of importance, particularly when the projects reviewed are strongly committed to assisting in the development of greater participation at the community and divisional levels.

Although the intention of the DDC is to harmonize the policies and approaches between the local county council and the Government line departments, in effect the councils in Transmara and Samburu, who have substantial resources from the game reserves, have not been overly prepared to harmonize the approaches. In fact in both the districts the council could not be convinced to actively use their funds to support, for example, the mobilization activities of the Kenya-German development projects. Both councils prefer to keep a low profile, giving little information on how revenues are used to promote development in the district. This is of particular concern with respect to the need for community mobilizers at the sub-district level, where it is expected that these persons should be hired and paid for by the county councils. These facts indicate that there is a need to improve the integration of the county councils into the developmental process not only in the DDC committees but also in all other developmental committees that may be meeting in the district. The need to tap the resources available to the council has to be more vigorously pursued. However, all of this still does not validate the duality of the current system, in which it has to be said that the county councils are represented only by two voices in the DDC.

One observation is that the DFRD system is too heavily dependent upon personalities. In other words, the structures in place can work very well if the district leadership wishes this to happen. Participatory processes, active participation, ability to decentralize to the sub-district level, disbursal of funds to the lower levels can all be easily achieved if so desired. However, the reverse is also true namely that the system allows to much scope for an accumulation of power in very few hands. It can be equally misused by individuals to direct development in areas which are not always in line with the wishes of the local people. There are insufficient checks-and-balances in the approach to avoid this personalization of functions in the DFRD strategy. Here it would seem that only greater control by the communities themselves could ensure that a certain degree of control over the whole system can be achieved. This again is a product of the duality of functions between the elected councillors and the DFRD system.

These more negative attributes of the DFRD system become a real problem in those areas and amongst those communities who are generally poorly organized, where there are few NGO's, CBO's or church based organisations who can offer a counter-balance to the state's monopoly on the developmental functions. The Maasai, the Samburu, the Rendile, etc are particularly vulnerable to bureaucratic exploitation since many of them are only beginning to enter the cash economy, let alone an economic system where ownership and title deeds are of overriding importance. An autocratic style of leadership by the provincial administration is far easier amongst these communities, a fact which field survey has substantiated in some of the districts.

3.2.5   Participatory approaches

Generally speaking, the participatory processes have been welcomed by the communities in the five selected districts. However, difference exists in the understanding as to why these participatory processes are being promoted. The majority of sectoral line department staff see the process merely as a vehicle for getting the "shopping-lists" which they need for their planning purposes, a attitude which has also been strongly anchored amongst the communities. The five projects in the districts see participation to be more holistic in nature and more in tune with the definition provided in this paper.

As has already been argued earlier on in this paper, this inevitably leads to conflicts of interest. At the community level expectations are created which often can not be met by the sectoral line departments. Amongst the sectoral line departments a form of pseudo participation is undertaken but in reality the decisions are taken at the district and national level. This fact stems mainly from a certain degree of resignation by the sectoral line department staff. If a lot of effort is put into getting genuine development ideas from the community, this is a costly and time consuming exercise. Furthermore, the funds eventually assigned to them is normally only a small fraction of the requirements. The sectoral line departments would then have to go back to the communities and admit that the plans they had developed can not be implemented. Here a major question which has to be asked is whether it would not be better to wait until the financial allocations for each district and sector are clear before embarking on any community based planning approach. This method would ensure that plans only reflect the ability to deliver the products and avoids grand ideas which never get implemented. Thus the whole reason for participation is in question as far as the sectoral line departments are concerned as it leads to unnecessary pressure on them which they can not meet. The only realistic alternative is to re-define mobilization and participation as suggested in this paper. The experiences gained in Samburu may be quite helpful in illustrating how a change n the approach has led to a more sustainable and realistic planning and implementation approach taking place.

Initially the SDDP project in Samburu stemmed from a Food Security project (IFSP). Participation was interpreted to mean merely contributing towards certain activities which had been either decided upon by the communities or between the communities and the project. Participation was always part and parcel of receiving assistance from outside of the communities. During the evaluation of the project it became clear that this approach had no chance of sustaining itself. When the successor project (SDDP) was formed the significantly reduced resource base further underlined the fact that the IFSP approach can not be sustained at all, changes in the approach had to be made. A further factor leading to the change in the approach was the results of an internal evaluation which showed that very little of the former IFSP action had sustained themselves over time, in fact little or nothing remained of the ideas propagated by the project. A complete change in approach was initiated by SDDP, which aimed at getting communities involved in a process of mobilization which is sustainable and which is not necessarily dependent upon external assistance. In other words, communities are to be mobilized to resolve their own problems and not simply to become pliable recipients of government induced developmental measures. The approach is showing signs of success, many of which can be measured in the number of requests being made by other communities to participate in the process as well as activities which have been carried out by the already mobilized communities completely on their own.

Three essential ingredients are needed to achieve a well mobilized community: a community organisation, long-term coaching by professional mobilizers, some initial assistance in initiating the first community based activities. Experiences gained by SDDP, Action Aid and the other districts indicate that the coaching process takes some where in the range of 6-18 months, depending on the different communities. Furthermore, the participatory tools which are introduced to the communities have proved to be useful for them and they are able to use them on their own without further coaching after a particular period of time. The communities are generally very receptive to the ideas of the projects, a fact which is highlighted by the number of applications received for project assistance in introducing the approach.

Thus one can conclude that effectively coached participatory approaches are sustainable, given sufficient mobilizers, time and a certain limited financial base out of which initial community activities can be co-financed.

3.2.6 Organisational structures

A proliferation and uncoordinated organisational structures at the community level has tended to take place. Communities in Samburu and Transmara often have several different committees which meet for different purposes, ranging from school committees over health and water committees. The problem with this is that these committees often act in isolation of each other. Furthermore, those helping the communities to organize the committees often have inconsistent and at times even contradictory approaches. In Transmara cases exist where communities are expected to contribute in one area for joint activities while in other areas communities get everything free of charge. This contradiction is particularly counter-productive to the whole concept of participation and mobilization.

A more orderly approach has been undertaken in parts of Samburu, where an overriding single community committee has been created which deals with the overall development of the community, while sub-committees are established for dealing with specific topics (not unlike the DDC and special sub-committee approach) Thus a form of "hub-and-spoke" approach to is established which also contributes to ensuring the communities are not overburdened by development activities, thus neglecting their agricultural or pastoral activities.

The pace of the developmental work has to be carefully matched against the capacities of the communities. A certain "elasticity of participation" has to be determined which indicates the extent to which communities can actually form additional committees and self-help activities. One measure maybe to say that the number of days which the community have to devote to these activities, particularly during the peak agricultural season is limited. Communities need to develop a "vision" of the development path they wish to undertake in the medium term and this then has to be translated into effective action.

Thus one can conclude that too many, often contradictory, committees and groups have been established in some communities. Streamlining these and ensuring that they remain within their own organisational and resource capacities is an important aspect which needs to be considered during the mobilization process.

3.2.7 Targeting, project selection, community relevant projects

Without well mobilized communities or villages it seems to be an impossible task to ensure any form of systematic bottom-up planning. Given this fact it is worth noting how the current system operates.

DDO's have very little resources at their disposal for effective planning work. As a result of this, the DDO can not interact regularly with any of the communities. In addition, the DDO is often still treated by the DC as his secretary and they have to undertake many administrative tasks for the DC. Thus two important ingredients for participatory targeting and project selection are missing: the communities are not all mobilized and can not independently carry out the necessary participatory processes, for example, to identify the poor. As a result of this there are no

community action plans which the planner can refer to. The second ingredient is that the planner does not have the capacity in order to be able to carry out the participatory approaches with each community whenever required, for example for the SDD profiles. Translated into reality this means that under the current conditions a nationwide full participatory process in every rural community is impossible.

The hint given in the OP office that doubt existed about the manner in which the SDD district profiles were established was corroborated in the field. The reasons why this happens has been given above. As far as the SDD profiles are concerned what seems to have happened is that when requested to produce these profiles, the DDO set about the task in the same manner in which the annual annexes are compiled. These are nearly always district thoughts and ideas and have, at best, only very indirect ideas stemming from the communities. If one simply examines the logistical arrangements which would be necessary if all communities are to be contacted when preparing such profiles it quickly becomes evident that in a short period of time given for such an exercise all of this is not possible. Taking five divisions in Kitui district, Action Aid noted that there are 82.000 people who are broadly organized into 190 village development committees. Unless each of these VDC have established community action plans (CAP's) the district planner would have to visit each of the communities in order to determine their developmental requirements. Furthermore, the DDO would then have to ensure that the communities have undergone the necessary methods to identify the specific groups to be targeted by the SDD approach. This exercise would only be possible if the communities are effectively organized and can carry out the activity on their own. In this case the planner could request for the exercises to be carried out by the community committees, where upon the DPU can then compile the planning results and formulate the overall SDD profiles for the district. Without such an effective mechanism in place, the DPU was simply reduced to formulating the ideas at the district level with little or no consultation with the communities. The easiest seems to be simply to take the projects proposed in the annual annexes and simply reformulate these to suit SDD!

Had there been a file of all CAPs for every community in the district which contains the developmental aspirations of the community (i.e. the developmental vision which the community wishes to pursue) then these could easily have been compiled for different planning purposes. In other words, the DPU would systematically go through the CAP's select those SDD relevant project ideas and compile these into a district profile to be submitted to the SDD Secretariat.

3.2.8   Domination of the system by the state

In its current form, the DFRD system is heavily reliant upon the state. The organisational structures are all geared towards this. It goes without saying that the state has and will continue play the most important role in developing the rural areas of Kenya. The reason for this is twofold, the state has the mandate to do this and the state is the only organisation with the necessary field personnel to provide a nationwide coverage. Nevertheless, the system must allow for greater plurality, making it exclusively dependent upon the state fosters a high degree of dependency which is not good in the long-term. Privatization efforts in the country bear testimony to the fact that the state wishes to concentrate only on those areas it really is responsible for. Interestingly enough, the thoughts currently on-going with respect to privatization and governmental functions have not examined how the DFRD approach needs to be modified to meet the new policies and criteria set by the state for privatization.

In the current DFRD set-up, the expectation is that all coordination and planning functions in the district will be processed through this system. While this is generally good, the coordination function is often linked to controlling the resources of all developmental actors working in the area, while at the same time not giving these very same people a voice in the various different development fora. Thus NGO's, CBO's and other developmental actors are simply not accorded the opportunities to attend meetings of the District Executive Committee where intersectoral coordination needs to take place. Most of the meetings tend to be purely civil service meetings with little interaction of others in the process.

Furthermore, the person who in effect is responsible for discipline amongst the civil servants also chairs the development meetings. A loyalty problem develops between the technocrats and the administration. While this need not be a problem if the leadership is relatively liberal, it only becomes difficult when an autocratic style of leadership exists. Field observations indicate that in these cases the technocrats tend to remain quiet rather than taking any risks, for example in defending the communities interests at the expense of some individual interests. The result of all of this is that the sectoral line departments are often under pressure from all sides: from the communities who want services which can not always be provided, from the administration who wants things done which may be contrary to the ranked priorities of the communities. Being the weakest link in the chain, they resort to a cautious approach entailing the least risk for themselves, a point which is fully understandable in the given circumstances.

There seems to be an urgent need to open up the membership of the various committees at all levels in the DFRD process. It is also necessary to examine whether there is always a need that the provincial administration chair all important meetings. Greater plurality could be one way in which greater checks and balances can be introduced into the system.

3.2.9   Planning constraints

Improvements in the district development plan are necessary since the existing plan only provides a limited well assessed insight into the potentials and problems of the district. The plans lack a well thought through analytical section based on realistic projections coupled to development scenarios. For example in Transmara the plan does not look at issues such the integration of the district vis-a-vis the neighbouring districts, the importance of specific economic activities, the long term effects of changes in development on certain ethnic groups, the loss of important traditional pastoral lands to maize and sugar cane farming, changes from nomadic to sedentary practices, the difficulties of integrating wildlife and eco-tourism into a sustainable community forestry concept and many other important constraints to development are not properly analyzed. Such work requires a certain visionary and imaginative ability on the part of the district planner and a considerable commitment to his/her work.

Given the limited resources provided to the District Planning Unit and the DDO it is hardly surprising that the development plans can not be based real field data and information. The quality of secondary often leaves a lot to be desired and in many cases secondary data is not available at all. Workshops, training, data collection, data bases, reliable community based development plans and other information can not be collected or developed systematically since the DDO's budget is so small that it merely suffices to pay for the most rudimentary functions of providing minutes of meetings and to attend a few field meetings. Given the fact that planning is

an important function in the decentralization process, the DPU and the DDO need to be able to access resources in accordance with the demands placed on their planning competence.

3.2.10 Resource constraints

A frequently cited constraint are the limited financial resources available in the district. By and large this is true and there seems little hope at present that this situation can be dramatically improved over the next few years. Most of the complaints heard during the field visits included: late release of funds, insufficient funds, funds being redirected for other purposes, imposition of ministerial ceilings, district treasuries who are often not able to cope with the financial requirements, quarterly disbursal procedures, total under funding of ideas generated by the communities, at best only receiving recurrent funds sufficient to meet the very barest of needs of the sectors. In addition to these problems are frequent occurrences where funds are diverted for other purposes that those planned for, individuals in the system are able to change priorities with little due respect to the priorities set by the communities, there are frequent misappropriation of funds, funds are held back at the district level and often not channelled further down to the divisional and community level have all led to making an already precarious financial situation steadily worse. However, some funds do reach the districts, mostly sectoral ones, whereby some sectors are better off than others.

Resource constraints are one of the hall marks of the underdevelopment in the districts. Currently most attempts to rectify this situation are based on *ad hoc* measures. Self help drives (called Harambees in Swahili) are a common approach to collect money to initiate developmental measures in the communities. While this has proved to be an important element in development in the country, they remain project bound and do not necessarily stem from a more concerted general developmental effort. In other words, a one time measure to build a new classroom achieves its purpose but the efforts often end there. Ensuring that a continuous process is set in motion is what is required. Communities or groups of individuals are not encourage enough to accumulate resources (particularly financial resources) in a systematic way which can then be loaned to their members for investment purposes. While small savings cooperatives exist there are hardly any attempts to initiate such a process for the entire community.

On the other hand several national funds which could be tapped by the communities. Examples are the European Union Community Development Trust Fund - CDTF, the Youth Fund, etc. The funds face a simple constraint, namely how best to access the target groups? Presently they rely on certain existing organisational structures principally the DFRD or NGO/donor/church projects. Limited trust and confidence in the current DFRD system is one important reason why the EU CDTF has decided to target the communities directly or via strong NGOs or CBOs. The only contact the EU fund will have with the DFRD system is that the they insist that the DDC is informed of any applications being made. It really is quite regrettable that the DFRD system can not be used as intended mainly because the problems of bureaucracy, intransparency, misuse of funds and inability to reach the rural communities effectively.

In summary it can be said that the resource constraints are well known. There simply is insufficient funds available for a concerted developmental effort. This situation is unlikely to dramatically change unless the economic performance of the country suddenly doubles or triples. Therefore some new creative ideas have to be developed as to how the limited resources

can be optimally used. Some new funding ideas are being presented in the recommendations below.

3.2.11 Politics and development planning

Politics and development are in many ways two inseparable parts of the same equation. What may often seem to be a political aspect is also often a developmental one. Thus when there is a great deal of talk about strong political interference in the developmental system, care has to be taken in interpreting this. Politicians who are the representatives of the people and they have to right to be part of the developmental process. They are expected to provide the best possible services to the people who elected them. Since they are all competing for limited resources a certain competition develops amongst the politicians to help their elected communities. Personal influence, seniority of political position and other influential factors may result in one politician being able to gain more of the resources for his/her electorate than another. Political influence can also be very positive, with politicians ensuring that the technocrats are reminded of their duties to serve the public, remind them that effective services are provided. Politicians have to be included in all the developmental efforts and must continue to remain an integral part of the system.

What seems to be a problem is that the current DFRD approach is not sufficiently strong to avoid the ability of a single person to alter the course of the planned development. In other words, one person can use his/her influence to alter selection criteria, change priorities, shift resources to other areas which may not be the priorities which were initially agreed upon. The system does not provide sufficient checks and balances to minimize these negative effects. On the one hand the communities are not sufficiently mobilized or articulate to protest against these actions, on the other hand the technicians are not given the necessary higher level support to be able to object to these moves. Evidence from the analyzed districts does indicate that if communities are enabled to articulate themselves more effectively, if they are better informed they are able to object to such individual moves and are able to spell out more precisely what they want. With better support from the communities, it would also prove easier for the technical line departments to re-emphasize the fact that agreements have to be upheld, and that priorities can not simply be changed at the whim of anyone individual unless all are in agreement with this approach. Thus when talking of minimizing political influence in the developmental process one is basically saying that the system has to be strengthened so that individuals can not simply alter things which are based on a broad consensus.

The difficulty in the current system is that the sectoral line departments often have to bear the brunt of these individualistic decisions by having to go back to the communities to explain what has happened. Thus a separation of the functions would be better whereby the technical experts in the district provide the politicians with an array of different balanced options which they can choose from. The politicians need to then explain to their electorate the decisions they have reached and not the sectoral line departments.

Using a broader interpretation of politics also raises the issue that "politics" is also a factor between the various different sectoral line departments, the NGO's and other developmental agencies in the district. Sectoral line departments have to compete for the limited resources which are available. Some departments are quite well off in a district, others get little or nothing in terms of capital expenditure and a minimal amount for recurrent. Many sectoral line

departments and politicians are weary of community mobilization, fearing big demands being placed on their extremely limited ability to provide services. There is a fear that well mobilized communities will exert intolerable pressure both on the political and technical levels. This is true as long as mobilization is understood and propagated merely as preparing the community to receive development projects. On the other hand, there is a justifiable demand that politicians receive the credit for any successful development efforts. This in turn leads to the demand for "tangible" development results. Tangible in this case means that the some physical structure is produced such as a school, a clinic, a water pump etc. This ever increasing demand for tangible results reinforces the old notion of mobilization.

All of this can only be defused if the whole concept of mobilization is changed, as suggested in this paper, whereby due recognition to the politicians will continue to have to be respected.

3.2.12 General trust and belief in the current system by the communities

Disenchantment with the speed of development and the effectiveness of the DFRD approach amongst the communities in the rural areas is high. Many communities have mentioned that they are not willing to work within the framework of the DFRD, either due to the fact that few tangible results have emerged, longwinded bureaucratic procedures whihc are almost totally intransparent or the fear that individuals will exert unecessary influence over community affairs.

Linked to all of this are the high and at times almost unrealistic expectations made by the communities. This is partly system inherent. Presently, if communities are asked to participate in any planning exercises the impression given is that they can choose whatever they want. If this is done in all communities in a district it is clear that the limited resources will never be able to satisfy demand. As the sectoral line departments do not know in advance the amount of funds they will receive, the consider all applications. At a later stage they discover that only a fraction of what was planned will be funded. This information is rarely passed onto the communities. They in turn are kept in the dark and wonder each time why they bother going through the whole exercise. Disappointment ensues both with the civil servants and the communities. The solution to the dilemma can only rest in a more open discussion with the communities of the resource constraints and define exactly what limited services can be provided and assign these in the priority areas. While this is already being partly done what is missing is the information flow to the communities and the participation of the communities in this selection and ranking process.

The following example illustrates this point. If a district has some 180.000 inhabitants perhaps organized into some 200 or so villages or communities, it is unrealistic to suppose that all of these can be reached by the governmental services on a yearly basis. By stating clearly exactly how many services can be provided to the communities the insinuation that all communities can be reached is also removed. Such an open approach to development would also ensure that communities expectations are not set so high and a more transparent approach to service delivery is attained. Having indicated how many services can be provided, the community would also be in a better position to assess whether these services are being rendered or not. On the other hand, such a transparent approach is not always desired by all, especially those who would find their freedom of action subsequently curtailed.

3.2.13 Summary

Both the assessment of the DFRD strategy document and the field experience indicates clearly that there the approach is in crisis. There is a credibility crisis, a financial crisis, a governance crisis. The results of this crises can best be felt by the unwillingness of communities, NGO's, donors and other developmental agencies to assist and use the approach. This has led to a proliferation of attempts to by-pass the system, to develop parallel approaches and systems. Some of these parallel approaches are quite successful but only in small spatial areas, they can not be transformed to a broader level since the current DFRD does not provide sufficient scope for a plurality of structures and approaches. Furthermore, the state still has the most widespread developmental structure in place, it has professionals in the field, it has an organisational structure which allows for mobilization to take place, it has structures which deal with law and order and disputes, all of which are important additional functions which are needed to ensure successful development. Thus developmental agencies can not ignore the system entirely unless they want to duplicate the whole structure. This would be so costly that it would simply not be possible, at least nationwide. Finally, the state has a role and responsibility towards its citizens by providing certain basic services which enable the community to develop itself further. These services have to continue to be provided, therefore, the DFRD system still has an important function to play. In addition, the organisations which were interviewed noted that they would like to work through the DFRD system if it was functioning properly, mainly because they want to avoid costly duplicate organisational structures. However, unless the DFRD can be successfuly revamped and specific changes are made there seems little hope that it can be sufficient trust can be restored to achieve the objectives that have been set. In fact, the conclusion which can be drawn is that the onus of proof that the system can work lies firmly with the state, which now has to ensure that:

- good governance takes place at all levels;
- complete transparency of fund disbursement is ensured;
- the ability of individuals to manipulate the system is minimized;
- a plurality of systems is allowed and encouraged;
- membership of developmental fora is open to all (and not by invitation only);
- funds are provided at the sub-district level and introduces the concept of the former Rural Development Fund;
- decentralization takes place from the district down to the divisional and community level.

4. PROPOSED IMPROVEMENTS

Resolving many of the constraints facing the DFRD strategy which have been identified above is and will continue to prove to be a major challenge to the system. The complexity and interrelationships of the identified problems coupled to the fact that there is no easy "quick-fix" solution to many of the difficulties necessitates changes to be undertaken simultaneously at many levels . Therefore the following proposals should be seen as a concerted effort to resolve the constraints at differing levels (e.g. community, division, district and national level). Once again it is important to note that the consultancy mission concentrated on examining only five districts in Kenya (Samburu, Transmara, Marsabit, Kilifi and Mwingi), these districts are characterized by being at the periphery, they are largely made up of pastoralists (apart from Kilifi district) they are in dryer areas of the country, often afflicted by droughts, they only have a limited array of potentials, the communities are generally scattered and many are in a transition from a very traditional societal structure with all of the accompanying problems while in this transition stage. The recommendations have been developed from numerous field experiences gathered from the Kenya-German projects in these districts, they are based on small successes which could be achieved. Many will require additional field testing to verify whether they are applicable to all parts of the country.

Discussions held during the mission with numerous Government departments, donors, NGOs and other developmental organisations indicated that all of them would like to work with/ through the DFRD system if and when it is effectively functioning. The very fact that the Government will continue to be the most important singly player in the developmental field and since no other organisation can possibly establish such a wide ranging network of services for the communities the DFRD system will continue to be essential. Those organisations which have begun to develop parallel and at times rival organisational structures to the DFRD approach mentioned that they would be prepared to dissolve these once the DFRD has proved to be effectively functional, transparent and fully accountable to the people. Furthermore, the ability to interact directly with each and every community in the rural areas throughout the country simply can not be managed nationwide as proposed by some NGOs and donor based organisations. A need exists to coordinate between and amongst the communities in the divisions and districts, priorities between these communities have to be set and agreed upon for the simple reason that not all communities can profit in any one year from the limited funds being provided.

Since planning is generally expected to be "bottom-up" the recommendations will follow this approach and commence at the community or village level, moving eventually to the national level.

4.1 Community based approach
4.1.1 Working definition of the term "community"

Defining the "community" is not an easy process and it often underlies a rather romanticised impression of what a community or village is. Perhaps the best place to start the process is to ask where the lowest level of decision making takes place. In most areas it is either the family, household or sub-clan and in some cases the extended family. If this is viewed as the lowest level of decision making, then it quickly becomes apparent that the units are very small and disaggregated. Many household or family units live in groupings, sharing specific production resources such as land and water. For practical reasons the definition of community or village which will be used in this paper can be defined as:

> *"a grouping of families, households, sub-clans who share similar production resources, who share a common interest in 'developing themselves' and who exhibit some form of common decision making."*

This rather broad definition can also be used for defining communities in the urban areas. While it is clear that this is not a perfect, the proposal is to use the definition flexibly. In contrast the sub-locational level as defined in the Blue Book tends to already be an aggregation of various different communities, who in themselves may have differing development interests and options. The sub-locational may not be characterized by a "common developmental interest" and it is spatially larger than commonly found at the community or village level. In addition, the sub-locational level is an administrative unit and not necessarily a traditional unit as defined above. Nevertheless, there are also many areas where the sub-locational level is de facto the community level. In these cases sub-locational level and community level should be seen as being one and the same. For purposes of this paper, though, the sub-locational level which is an administrative unit will be replaced by the community notion since this may be more applicable to the current or traditional organisational structures of the individual households.

4.1.2 Community participation and mobilization

Since both the Blue Book and the practical examples in the field demonstrate that community participation and mobilization is still understood to mean "preparing the community to receive government assisted projects" the recommendation is to change the definition and anchor these changes firmly in the Blue Book.

Thus on page 18 § 3.4 of the Blue Book a definition of what community participation and mobilization should be has to be inserted. The definition has to state that the communities will be mobilized "...to be bought into a position where they can organisationally, administratively and socially assess their own developmental potentials and constraints and implement activities to achieve the planned objectives. Communities take responsibility for their own development and they may at times be assisted by developmental agencies (Government, NGO's, VBO's, etc) in order to improve their ability to achieve a better future". The reason for re-asserting the definition is to remove the stigma which has dominated developmental work over the past three decades that the community will be the beneficiary of government sponsored projects which in turn leads to a dependency syndrome coupled to unduly high expectations towards these structures. In a nutshell, a community led developmental effort is based on a partnership

between the communities, the private sector, the governmental and non-governmental development agencies.

Since the realities on the ground indicate that not all communities in the districts can benefit from the assistance of the developmental agencies every year, they have to stand on their own feet and have to take charge of their own development. The idea is that development does not stand still until a development agency comes to the assistance of the community. Effective mobilization has to provide the communities with the level of confidence which allows them to take up some of the development ideas on their own. Based on this understanding of what community participation and mobilization is, the following proposals seek to provide the required instruments to achieve the objectives.

4.1.3   Putting community development on a sound footing

Apart from a revised definition of community mobilization, there are three important ingredients which make any community approach operational. The three main elements have been depicted in figure 2 as a beating "heart":

- an organisational structure (e.g. community development committee, village development committee, etc);
- access to services (e.g. private services, governmental, non-governmental, para-statal);
- have access to resources (e.g. production resources and funds).

- **Organisational needs**

The community (based on the above loose definition of what a community constitutes) needs to develop its own organisational structure. There is no universal way of defining how this should be formed within the communities since variations exist between communities and between different ethnic groupings which need to be carefully considered. However, there are certain critical elements that need to be ensured. The community should decide internally what organisational form they would like to develop for themselves (i.e. must not be imposed from outside). In some communities committees have been formed where the leaders of the committee are elected by the people. The leadership of these committees should be based on competence and not only on formal authority. Thus in some communities the sub-chiefs and
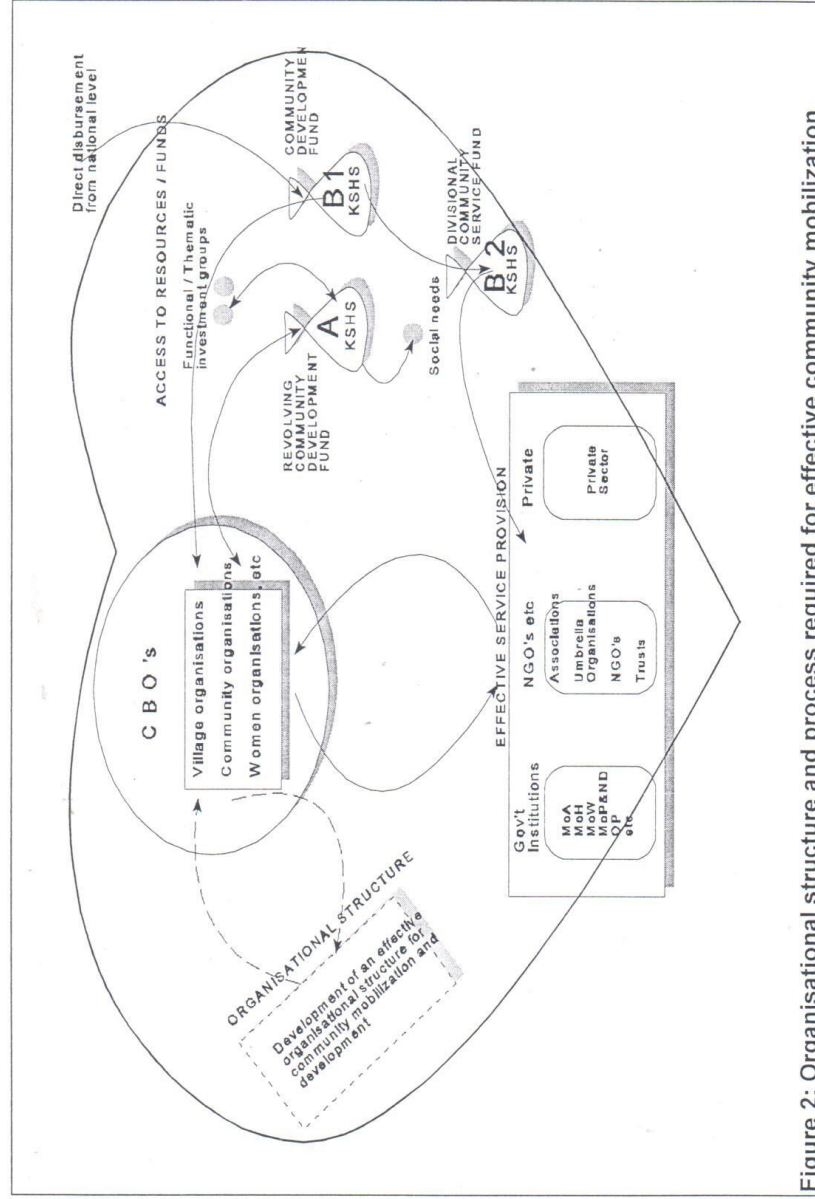
Figure 2: Organisational structure and process required for effective community mobilization

chiefs are not the leaders of these committees but are participants with the same voting rights as everybody else. In some communities one large committee may steer the developmental process while in other communities sub-teams are formed of the original committee and they in turn are responsible for different developmental tasks. Another organisational form is that different committees may be formed who steer the different development activities in parallel to each other.

Apart from providing the necessary organisational structure and framework in which developmental discussions can be undertaken, the development committee has the important task of eventually coming up with a development "vision" for the community which is made up of more than a mere collection of social development activities. The vision gives direction for all developmental efforts which the community wishes to undertake and the vision can also provide an important evaluation tool in order to check whether the direction is still correct. A vision also helps to get communities not to merely think in a problem oriented manner but rather to look at potentials which may exist and then only to focus on the constraints which hinder the community from exploiting the potentials. A more positive and imaginary form of community planning takes place which is a departure from the process of simply *stumbling from one developmental effort to the other without any clear sense of direction or overall purpose.*

A stable, transparent organisational structure which is based on the ideals of democratic process in a community while respecting traditional authority provides the necessary frame conditions for any future interaction with communities. In other words, only once a community has developed its own structure and once it has undergone a mobilization process can a sustainable interaction with developmental organisations take place. Where such an organisational form does not exist, communities will continue to be dependent upon the state system and would have to be "spoon-fed".

- **Access to resources**

A second important element in mobilizing the community is to ensure that they have ready access to resources. Resources need to be seen in a wider sense than merely financial resources. Without access to production resources (e.g. land, water, energy, capital, etc) the ability to undertake development work will be limited. Communities who are denied access to production resources will continue the downward cycle into poverty. The marginalization of certain sections of the community (i.e. the poor) and their inability to access resources is just one of the numerous reasons why many of them simply can not ameliorate their situation. At the community level in areas such as Transmara and Samburu important pasture lands are being privatized which removes these resources from the traditional herding patterns of the Maasai and Samburu population. The effect of this is that they have to manage their herds on ever decreasing areas of grazing land leading to further degradation of the land. In short, accessibility to resources is something that can only partly be dealt with by the communities themselves, there is a need to maintain an equitable balance of access to scarce production resources, a task which has to be ensured by the district planning unit. Needless to say, intervention in this area is very sensitive since it involves also questioning activities such as land-grabbing, landownership patterns and landholding systems, all of which are closely linked to securing the interests of the elite. Since it is difficult to come up with a universal solution to this problem, the recommendations which are being put forward in this report concentrate on the systematic accumulation of financial resources by the community.

Kenya has a long tradition in self-help activities, locally termed *harambee*. Harambee helps to strengthen the spirit of community self-help supported by specific fund raising campaigns. These campaigns are usually isolated measures which may or may not be derived from a developmental vision of the community. Fact is that it is not often used as a method of accumulating financial resources at the community level. While there are some successful savings and loan cooperatives in the country, the interaction of all community members is not ensured in these approaches. The proposal being made is that the community, once organised and once they have developed a vision for their future, should undertake a *harambee* in order to raise funds for a *community based revolving development fund* (depicted with the letter "A" in figure 2). The management and operation of the fund should be based on sound financial practices, including safety systems to ensure that loans are actually repaid, whereby commercial interest rates should be used as a basis in order to ensure that the fund is not simply "eaten-up" by inflation. Control and transparency of such a fund can only be ensured if the whole community are involved in the development and management of the fund. Thus the community should meet as a group to jointly decide who will get loans from the fund, they jointly deliberate upon action to deal with persons defaulting on loans, etc. The fund would be an important instrument for the community to undertake small developmental activities on their own without having to wait for external assistance. The fund may also have to serve social needs. In these cases the community may possibly be called upon either to fill-up the fund through additional *harambee* fund raising campaigns or the rates of interest charged for lending to commercial type of activities is slightly higher in order to accumulate a reserve for social activities (e.g. helping a community member to pay for funeral costs, assisting very poor community members, etc). The idea is that the community develops (through its own fund raising) and manages the fund, they ensure through a transparent process that funds are properly accounted. Free flow of information is essential for this.

Presently, the communities receive little or no direct funding for their developmental activities. In addition to the fund being proposed above, a recommendation is being made that all well organized and functioning communities should receive a *block-grant* from the government directly (depicted a "B1" in figure 2). The amount of money being thought about is not very large (somewhere in the range from KSHS 50.000 - 100.000). This approach is practised in Indonesia where every village receives a yearly block grant from the Office of the President. The funds are disbursed directly to the communities without any detours. Since the network of commercial bank-outlets in Kenya has been widened over the past few years and some form of banking services exist in the majority of divisions the ability to disburse the block-grant to the communities could be done at the divisional level. Conditions need to be attached prior to disbursing the money to the communities, communities must:

- have a functioning community organisational structure which has been created and established by all community members in a democratic manner (it should also be registered for which the necessary legislative changes are required). Representation of the community leadership should also focus on competence and not merely on influence, local/ national politics (compare annex 1 which provides some guidelines on how community committees can be formed in order to ensure transparency);

- have selected a community mobilizer who has received support and advice from the divisional community mobilizing team. Selection is once again to be based on capability to carry out the task required and not family, clan or political affiliation;

- must have undergone a community mobilization process as described and defined in the text above;

- must have a "track-record" that they have undertaken development activities on their own and have completed them successfully;

- demonstrated an ability to manage their own funds in a transparent manner.

- demonstrated an ability to involve all members of the community independent of their social, economic or ethnic status.

Fulfilment of these criteria would mean that communities have demonstrated a competence to handle any block-grant which may be disbursed directly to the communities from the national level. The following criteria should be attached to the use of the block-grant by the communities:

- funds should be used either only for developmental purposes, either through purchase of hardware (materials, equipment, etc) or for the purchase of services specifically required to complete projects or activities being undertaken by the communities. In other words, communities may hire the services of a local artisans (e.g. well-digger, etc) in order to assist in construction works, or provide technical advise and services;

- funds must not be used for paying for recurrent costs including travel and transport allowances, fuel, consumable for administrative purposes, personnel costs which should be provided free-of-charge by the community as their contributions;

- projects and development activities funded from the block-grants need to be based on a consensus reached amongst all community members;

- block grants should be used equally to support economic (i.e. income generating activities) as well as social-service activities (e.g. schools, clinics, etc)

Misuse of the block-grants would automatically mean that the communities will forfeit the following years grants until the record at using such grants is re-affirmed. Community based participatory monitoring and evaluation systems need to be established which will provide the necessary feed-back on the use / misuse of the block-grants.

Even if no fool-proof system can ever be established which will guarantee complete transparency for resource disbursal one can argue a strong case that the communities are still the best auditors of services or funds. Pressure from the community to account for funds, to explain the use of the resources, to justify the selection proposals for activities to be funded from the block-grant will be by far the most effective control mechanisms which can be installed into the system. Furthermore, as long as the resources reach the communities they will benefit the local economy, at least indirectly, even in the event their misuse. Presently, the state's ability to deliver to the communities is hampered porous financial disbursal system, which, despite the numerous attempts to patch the "leaks", has proved resilient to effective control. Thus as long as the system is not subjected to the direct scrutiny and assessment by the rural communities as a whole, the ability to ensure effective checks-and-balances can not be guaranteed. It is precisely

this which a small minority of persons fear most and are doing their level best to ensure that the communities are not informed but kept further in the dark.

In unison with the financial proposals being made above is the need to treat the rural communities as emancipated adults who have their own views and ideas on how development should proceed. Continuing to treat them as less competent citizens unable to manage their own resources will only increase their dependency on the administrative system. This holds equally true for certain groups in communities such as the poor. Certain degree of confidence needs to be given to them to manage their own developmental affairs, otherwise the non-poor in the community will end up having to "mother" the poor in their development efforts. Examples from Samburu district indicate that by giving organized communities greater charge over finances this has led to a reduction in the project work in supervising joint development activities.

- **Access to efficient services**

Apart from a sound organisational form and access to resources, a third important ingredient for effective community development is access to services. A combination of service providers ranging from governmental organisations through to the private sector needs to be encouraged. The whole notion that government sectoral line departments are "service" providers and not "development" providers is something which the Government is currently working on (e.g. in the health and agricultural sectors). Services need to be located as close as possible to the communities. If communities have to travel considerable distances to access services at the district level, mainly because the service providers are not sufficiently mobile to travel to the communities, the value of the services has to be seriously questioned. In the same way it can be argued that the state has not been able to provide sufficient transport for all of the developmental needs at the district level in the past 2-3 decades and seems even less likely to be able to do so in future. It is high time that the facts are faced and dealt with effectively, whereby the only viable solution seems to be to "decentralize" the services from the district level closer to the communities, for example to the divisional level. At the same time, the state needs to deliberate upon services it should provide and those which can be privatized. This is already being done within certain ministries, most notably the Ministry of Agriculture as part of the Agricultural Sector Investment Programme (ASIP). Here the roles and functions of the district and divisions are being re-defined and the current field extension workers (FEW) will be given broader developmental tasks. In future the FEW's can be described as "community nurse maids" who will be charged with the responsibility of interacting with the communities on all developmental issues and not only agricultural matters. Staff re-deployment to the divisional level will also ensure that subject matter specialists are located at this level in order to provide communities with a competent service.

Ideas for privatizing services directly to the community are also on-going, for example the traditional birth attendants (TBA's) or the contact herders (CH) to mention just a couple. The idea is that functions and activities currently being taken care of by the district or divisional veterinary persons or medical doctor are delegated to volunteers in the community, who then in turn provide services on a cost-recovery basis to the community. Initial indications are that communities are willing to pay for services, as long as competent services are being rendered. However, care and attention has to be paid to the fact that not everything can be privatized in. Furthermore, while the idea is that services are provided on a demand driven basis, there is also the need to "supply" services. In other words, vaccination campaigns, environmental issues may

all be issues not demanded by the communities but they still need to be provided. In commerce a new product can only become a success in terms of sales if it well advertised to the potential consumers. This also holds true for ceratin services.

A three pronged approach is being suggested: bring services generally closer to the communities (i.e. to the divisional level); privatize as many services as possible; and, prove certain services in a supply driven mode.. All of these should contribute to making improving service provision. In many cases improvements are more a quantitative problem than a purely qualitative one, where no services exist at present any improvement is an improvement!

- **Sustaining the approach**

Finally, the driving force behind the community based approach must be the "pumping-heart" and here the question has to be posed as to whether or not the heart requires a "pace-maker"? Field experience indicates that, in order to sustain any developmental momentum generated by the mobilization process, a certain stimulus is required. Presently, the approach is to provide this stimulus externally through the interventions of the sectoral line departments. Since such services can not be provided to all communities continuously pressure has begun to develop on the sectoral line departments and the district administration, leading to calls to curtail any further mobilization processes with the communities. This can not be the answer, particularly if the understanding of mobilization is re-defined as suggested above. Furthermore, the community selected mobilizer, who is a permanent member of the community, will provide part of the "pace-maker" functions, the other being provided by the divisional mobilizing team described below. As communities progressively operationalize some of the resource proposals being made above, their overall dependency on a fully fledged external "pace-maker" will also be reduced. Currently the pace-maker function of mobilized communities is dependent upon the ability of the governmental system to provide services and funds, both of them quite rare commodities in the remoter areas of the Republic.

While all of this may seem to be a rather romantic view of community development, the experiences gained in the five Kenya-German RRD programmes provides sufficient encouragement that such an approach can be operationalized. It does, however, requires time, varying between 6-18 months, before one can say that a community is adequately mobilized (the time frame varies between communities and particularly between ethnic groups).

Central to the approach being proposed above is to make the communities less dependent upon *ad hoc* erratic service provisions, to wean some of the communities off the current dependency syndrome as well as to face simple numeric facts that any governmental system simply can not reach all communities equally year-by-year. The approach examines ways how communities can begin to develop themselves until they can be assisted in some of the developmental work by the state machinery. The approach does not in any way advocate the State reneging on its responsibility to the rural communities. Many infrastructure requirements are presently beyond the communities ability to resolve, a fact which is unlikely to change n the medium term. Rural road networks and other physical infrastructure will continue to have to be provided by the state. Only then can the community tap the local potentials. For example, farm access roads will mean farmers can transport products to local or regional market
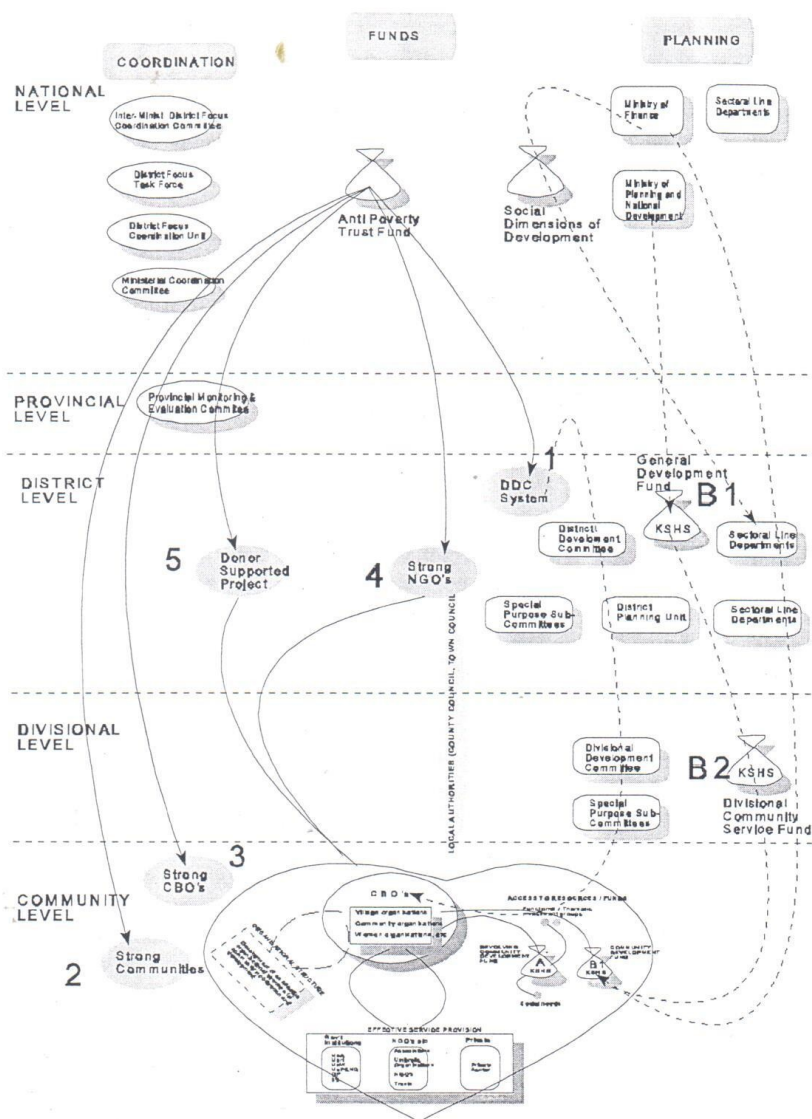
Figure 3: Linking the whole system with the APTF

centres. The remoter districts in Kenya are also simply not economically sustainable by the local population. Calculations in other African countries indicate that a minimum population is needed to provide an adequate economic tax base. The estimate is that for a reasonable sized district approximately 300.000 inhabitants are needed. Only then are sufficient commercial activities available which can provide a tax base for the area (for example Samburu only has approximately 180.000 inhabitants spread over a very wide area).

4.1.4   Establishment of general development fund(s)

Presently development activities which are funded by the state are channelled through the sectoral line departments. The District Development Officer and thus the DFRD system does not have a separate development budget out of which activities designed by the communities can be funded. During the early stages of the DFRD a *Rural Development Fund* existed. Basically designed to provide a development impulse and support the decentralization to the districts, 90% of it was allocated for capital expenditure, with 10% being allowed for recurrent costs. Unfortunately the fund was stopped, the reasons given being that the percentages allocated for recurrent became the largest part while capital expenditure became ever smaller. In addition, control over the expenditure patterns, misuse of the funds, large expenditures for administrative purposes were commonly cited reasons why the fund was eventually discontinued. Many persons interviewed during the field work mentioned that while the RDF existed quite a lot of work was undertaken in the districts on the basis of the DFRD. The committees met, plans were made and developmental measures were undertaken. In fact mention was made that since the fund was abandoned the whole decentralization process has became become quite ineffective.

Even though it is clear that the majority of state funds for development will continue to be allocated to the sectoral line departments, a need exists to have non-sectoral bound funds which can be allocated to development activities being proposed by the communities. If the gap between bottom-up and top-down planning is to be resolved and if the development issues are really to be reflected and respected in the planning process, then a flexible system of apportioning funds to community based development activities has to be installed. It comes as no surprise that it is being recommended that a *development fund* is being proposed again at the district level. In order to avoid confusion with the previous fund it is recommended that the fund be called a *General Development Fund (GDF)*. There are several important reasons for recommending such a fund, these include:

- the fund should improve intersectoral coordination at the divisional and district level since sectoral line departments may also receive money from the fund in addition to their national sectoral allocations;
- funds can be shifted between sectors far more flexibly than the current system, a fact which makes adaption to community needs and requirements easier;
- the fund is complementary to the existing sectoral line department funds;
- greater meaning is given to the whole decentralization process, committee meeting decisions can be backed up by action;
- district planning and implementation will no longer be solely dependent upon the sectoral line departments who are almost exclusively controlled from the national level;
- ability of the planning unit to plan for development in the district as the unit can advise the DDC to allocate resources from the fund directly to community development measures.

Since one important criticism currently being levelled at the DFRD system is that decentralization has only gone as far as the district but not down to the divisional or community level, the proposed district rural development fund should be disbursed to the divisional level and then to the communities as quickly as possible. In addition, in order to be able to satisfy both demand driven and supply driven services to the community, the fund could be split between a *hardware component* and a *software component*. The hardware component should be called the district General Development Fund while the software component should be called the Divisional Community Service Fund (DCSF). This fund will be used to provide resources to the service providers so that they can undertake training and other advisory services to the communities (i.e. software service provision which may be demanded by the communities or which may have to be supplied if it is not demanded). The modality is quite simple. Every year the communities will register what assistance they would like to receive for the development work. This can be split between assistance for hardware (e.g. for various construction activities) which could then be partly funded from the CDF and for training, advisory and other services which could be funded from the DCSF. One important advantage of the divisional community service fund is that should also be used to "purchase" services from the private sector if the governmental agencies are not in a position to provide them. Every year the sectoral line departments will know what services are being requested by the communities and funds for providing these services can be made available via the DCSF.

The reason for splitting the funds into a software and hardware section is that experience has shown that if communities are given the option of selecting a service or a physical input (i.e. a school, etc) then they will almost always favour the tangible inputs. This would mean it would be difficult to pay for service functions from the CDF. Another argument for splitting the fund is that it also encourages service providers to focus their attention on communities, to vie for their service requests actively and to ensure that a direct link between service provision and expenditure is established (similar to cost position accounting).

Naturally, there are also many negative aspects which have to be born in mind, such a fund will attract more political interest in the process, there will be a even greater need to ensure that individuals can not manipulate the system and divert funds to "their" target groups and the need to ensure full accountability and transparency of the fund has to be maintained. It must also not become the fund out which the provincial administration funds its recurrent costs, the funds have to be used for developmental activities of the communities.

- **Practical steps for implementing the CDF and DCSF**

It is clear that both of these funds would require long-winded and complicated approval processes through the Kenya Government system. Since these processes are well beyond the consultants limited knowledge of the Governmental system in the country, these practical suggestions commence once a decision has been taken that the (re)-establishment of a non-sectoral fund for the districts is desired.

In order to disburse the funds to the district it would have to be apportioned to the Office of the Vice President Ministry of Planning and National Development since the District Development Officer underlies this Ministry. The Authority to Incur Expenditure (AIE) holder would be the DDO. Once again a ceiling would have to be imposed on the use of the funds so that at least

90% is used for capital expenditure (in this case also including the DCSF where services and training will be "bought") and not for administrative purposes.

Based on the mobilization proposed above, additional communities would be mobilized and would have developed their own community action plans. These would be filed in the planning unit. Communities who have not undergone the mobilization process would simply register the projects or development activities they are requesting support for. A yearly planning cycle has to be established. Community representatives would meet at the divisional level with the sectoral line department staff, NGO's etc and would jointly deliberate upon the applications coming from the communities. These would be ranked and prioritized by all concerned partners. The results of this exercise would then flow to the district sub-committees who would also examine the applications and finally make recommendations for approval to the DDC. The applications would be divided between those seeking support from the sectoral line department funds and those seeking assistance from either the CDF or the DCSF. Once approved by the DDC the proposals would take the same route as defined in the Blue Book for sectoral line departments, while funds requested for the GDF would be passed onto the Ministry of Planning. Upon receipt of the AIE, the DDO would divide the funds according to the requirements registered by the divisions and would disburse the funds to the divisional level for implementation of the measures. The funds should not remain tied up at the district level as is currently often happening. Control over the funds needs to be ensured by the planning unit, the DDO and most particularly by the communities.

The planner posted to the divisional level (assistant DDO) would be responsible for ensuring the resources are disbursed to the planned community projects. Similarly, services which will be "bought" from the service providers would also be undertaken at the divisional level. For example, additional (i.e. those not planned for within the sector itself) costs incurred in providing training courses planned for the health sector would be paid for at the divisional level from the DCSF (e.g. training materials, possibly even recruitment of trainers, etc). In this way the DCSF would ensure that expenditures are directly related and attributed to the community needs and requirements rather than merely providing a lump sum which can be used for any services provided anywhere in the district (this would continue to be done by the sectoral line departments through their own budgets). Clearly not all service providers are located at the divisional level. The DCSF could also be used to "purchase" specific services for the communities from the private sector. Care has to be taken to ensure that the sectoral line departments suddenly view the DCSF as a "pot" of money which can be used to receive payment for services which normally fall under their mandate and for which they are expected to budget for. The DCSF is designed for "additional" service provision only.

Control and transparency will be the main key to success of the above mentioned proposals. Practical steps for ensuring this also centre on the community and divisional level. Part of the mobilization process of the communities has to focus on the establishment of a transparent participatory monitoring and evaluation process. Communities will be expected to monitor their own developmental work. At the divisional level control can only be ensured if the communities are represented at this level. Thus an expanded membership of the Divisional DDC meetings has to be aimed for, with active participation of the heads of each of the village or community development committees. Information on the funds received, funds approved for activities and disbursal of these funds has to be monitored and reviewed by the all members of the committee.

Poor or good performance of communities has to be part and parcel of the selection criteria for the yearly approval procedures for CDF and DCSF fund allocations.

The free flow of information and full integration of the communities in the process is, as far as the consultant is concerned, the only realistic way of getting any form of accountability and transparency into the financial disbursement system. The failure of the present complicated bureaucratic system to ensure accountability bears testimony to this fact.

The Vote book control and expenditure returns procedure described in the Blue Book (DFRD, Nairobi 1995, §5.3.1, d. p.47) could be used as described for the divisional level "...those stations which are far from the district headquarters or those whose volume and nature of work necessitate posting of accounting staff to work there. Those stations will maintain other Vote books in addition to the ones that will be maintained at the District Treasury. AIE holders may, for their own purposes and if they so wish, maintain duplicate Vote books" (DFRD, Nairobi 1995, §5.3.1, d. p.47).

Expected resistance to the approach will be strong, mainly by those who do not want greater transparency and accountability. The very fact that the communities and villagers will be able to check the flow of funds disbursed to the divisional level and since they will be fully informed of the funds approved the ability of individuals to misappropriate the funds should be reduced. Care has been taken to use the word reduced since it seems that the tenacity of devising new ways of bypassing the system is presently boundless.

Since the proposals will require changes to be made in the DFRD approach which is likely to take some time, one idea would be to thoroughly test the approach in the five Kenya-German RRD projects in Samburu, Transmara, Kilifi, Marsabit and Mwingi. In fact, many of these proposals have already been developed for the second phase of the TDP project and will be implemented from 1998 onwards. All practical steps for implementing the approach have to be field tested and the results of the tests would then be an important source of know-how for changing the national DFRD strategy. The proposal is based on the implicit assumption that the political will exists to provide greater transparency in the system.

4.1.5 Plurality of disbursal systems

Figure 2 and 3 depicts the "pumping-heart" organisational form required at the community level. One of the important ingredients is that the communities can access resources (both production resources such as land, water, etc) as well as financial resources. A case has already been made for the establishment of different funds for general development (e.g. the general development fund at the district / divisional level, the divisional community service fund, the community development fund and the communities own revolving development fund). Suggestions for the disbursal procedures for funds coming from the Government of Kenya could be as follows:

- sectoral funds will continue to be allocated in the same manner in which they are being done at present;
- a general development fund is established at the district / divisional level, funds will be provided from the Treasury, via the Ministry of Planning and National Development;

- part of the fund will be immediately set aside for the divisional community service fund (software provision) the rest will be used to support community initiatives which are broadly targeted. This fund is important in order to revamp the DFRD process and the procedures for financial disbursements should follow the re-vamped DFRD approach being proposed in this paper;
- broadly targeted funds which are to be set aside as part of the SDD approach will be financed through the normal sectoral line department budgets. Thus effective targeting of these funds to the poor sections of the community can also only be undertaken once the communities are mobilized and organized.

The five proposed modalities for fund disbursal depicted in figure 3 should be seen as part and parcel of a complete pluralization of the system. By creating a certain degree of competition between the systems a further contribution can be made to ensuring the judicious use of the resources.

The basic argument remains that the ideal form would be a fully functioning, transparent and effective DFRD system. The dotted lines in figure 3 depict the various funds which have been proposed for revamping the DFRD system. The solid lines in figure 3 depict how funds can be channelled to the communities and in particular to the poor, through the five main channels. Which ever approach is selected the philosophy of plurality has to firmly anchored in the system, in other words nothing should stop communities being able to apply directly to any of the funds that exist at national level. However, they must inform both the divisional and district levels that applications have been sent. In this way the onus of questioning the application rests with the DFRD system which then has to raise its objections with the relevant fund management. The criteria for selecting the most appropriate system could be as follows:

Through the DDC system if:

- the DFRD system in the district is fully operational, divisional level meetings take place regularly;
- the membership of the DDC and the special purpose sub-committees is made open to all actors involved in the development process in the district;
- at the divisional level, the chairperson of the community development committees are fully represented and have equal voting rights in any prioritization or project selection process;
- the funds being allocated to the communities are made completely known, a transparent process for decision making is undertaken and the results of this process are communicated to all communities involved in the process;
- funds being allocated to the communities are counter-signed by the community committee
- divisional level mobilization system has been established and is operational, made up of the divisional sector departments and a professional mobilizer;
- districts are willing to delegate more functions to the divisional level for planning and implementation;
- funds are disbursed to the divisional level for disbursal to the communities;
- mobile teams travel to the divisions every quarter to vet and immediately approve community projects being proposed in the communities.

Directly to the communities if:

- communities have established a democratic organisational form for developmental purposes;
- all community members have been involved in the process;
- communities have demonstrated for at least 1 year that their organisation has been successful in carrying out planning and implementation of small community projects;
- communities have demonstrated that they have planned some of their own activities and have carried out these activities without any external (i.e. external to the community) assistance. This process shows that the community has been partly weaned from the external assistance syndrome which is widespread amongst many communities;
- communities can demonstrate that they can handle money, they have some form of book keeping, even if this is fashioned for illiterates such as the book-keeping system designed for the Manyatta Dukas;
- a local bank exists at least at the divisional level where an account can be opened by the community to bank funds assigned to the community;
- at least five different members should be signatory to the accounts, whereby withdrawals should only take place after approval by the whole community;
- reporting of the financial status to the whole community should be undertaken regularly.

The direct community option is by far the most desirable approach since it will greatly enhance the capability of ensuring that funds really do reach the communities. However, where the communities are not yet strong enough to handle the funds, it may be necessary to channel these through intermediaries as described below.

Though strong community based organisations, NGO, church organisations or donor sponsored projects if:

- these are well organised (examples of CBO include a credit and savings society, a well functioning local cooperative);
- they deal with all sections of society, irrelevant of religion or creed;
- they cover more than just one community;
- they have a good track record both organisationally and financially;
- they have low overall overheads and a good organisational structure at the field level;
- they share the goals and objectives encompassed in the SDD approach;
- they have been able to separately target a particular section of the community (e.g. women, youth, etc) in the past;
- they use participatory methods and techniques;
- organisationally they can handle and account for funds separately from their own funds;
- the costs of administering the funds does not exceed 10% of the total funds being disbursed through them;
- they have a good track record with respect to the quality and sustainability of community projects which have been initiated by the people and supported by the relevant organisation;
- they can demonstrate that they have been able to effectively coordinate activities at all levels in the system (community, divisional, district levels).

4.1.6   Anti Poverty Trust Fund

Anti Poverty Trust Fund (APTF) will be targeted at the poor and the poor only. The intention is that it will help in promoting economic activities which will eventually move the poor back to the non-poor where they can play a greater role in the local economy. APTF falls into the category of "narrowly targeted" programmes, where the target group is very specific and where considerable efforts have to be undertaken to ensure that the poor really do benefit exclusively from these programmes. Past experiences have shown that government and donor assisted projects targeting the poor have not been able to exclude the non-poor from benefiting from the measures. In fact, quite often they received the largest share of the funds and resources! A basic argument which has been put forward in this paper is that the identification of the poor in any society is not something which can be achieved very simply. A need exists for the community to be mobilized and to be equipped with the necessary techniques to identify the poor themselves. Once identified, the poor in turn have to be organized so that they can participate in any economic activities which they decide upon.

This section of the paper concentrates on the main modalities for disbursing funds to the poor in a community who have been identified by the community themselves. A plurality of disbursal systems for funds is an important recommendation being suggested. Given the current difficulties being faced by the DFRD system, especially the limited transparency of financial disbursements, prioritization of projects, etc, there is a real danger that funds earmarked for improving the plight of the poor will never reach the target group if the funds are passed through the DDC system. Direct targeting is the only way of guaranteeing that the funds are actually received by the poor.

The "pumping heart" depicted in figure 2 (and inserted into figure 3) is relevant for the whole community but also should be equally relevant for any sub-group in the community such as the poor. Organisations such as Action Aid differentiate the community between "poor" and "non-poor", both of whom need to be separately targeted. Thus the recommendation is that the "poor" will also require the three main ingredients being suggested in figure 2, namely they need to be organized, they need access to resources and they need access to effective services. In contrast to the general model being suggested for revitalizing the DFRD approach, targeting of the poor can not pursue the approach of accumulating capital as depicted under "A" in figure 2. This is simply not possible given the current economic plight of the majority of poor. Similarly, the poor will benefit together with the non-poor from the divisional community service fund and also from the general development fund which has been proposed in this paper. In addition to accessing these broadly target funds, the poor require a separate fund for their very own use, namely a Community Poverty Alleviation Fund (CPAF)

Disbursal of funds from the APTF to the poor should pursue four of the five approaches being suggested in figure 3:

- directly to well organized poor groups in the community;

- directly to strong communities or CBO's in the community who demonstrate a good track record of handling funds and who have also demonstrated that resources are allocated to the poor sections of the community;

- via NGO's or donor supported projects and programmes who establish a separate fund for the poor (similar practice to GTZ supported projects who handle food-relief)

The mobilization team who assist the community in establishing their own organisational form also have to introduce the whole concept of identifying and targeting the poor separately. Once the community have identified the poor then they in turn need to organize themselves, whereby the forms of organisation may vary:

- groupings of poor who organize themselves for a specific purposes (thematic groups). They have a common objective which the wish to pursue, this could be a developmental project such as the establishment of a small enterprise;

- poor who suffer from similar problems or constraints (subject groups) such as single women who have to raise children at the same time who require specific assistance. Another example are groups of poor who not have access to production resources, particularly land;

- poor who presently can not be organized into a single economic variable group and whose first priority is often mere survival (survival group). Here a danger exists that these persons are unlikely to be able to use resources provided to them for economic activities since they require the funds to initially feed themselves. These groups of the poor would require an interim phase between meeting the needs for food initially before being able to even think about economic activities.

A critical question to be answered is whether funds received by the poor from the APTF should be in cash or kind. If it is in kind, then this will entail quite a complicated logistical apparatus which is able to supply the necessary tools and equipment. Cash would be the easiest mode for managing and disbursing the fund but would also bode a greater danger of misuse.

The following approach could be thought about for disbursing the funds to the poor in the community once they have been successfully identified and once they have created their own organisational forms. These organisations then need to attain the necessary legal status so that they can be addressed by the APTF.

- **Well organised groups**

- groups have to meet and decide what economic activities they would like to undertake;
- once a consensus has been reached, the group may decide to form smaller sub-groups each of whom may pursue slightly different targets;
- a very simple application form has to be completed by the groups applying for funds from the APTF;
- the divisional community mobilization team being proposed in this paper should then visit the group and jointly with the group assess the applications;
- in the application particular attention has to be paid to the economic viability of any measures which the poor groups are suggesting. Attention should also be given to assessing the likely positive or negative impacts which the activity may have on the non-poor in society in order to avoid any potential conflicts over resource usage;

- since banking facilities are improving at the divisional level throughout the country, the organized poor groups need to set-up a bank account at the local divisional level bank (a practice which is quite common for community based water maintenance projects);
- several members of the group should be signatories to the bank account and funds should only be drawn when at least five people in the group have signed for the money and the withdrawal slip has been endorsed by the whole group;
- the expenditure of the funds has to be carefully monitored by the whole group, this requires the establishment of a small internal participatory monitoring process;
- ad hoc external monitoring should be undertaken by the divisional mobilization team, whereby they will have no powers of veto or sanctioning;
- successful completion of any economic development activity has to be measured according to pre-determined criteria which should include a strong element of sustainability.

- Examples from Samburu for such mini projects which target a specific group in society are the Manyatta Dukas and the mobile Manyatta Dukas where success can be measured as to whether the Dukas survive from year to year. The development of store keeping and book-keeping procedures for illiterates has been an important element in ensuring that economic ideas can be propagated amongst these target groups.

Since the amount of funds which will be disbursed to the poor will not be particularly large, the control mechanisms have to be appropriate. In other words if the groups receive a maximum of say KSHS 10.000/- then it does not seem to be particularly appropriate if the approval, monitoring and supervisory system costs many times that amount! Thus much more emphasis has to be placed on group and community control which in turn can only be done if the poor group are well organised.

- **Less well organized groups**

These groups will require longer indirect assistance before they can actually undertake activities completely on their own. This means that a strong intermediary agency has to be available to support these poor groups. Examples could be NGO's, CBO's, religious organisations and organised associations (e.g. women group, charitable organisations, etc). Here the suggested procedure would be as follows:

- intermediary organisations would work closely with the divisional mobilization team to organize the poor groups;
- a similar process of identifying economic projects and activities by the groups has to be undertaken;
- applications would be made by the groups, whereby the intermediary organisations would be instrumental in helping the groups to formulate the applications;
- the intermediary organisation would establish a separate account for the group. Applications would be forwarded to the APTF secretariat who, after approval of the projects, would transfer the funds to the account established by the intermediary;
- withdrawal from the account should only be possible with the approval of the whole group. They would have to agree at a meeting what funds should used for and when it should be drawn from the intermediaries bank account;

- a participatory (poor) community monitoring system has to be established and success of the project should also underlie a set of criteria agreed upon by the whole group in advance of the activities being undertaken;
- once an activity has been completed, the procedure can be repeated and new applications made towards the APTF.
- **APTF at the National level**

If the same mistakes are to be avoided which many organisations have carried out in the past then the APTF has to be quite innovative in its approach. Common mistakes which have rendered many trust funds inoperative are complicated, time consuming bureaucratic processes which have to be undertaken prior to any funds being disbursed to the target groups, namely the poor. A speedy and non-bureaucratic approval system will have to be established at the national level. Lessons perhaps can be learned from the EU Community Development Trust Fund which has established national and regional centres, has developed an application procedure for community sponsored projects. However, after studying the application procedures for the fund, the consultant feels that it goes beyond many poor members of societies ability to fill out such forms. In addition, the organisational structure and logistics required to assess each and every application individually is likely to stifle the whole process and grind it down in bureaucratic red-tape.

In order to avoid these pitfalls, simple application procedures which are in line with the abilities of the poor people to understand and follow have to be developed. Application forms should be sent to the national level directly, where the applications will be vetted. Control over the quality of the applications can only be provided either by the intermediary organisations or by the suggested divisional mobilization team. This means that at the national level, the APTF needs to establish a project approval panel who will vet the applications and will suggest projects to be approved by the board of trustees. Since the amount of money being allocated to each of the poor groups is likely to be quite small, the establishment of regional offices to control and supervise the fund disbursal would be simply too costly. Ad hoc inspections at any point in time, country wide, would be undertaken by the panel, who then have the right to immediately freeze any further fund disbursal to groups if they are being incorrectly utilized.

The argument being put forward here is that to achieve any water-tight control systems for financial disbursals almost always involves very costly procedures, whose effectiveness is often questionable. These procedures can only be radically reduced if agreement is reached that a certain amount of misuse of funds will take place. However, these can only be minimized through much greater control and transparency at the community or poor group level. If the all members in the group know the amount that has been allocated to them, if they are also well informed about the amounts being withdrawn to pay for their activities, only then can a better control mechanism be established. Agreed, the ability to cross-check the quality of the projects may not be as effective as desired, however, by carrying out regular spot checks and by enforcing strict policies of fund withdrawal or cancellation, the poor will soon enough see the need to ensure that funds are effectively utilized.

In summary, the proposal being made is as follows:

- establish a project approval and vetting panel at the national level with the capacity to handle numerous applications;

- the panel should encompass qualified persons able to assess the project proposals and to make recommendations to the board of trustees;
- a separate financial section is required which disburses and accounts for funds provided to the poor communities;
- a separate mobile monitoring and auditing team should be established which can carry out ad hoc spot checks of any application being submitted to APTF, projects in progress or completed projects. The checks should be completely random in nature and it has to be made clear to all that appropriate immediate action (i.e. the withdrawal of remaining funds) will be undertaken if any case of misappropriation of funds is uncovered, the basic policy should be "zero-tolerance" from the very beginning.

4.1.7 Ways of effectively targeting the poor

Identifying and targeting the poor can not be done quickly. Since the poor are often not visible in society, there is a need to have a realistic approach to identifying these target groups. The participatory poverty assessment approach used recently in a survey carried out jointly by AMREF and OVP Ministry of Planning and National Development demonstrated how a series of different participatory techniques can be used effectively to identify the poor and vulnerable community members. There is no "quick and easy way" of identifying these specialized target groups. Current practices of targeting and reaching the poor have often only ended in benefitting the non-poor in the society.

Once again a linkage can and should be established to the point of needing well organized and structured community or village development organisations. They in turn can be equipped with the methods and techniques for identifying the poor who in turn need to establish their own sub-community structures in order to ensure that resources are channelled to them directly. As more and more communities develop the sort of well functioning developmental structures throughout Kenya, the quality and ability to target specific groups can be more effectively guaranteed than at present.

4.1.8 Reduction of planning "layers" & revised functions

There is a need to reduce the number of layers in the process. The value of the Locational Development committee has to be thought through. From a purely planning point of view it would seem that at present there is little or no value. Furthermore, the removal of the Sub-locational level and replacing it with the community (as defined above) is also highly recommended. The reasoning is that the SLDC are mainly administrative and not "natural" community delineations (based on common resource exploitation, geographical or family lineages)

A further important benefit of the proposal is provide the necessary freedom to the communities to decide the organisational form they would like to establish as well as providing a free choice of leadership for these structures. The automatic right of the chiefs and sub-chiefs to chair these meetings would be usurped by communities own right to choose the leadership. Competence should be the main selection criteria and in some cases competent chiefs or sub-chiefs could easily be voted as chairmen for the committees. A number of communities in Samburu and Marsabit district have been successfully operating this system lately without the expected resistance of the "establishment".

The proposed system would have the following main "layers: community or village level, divisional, district and national level. The provincial level has been excluded purposefully since the "value-added" of this "layer" in the system is very hard to define in the present system let alone in any revamped DFRD system! Currently the provincial level has an important monitoring and evaluation function. With the proposed changes more of these monitoring functions would be decentralized to the district level which would make a provincial role almost superfluous. The consultant can find few if any arguments to support a provincial level role in any bottom-up development planning and implementation process. However, this does not mean the province does not continue to have an important role in administrative matters such as law and order, judiciary, etc.

- Revised functions of the district level

Several factors have led to the proposal to revise the functions of the district. Districts tend to be relatively large spatial entities, the district capital is often quite a distance from the majority of the communities, the sectoral line departments are concentrated in the district capital but the majority are unable to provide services mainly due to the lack of transport or the inadequate funding of recurrent costs such as fuel and allowances. Many services are provided only in the surrounding areas around the district capital, remoter areas continue to remain "remote". The state has not been able to adequately satisfy the transport needs of the sectoral line departments at the district level, this situation is not expected to dramatically improve in the short or even medium term, on the contrary it is likely to get worse. Services have to be located nearer to the communities. Here the divisional level offers the best chances since it is still accessible by foot for the communities.

The proposal is to further decentralize functions from the district to the divisional and community levels. The district would have the following main developmental functions:

- overall socio-economic and spatial planning for the whole district;
- monitoring and evaluation of the development measures, including accountancy services as described in the Blue Book;
- inter-sectoral coordination and cooperation;
- provide an interface between local level and national planning;
- act as a bridge between communities and potential sources of funds at the national level;
- provide back-up services, coaching and professional advice to the sectoral staff at the divisional level.

- Revised functions of the divisional level

Bringing services and decision making closer to the community, where inadequate transport facilities may be less critical than at the district level stands at the centre of the proposal to devolve further functions to the divisional level. The main functions proposed for the divisional level would be as follows:

- divisional level would be responsible for joint planning and implementation of community / village level development activities, including prioritizing and ranking community applications, formulation of applications into viable project proposals, etc.

- a divisional level a team of mobilizers would be formed made up of sectoral line department staff located at the divisional level and a professional community mobilizer preferably recruited and paid for by the Council to provide advise and services to mobilize the communities for their own developmental efforts;
- intersectoral committees (IC) could / should be formed at the divisional level to discuss technical issues and approaches based on the community defined needs and requirements;
- expanded membership of the DvDC which includes representatives of all of the community development committees in the division should meet four times a year to jointly deliberate upon the development proposals being made by the communities;
- transparent ranking procedure should be developed by the planning unit and applied at these meetings (compare annex 2);
- allocation and disbursal of funds should be discussed in an open and transparent manner at the DvDC;
- results of the community participatory monitoring process should be discussed at these DvDC meetings and an overall divisional monitoring system has to be developed and introduced, whereby all members of the DvDC would be involved in the process;
- DDO and district sectoral departments not represented at the divisional level have to attend the DvDC meetings in order to provide advice at the meetings. This would represent the absolute minimum involvement of these departments at the divisional level

With a more emancipated and autonomously functioning community level, with greater representation of the community at the divisional level and by changing the general orientation of the sectoral line departments towards services provision rather than development provision, coupled to funds being located at the district/division and at the community level improved chances for revamping the DFRD system can be hoped for. It only remains to be said that short of a complete overhaul of the DFRD system it is questionable whether sufficient impetus can be given the current approach to restore the confidence in the system.

4.1.9   Revising / opening membership of developmental committee

Membership of the various developmental committees has to be completely revised and opened up (compare suggested list of participants in annex 3). At present it is an "all civil-service" show with strong political interaction at the DDC level. The membership should be open for all those who are involved in developmental efforts in the district. The formation of the special sub-committees already indicates that a more open membership has helped encourage NGO's to attend these meetings and has also encouraged them to coordinate their work more effectively. The fact that NGO's and even donor supported projects have been purposefully excluded from the DEC meetings in some districts has not been helpful in trying to promote a more open and transparent approach to community based development in these committees. The attempt to hold "mega-meetings", where large numbers of participants sit and deliberate on very detailed sectoral issues also has to be questioned. The establishment of more functional committees such as a District Intersectoral Coordination Committee, district water and sanitation committee and so on have proved to be a very suitable forum for deliberating upon specific developmental issues. Their recommendations can then flow into the DDC. Thus the value of the DEC also has to be reconsidered and it is recommended that it is replaced by such specialized functional committees. These may be formed for a particular purpose and may also dissolve themselves once the work is complete.

- **Community representation at divisional level**

The current inadequate involvement of the communities at decision making levels above the community level bodes the question how best to ensure that community priorities can be represented. It would be good if the chairpersons of the community or village development committees could attend the divisional level meetings in order to bolster the representation of community at these forums. The divisional level provides a good basis where development professionals and community representatives can deliberate upon local issues. The meetings should be chaired by the district development officer and not by the District Officer as defined in the Blue Book which would further contribute to separating the developmental from the administrative/regulatory function at the divisional level.

4.1.10 Separation of regulatory from developmental functions

Majority of administrations established in developing countries can be described as *control administrations*. Emphasis is on the operative word *control*, in contrast to what is more profoundly required in these countries namely a *development administration*. All of this holds true for the Republic of Kenya where the decentralization approach promoted over the past two decades has further strengthened this control administration. This explains why the head of the district administration, namely the District Commissioner, is the chairmen of the most important committees which not only deal with administrative issues but more importantly developmental ones, while at the same time the DDO has only been assigned a secretarial role in these fora.

Presently the DDC and even the DvDC is dominated by the civil servants and the DC is effectively their immediate superior. Thus the ability and willingness to question the DC in his judgement on development issues is not a particularly easy task. The proposal being made is that a strict separation of functions is undertaken with two main strands of committees being established at the district level. One strand of committees to be chaired by the DC centres on all the administrative and regulatory functions while the other centres on the developmental aspects and would be chaired either by the DDO or any other competent developmental person (similar to how it has been separated in Ghana, compare annex 3). With the absence of a local assembly at the district level who would provide the legislative functions (as practised in Ghana and in future in Zambia and Lesotho) the DDC will continue provide the main forum where the political, administrative and developmental functions will flow together. Here the DC would still be the chairman but the DDC would be bound by the advise given to it via the sub-committees and could not simply overrule the ideas and implement other ones. The sub-committees must, however, present alternatives for the DDC to select from.

At least a partial practice of this proposed approach is already taking place in some districts.. While the DEC has not proved to be very effective, the districts have established special sub-committees to deal with certain issues. The chairmanship of these committees is often based on a consensus being reached by the participants, membership of the committees has been based on common interests in a specific development issue (water and sanitation committee, food relief committee, etc), chairpersons have also been selected on a rotational principle (i.e. chairmanship rotates on a yearly basis). In some cases the DDO is the chairperson, in others heads of sectoral line departments, or even NGO's are chairing the meetings, especially if they are the dominant force in a particular sector. Development committees must be based on a need, they should also be able to constitute and dissolve themselves if the need arises. This is

the only way of ensuring a flexible approach for coordinated planning and implementation and avoids subsequent organisational weaknesses caused by too many formalities.

4.1.11 More effective ways of linking local government with DFRD

The duality of the current Kenyan system is in many ways worrying since it does not allow for effective political representation at the district level. The fact that the local government system is only represented with two voices in the DDC has further isolated the local government system from the developmental efforts of the districts. In two of the five Kenya-German RRD districts the local councils are quite wealthy but it is difficult or near impossible to discover how they use these resources effectively. Most of the funds are spent on bursaries. The councils need to be encouraged to take up a greater burden of the mobilization process by hiring and paying for professional mobilizers at the divisional level and by also contributing towards the developmental projects identified by the communities more directly.

Ideally, the district should have a district assembly, made up of representatives of the villages who oversee the subordinate DDC and governmental development agencies operating in the district. This is the approach taken by countries such as Ghana, Zambia and more recently also Lesotho. For information purposes the organisational framework for development planning and management in Ghana has been included in annex 3. The chart depicts the role the assembly has in the system and when compared to the Kenyan administration, the duality of the systems become quite evident.

4.2 Approach for covering the whole country systematically

One criteria which has been used for the recommendations being formulated in this report is that the system can and should be applicable throughout all rural areas in Kenya. The approach rests on several facts:

- mobilized communities (as defined above);
- revamped DFRD approach;
- allocation of funds for development at both the district and community level;
- a plurality of functions for disbursing funds to the communities directly.

A pragmatic approach would be nationwide district assessment of organisations (whether church based, NGO, CBO, etc) who have or are currently in the process of mobilizing communities (mobilized in the same manner as defined in this report). The assessment would take approximately 1-2 months to complete. A ranking criteria can also be used to determine the status of mobilization (i.e. mobilization recently started, community mobilized since 2 years and has already undertaken measures on their own, etc.). At the same time the organisations will be requested to indicate whether they intend to continue the mobilization process over the next few years and how many and which communities will be reached by them. This information should be put on a map so that one easily discern areas covered and areas which remain completely uncovered. This information can then be overlaid with the poverty maps to determine whether sufficient mobilized communities exist in those areas where poverty is a serious issue. This could be a target group which could benefit immediately from any APTF.

The mobilization process being carried out by these organisations could also be supported by funds from the APTF.

Areas not touched upon by the existing "mobilizers" have to be highlighted and a strategy developed how they can also participate in the process. One suggestion would be to pursue the divisional level mobilization team approach. Sectoral line departments who have staff at the divisional level would all be part and parcel of a mobilization team who would take part in the community mobilization process. What is currently missing at the divisional level is a professional mobilizer. Here greater cooperation from the local County Council system has to be sought. It is in fact their mandate to hire such mobilizers (often also called community social workers) and to ensure that they are able to work effectively. This process could also be supported by the APTF who could help recruit and position professional community mobilizers at the divisional level. The professional mobilizer would assist the communities in selecting their own mobilizer who would act as the main go-between the community and the divisional mobilization teams. This approach is already being practice effectively by the SDDP project in Samburu, the MDP project in Marsabit and by many of the project areas covered by Action Aid.

Thus a systematic approach for finally mobilizing all rural communities in the country can be drawn up which will form the entry point for both SDD and the Anti Poverty Trust Fund. Main advantages of this approach are that through the survey of existing mobilized communities entry points for any fund can be attained immediately and a plan of action for reaching all other communities can be drawn up. This is the approach which the EU CDTF is following and it has already yielded more than 1.000 applications from communities all over the country.

If sufficient funds eventually become available at the national level, then it may be possible to convince many of the donor assisted projects dealing with rural development to shift their scarce resources more towards the mobilization process, leaving the funding of hardware and software activities which are not related to the mobilization process to such funds as SDD, APTF, EU CDTF, Youth Fund, Women Fund, etc. Such a division of labour would benefit all, the intense mobilization process would be undertaken by organisations who have the necessary field structures while the funding of community projects and activities would be done by those who have the resources but do not have the field structures. This seems to be the only realistic way of ensuring that duplication of efforts does not take place, all leading to ever greater bureaucratic procedures and ensuing costs which accompany such structures.

4.3   Linkage to the 5 Kenya-German regional rural development projects

Several of the new ideas and approaches being proposed in this paper will have to undergo further field testing. At present the five Kenya-German RRD projects are actively seeking funds from the EU CDTF, whereby the projects will act as guarantors of the funds. Experiences gained here will prove valuable for the SDD and APTF. The ideas for re-vamping the DFRD system could also be tried and tested in a controlled manner in the five districts. For example, the different funds which have been proposed to revitalize the DFRD system could be tested using limited funds to determine their operational limitations and advantages. The same holds true for the process of allocating funds directly to well organized community organisations. This process can also be carefully monitored and observed by the five projects who can then report on the results.

If broad agreement can be reached that the proposals being put forward in this report can be put into operation, then a plan of action has to be developed with the five projects to determine which aspects should be tried and tested where, how long these experiments should run for and a careful reporting and documentation established which can be shared amongst the projects and with the national level organisations interested in operationalizing the approach. The time needed to carry out these experiments would be between 1-2 years, which will be about the time the consultant estimates it will take to establish and fill the APTF with funds from the Government, private sector and donors (including the necessary structures and procedures needed at national level to operationalize the APTF).

4.4   Proposed next steps

The next step in the process is to circulate this paper widely for comments and suggestions as well as to determine how far changes based on the recommendations can be effected. Here the consultant would like to point out again that the measures designed to revamp the DFRD process can not be implemented in isolation of each other. Unless quite wide ranging changes are made and unless confidence can be returned to the system it will remain a rather ineffective approach, similarly to a toothless lion. Courage and political willingness to make changes, which will clearly be unpalatable for the technocracy and even for some sections of the political system, have to be taken. An analogy which can be given here is that of a cancer patient who is given two choices by the doctor: either he takes an aspirin to ease the pain which will mean that he will also die shortly or he is prepared to be operated upon in order to cut out the cancerous cells, which will significantly increase his chances of surviving.

Detailed discussions should be undertaken based on the recommendations contained in this paper. Comments should be collected and assessed. The results of these thoughts and ideas and criticisms should then be collected and the document updated accordingly. This process could be undertaken in December after the consultant has completed the next mission to Transmara. Thus a *process* is set in motion of bringing new ideas into discussion, testing their viability at the political/administrative level, possibly field testing ideas in the five RRD projects (Samburu, Kilifi, Mwingi, Transmara and Marsabit) and then revising and adapting the ideas accordingly.

Annex 2: Suggested Membership of Development Committees

- **District Development Committee**

i.   District Commissioner (chairperson)
ii.   District Development Officer (secretary)
iii.   Department Heads of all ministries represented in the district
iv.   Members of Parliament
v.   District Ruling Party Chairman
vi.   Chairmen of Local Authorities
vii.   Chairmen of Divisional Development Committees
viii.   Representatives of development related parastatals
ix.   Representatives of NGO's, churches, donor supported projects and all other organisations who are involved in development related activities
x.   Private sector representatives

- **Divisional Development Committee**
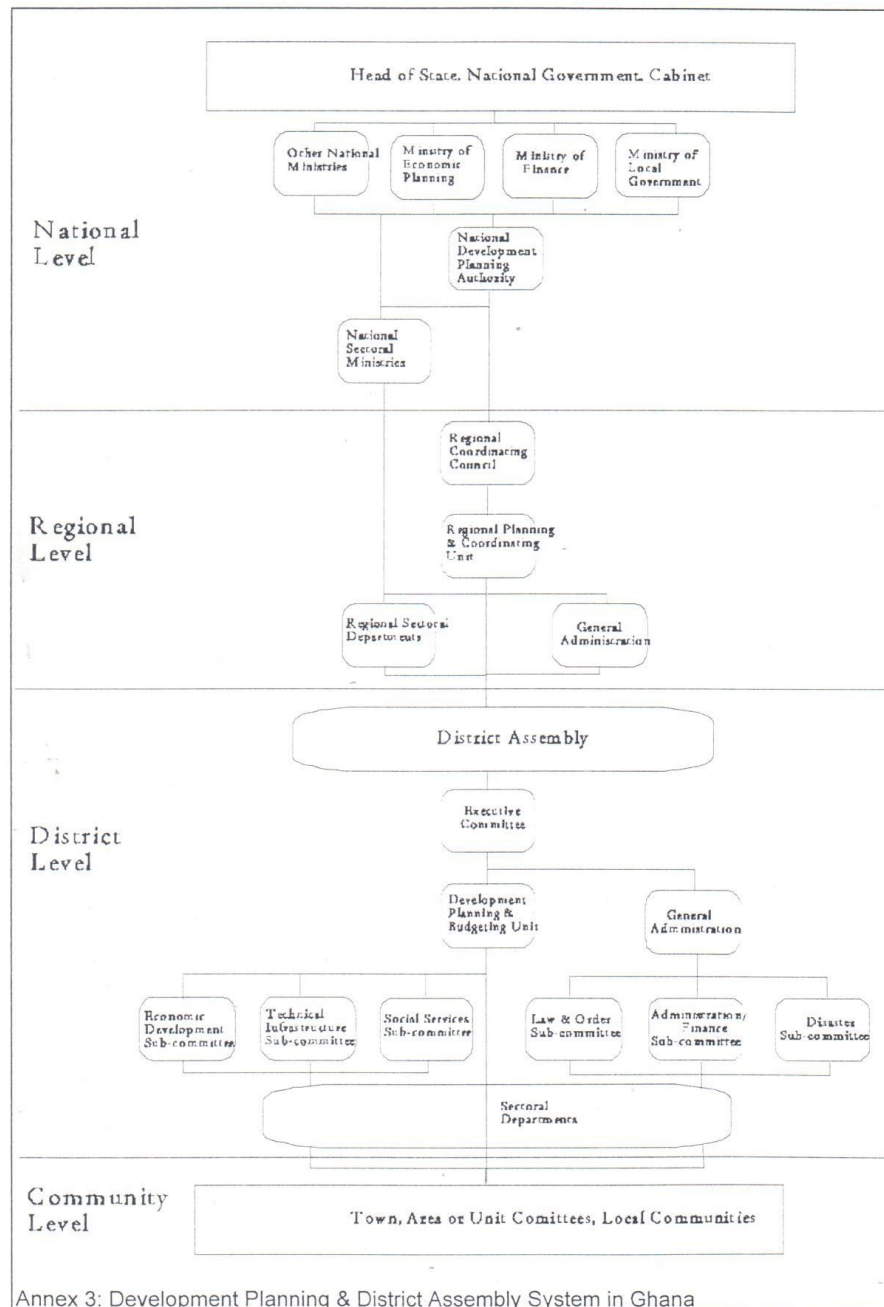
i.   District Development Officer (chairman)
ii.   Department Heads of all ministries represented at the divisional level
iii.   Members of Parliament
iv.   Sub-branch Ruling Party Chairman
v.   Chairmen of all community development committees
vi.   Clerks of Local authorities
vii.   Councillors of Local Authorities
viii.   Representatives of development related parastatals
ix.   Representatives of NGO's, churches, donor supported projects and all other organisations who are involved in development related activities
x.   Private sector representatives

- **Special Purpose Sub-Committees at District and Divisional Level**

Special purpose sub-committees should be established which act as sub-committees of the DDC/DvDC. The objectives of these sub-committees has to be carefully stated in advance. The committees may dissolve themselves after completing a particular task (e.g. an ad hoc committee on drought relief, etc).

Chairmanship of these committees should be on a voluntary and possibly rotational basis. It should not become the exclusive domain of the civil service cadre to chair these meetings. A selection could be according to the strongest commitment in the particular field or sector. For example, it is quite conceivable that a community looking into issues of poverty is chaired by a strong NGO involved in the sector.

Membership of the committees should be open to **all** those involved in that sector.

National Level

Head of State, National Government, Cabinet

Other National Ministries | Ministry of Economic Planning | Ministry of Finance | Ministry of Local Government

National Development Planning Authority

National Sectoral Ministries

Regional Level

Regional Coordinating Council

Regional Planning & Coordinating Unit

Regional Sectoral Departments | General Administration

District Level

District Assembly

Executive Committee

Development Planning & Budgeting Unit | General Administration

Economic Development Sub-committee | Technical Infrastructure Sub-committee | Social Services Sub-committee | Law & Order Sub-committee | Administration/ Finance Sub-committee | Disaster Sub-committee

Sectoral Departments

Community Level

Town, Area or Unit Comittees, Local Communities

Annex 3: Development Planning & District Assembly System in Ghana

Annex 4: List of participants attending the presentation of mission results

List of Participants:
Meeting held 1-10-97 at Lenana House

NAME	ORGANIZATION	DESIGNATION
Grace Okonji	UNDP	Progamme Analyst
Nikolaus Schall	GTZ CONSULTANT	SDD-DFRD
Walter Salzer	KIDEP	Advisor
Gaathoga W. Chege	MIN. OF COOP DEV.	Senior Economist
Simon Thuo	MLRRWD	Ass. Dir./Monitoring
L.I. Shitaka	MCSS	Senior Economist
J. Adem	MLRRND	Principal Economist
Elijah O. Achoch	MIN OF LARMR	Ass. Dir./Employment
Otto Quiring	GTZ	Assistant
Carolyn K. Lesorogol	SDDP	Comm. Dev. Coordinator
Peter Kaufmann	GTZ	Advisor-Lup/Nrm
Phil Harding	DFID(NAIROBI)	Social Dev. Advisor
Paul Borsy	GTZ	Advisor-Lup/Nrm
Guido Ast	GTZ/MLG	Programme Leader-Small Tows Dev. Project (Stdp)
Traugott Jungjohann	GTZ\TDP	Team Leader- Transmara Dev. Project
Georg Käsler	SDDP	Team Leader
Paul O. Ochieng	DPM	Chief Human Resources Dev. Officer
M. S. Rao	UNDP/OP	SDD Advisor
Peter Bita Ondieki	OOP	Deputy Director Of Programmes
Kimalu Paul	OVP&MPND	DDO Mwingi
Mrs. Masaki Sarah	MOLG	Economist
F. M. Ongaki	OOP	DFRD/SDD Programme Officer
S. K. Maina	OOP	Principal Programme Officer/DF
D. D. Dadacha	OOP	DFRD/SDD Programme Officer
F. N. Chabari	GTZ-MDP	Team Leader
Larry Ngutter	GOK/EEC CDDTF	Appraisal Officer
Joyce Mulinge	OOP	Programme Officer. Eastern Province
Austin Odicoh	OOP	Programme Officer\Nyanza North
Ibrahim A. Maalim	OOP	Programme Officer/NEP
Jacinta W. Ngari	OOP	Programme Officer Nbi
Charles O. Bosire	KIA	Trainer
Ezekiel K. Cheptumo	MYWO	Programme Administration Manager
J. M. Kiluli	OVP&MPND	Economist
Raphael Lemaletian	OOP	Programme Officer SDD/S.Rift

List of Participants:
Meeting held on 2.10.1997 at Mayfair Court Hotel

NAME	ORGANIZATION
Peter Croll	GTZ
Walter Salzer	GTZ/GFA
Ralf Schröder	German Embassy
Maria Fuller	USAID
Fredrick Otieno	DANIDA/Danish Embassy
Francis Chabari	GTZ-MDP
Jürgen Werner	GTZ-FMSP
Philippe Vialatte	EC Delegation
Georg Käsler	GTZ-SDDP
Carolyn Lesorogol	GTZ-SDDP
Joseph Kariuki	MOALDM-ASIP Sescretariat
Werner von der Ohe	MOALDM-ASIP/GTZ
Peter Kaufmann	GTZ-JTSP/E

<u>**TOR OF PARTICIPATORY INTEGRATED PROCESS CONSULTANCY**</u>

List of ACRONYMS:

CAC	Cluster Action Committee
CAP	Community Action Plan
DA	Development Agency
DAO	District Agriculture Officer
DC	District Commissioner
DDO	District Development Officer
DEC	District Executive Committee
DEO	District Education Officer
DFO	District Forest Officer
DFSRD	District Focus Strategy for Rural Development
DIDC	District Information and Documentation Centre
dist. CRIPS	District Committee Responsible for the Implementation of Participatory Strategies
div. CRIPS	Divisional Committee Responsible for the Implementation of Participatory Strategies
DLPO	District Livestock Programme Officer
DO	District Officer
DPU	District Planning Unit
DSDO	District Social Development Officer
DvDC	Divisional Development Committee
DWE	District Water Engineer
EAC	Elatia Action Committee
GOK	Government of Kenya
GTZ	German Agency for Technical Co-operation
KARI	Kenya Agriculture Research Institute
KSHs	Kenyan Shilling
LDC	Locational Development Committee
MLRRWD	Ministry of Land Reclamation, Regional and Water Development
MoALD&M	Ministry of Agriculture, Livestock Development and Marketing
MOH	Ministry of Health
NGO	Non Governmental Organisation
PID	Participatory Integrated Development
PRA	Participatory Rural Appraisal
PPR	Project Progress Review
RRD	Regional Rural Development
SLDC	Sub-Locational Development Committee
SSI	Semi Structured Interview
TDP	Transmara Development Programme
ZOPP	Objective-oriented Project Planning (Ziel-Orientierte Project Planung)

1   General information about TDP

1.

1.1 Objectives and outputs

The **overall goal** of the programme is that "the standard of living of people of Transmara District is sustainable improved". The **project purpose** which shall lead to this goal is that "communities increase self reliance and capability to utilise development potential". The following **outputs** shall contribute in order to reach the project purpose:

- Integrated district planning facilitated;
- Community-based organisations strengthened;
- Support to district infrastructure development facilitated;
- Sustainable natural resource management supported;
- Ability of community to manage livestock resources improved;
- Crop productivity diversified and increased;
- Community-based primary health care promoted;
- Appropriate rural technologies introduced and promoted.

The **main impacts** of the programme are expected to be the communities respective increments in self-reliance and capability to utilise the district's development potential. Subject to the macro-economic climate being favourable to small-scale producers, increments in productivity in key activities promoted by the programme will be major signs of overall success of the programme.

The community based and participatory approach was stressed during the PPR mission and will be the main focus in the next phase.
The following results have been defined:

1. Integrated District and community based land use planning is promoted
2. Community based participatory approaches to micro project cycle management and their linkage to district level support is promoted
3. Capacities of community based self - help organisations are strengthened
4. Technologies which promote self reliance of communities and individuals have been identified and tested in collaboration with primary target groups
5. Capacities of personnel who deliver demand oriented services to communities are strengthened.

1.2 Areas of intervention

The programme facilitates **integrated planning** for the Transmara District. Production of an environmentally sound integrated **land use plan**, natural resource management and area specific development plans are among the main activities supported.
The programme facilitates development of the **district's physical infrastructure** through its **lobbying** role. Road construction, water development works and establishment of community-based health and other service centres are the main areas of interest for lobbying activities.

2

The programme carries out activities which **enables communities** to improve their respective capabilities to manage **livestock resources**. The activities include: Community-based animal health care through the **contact herder** approach, promotion of an innovative **community-based disease control system**, **introduction** of improved livestock breeds and support to improvement of **marketing** for livestock and livestock products. The various measures will be expected to bring about higher rates of adoption of key improved livestock husbandry/ management practices over the years.

During the phase the programme implements activities aimed at **diversifying** and **increasing crop production** in the district.

Community-based health care through the "**Bamako Initiative**" promoted. In addition, nutrition, hygiene, water and sanitation education is facilitated.

In order to expedite adoption of promoted development activities and intervention measures, the programme endeavours to introduce and promote **appropriate rural technologies**, especially in the fields of **transport**, **energy** conservation, **water** harvesting, **land preparation** and on-farm **food storage**.

1.3 Target group

The primary target group of the programme will be the members of the various resident **communities** who will be assisted to form organisations which will spearhead development activities in fields of interest to the programme.

A second target group members of the **Government** and **NGOs** the **Private Sector** extension wings operating in areas of interest to the programme who are promoted as intermediate target groups.

1.4 Organisational framework of the Transmara Development Programme (TDP)

COMPONENTS (and their respective co-ordinators)	IMPLEMENTING AGENCIES
1. LIVESTOCK DEVELOPMENT (GOK Liaison Officer + GTZ Advisor)	• Dept. of Livestock Production • Dept. of Veterinary Services • KARI • NGOs • Private Sector
2. FARMING SYSTEMS AND CROPS (GOK Liaison Officer + GTZ Advisor)	• Dept. of Agriculture • District Farming Systems team • KARI • NGOs • Private Sector
3. COMMUNITY DEVELOPMENT AND SELF-HELP PROMOTION (GOK Liaison Officer + GTZ Advisor)	• Ministry of Culture and Social Services • Ministry of Co-operative Development • Dept. of Public Health • Transmara County Council • NGOs • Private Sector
4. NATURAL RESOURCE MANAGEMENT AND LAND USE PLANNING	• Special study groups

(District Development Officer + GTZ Advisor)	• Dept. of Forestry • KWS
5. REGIONAL FRAMEWORK PLANNING AND PROJECT MANAGEMENT (GOK Co-ordinator + GTZ Teamleader)	• Ministerial Steering Committee (meeting every 6 months) • District Steering Committee (meeting every 2 months) • Component + Project Meetings (according to requirements) • DDC • DDO • MoPW • MoW • Dept. of Lands Adj.

1.5. Summary of activities

In order to fulfil its task as a facilitating agency the following activities have been executed by TDP up to now:
- Divisional and district leaders have been trained on PID/PRA an approach to community based development (CBD):
- District and Divisional Technical officers training on PID/ PRA and CBD

Structures supporting PID/PRA process
- TDP Steering Committee Meetings (National and District)
- District and Divisional Committees Responsible for implementation of participatory strategies (CRIPS)
- Cluster Action Committees (CACs)
- Elatia Action Committees (EACs) (neighbourhood level)
- Problem Committees at Elatia level (e.g. water, school, termites, wildlife)
- NB - CRIPS, CACs, EACs, problems committees have evolved with the PID/PRA process
- Trophies Award Committee

1.6. Challenges for the future

On the experiences gathered so far with PID Process, the following main challenges have been crystallised by the PPR team:

- Partners lack the capacity to assist the community.
- The community lacks skills to manage their own affairs.
- The participatory approach is not fully accepted by all partners.
- PRA was applied dogmatically.
- Intersectoral integration is not fully accepted.
- Integration of all actors, relationships within and between agencies and communities, including link with district planning system has not been achieved.
- Local politics interfere in the development.
- Cultural barriers to full participation e.g. in pastoral communities developing gender sensitivity and enabling women to have a voice.
- Land tenure and natural resources management issues.

- Problem of transfers of people trained.
- Strategy to optimise speed at which participatory approaches are practised throughout the district given the time it takes to train facilitators.
- How to monitor and evaluate progress and to access participatory process.

1.7. Participatory Development Approach's Journey In Transmara

Year	Activity	Target Group
1993	Community development awareness creation workshop	Communities, technical officers and group representatives.
1993	Farmer - Research – Extension Link approach	Farmers, extensionists, Researchers
1994	Participatory development approaches to community based development. Mobilising through one week training.	Technical officers
1994	Participatory development approaches to community based development. Mobilising through one week training.	Leaders in Transmara (councillors, chiefs, DOs)
1995	Training of Trainers (TOT). Training on facilitation skills ("Delta Skills") in Kilgoris.	Transmara Training Team Technical Officers (District and some divisional staff). Trained persons are forming the district CRIPS.
1995	Training on PRA skills in Lolgorien.	Government and NGO officers mainly from divisional level.
1995	Simultaneously: Applying PRA in seven Elatias of one Cluster (Olopikidongoe).	Same people as above and people from the Elatias: Kilae, Olorok Soito, Olkireruki, Olosheti, Raitiani, Oloolmongi, Enkitirata.
1995	Coming up with seven Community Action Plans (CAPs)	The seven Elatias as above.
1995	Forming the Transmara Training Team (TTT). Training in PID/PRA (Participatory Integrated Development/Participatory Rural Appraisal)	Transmara Training Team (TTT) on District level (TOT and PRA trained) and on divisional level (PRA trained). These teams are the CRIPS.
1995	Sensitisation Workshop on PIDA/PRA Approaches for	Transmara Leaders
1995	PRA catchment analysis by the Dept. of Soil and Water Conservation.	Shartuka/Kapune Cluster area.
1996	Applying PRA in two Elatias of one Cluster (Sitoka). Forming a new divisional CRIPS.	Government and NGO officers mainly from divisional level and people from the Elatias: Sitoka and Sekenke.

1996	Position paper about the actual status of a concept for participatory and integrated development (PID)	TDP staff
1996	Strategies for community based participatory approaches in the Kenyan set – up	GTZ projects
1996	Going step by step concept paper (PID guidelines)	TDP staff
1997	PRA workshop in two cluster areas	Nkarraro and Shankoe community
1997	Implementation of CAPs in the cluster	CSC – Meguarra VIP, spring protection Sitoka Planning process – water, Shankoe, and Olopikidong'oe clusters

2.0. Objectives of the consultancy.

The recommendations from the PPR team clearly stress the focus on community participation. The following main points should be achieved in the next phase:

- Strong community approach
- Provision of demand oriented services
- The divisional and locational teams should be strengthened.
- On district level more planning, monitoring and evaluation function and less in implementation
- Community mobilisers should lay the ground for effective community participation and support from various agencies.
- In the next phase the whole of Trans Mara should be reached and communities should be able to apply for support within the new structure.
- Community development funds and a divisional community service fund should be made available for immediate and quick response to mobilized communities.
- The participatory approach should be made clear to all partners and the tools should be agreed upon.
- Accumulation of capacity at the community level

The task of the consultant will therefore be to come up with recommendations and suggestions on the following points:

1. How to put community facilitation guidelines in place.
2. Linking the guidelines to the new implementation arrangements.
3. Institutionalize the new approach for PID and community mobilization.
4. Review PRA approach and other potential participatory tools to be adopted by the Transmara Training Team (TTT)
5. Streamlining the present PID/PRA approaches and adapting the tool to local requirements for Phase II (time factor).

6. Come up with a concept for capacity building of existing staff and community members.
7. Define criteria for selecting trainable mobilisers.
8. Identify development approaches that are in use in Transmara and harmonize them.
9. Options for a community development fund at the district / division / locational level and how to operationalize it.

3.0.   Consultant Requirements:

Based on the objectives and the method required the consultant should therefore
- Have skills in community development activities.
- Be familiar with PRA techniques and Participatory Integrated Development PID approach,
- Have excellent moderation and communication skills,
- Have experience with government structures and organizations,
- Be familiar with the District Focus for Rural Development and it's implications,
- Have knowledge on Maasai culture,
- Know the concept of regional rural development programs,
- Know the current policies in the relevant ministries well

A person with experiences in community based development and who is familiar with the problems of such a program is required.

4. Time Frame

Too short

The consultancy should last for fourteen working days in **September or October.**

5. Documentation

The recommendations and strategy should be well documented in form of a short report.
The report should be produced in form of a diskette and a hard copy.
The above mentioned concept papers and the PPR report shall form the basis information for the consultancy's work.

FOR   MR JUNGJOHANN.
FROM   OLE MAKI.

TOR OF PARTICIPATORY INTEGRATED PROCESS CONSULTANCY.
(Reviewed tasks of the consultant original document page six)

TASK OF THE CONSULTANT

1. To prepare facilitation guidelines for participatory integrated development (PID) approach with strong community involvement and what role all actors will play (CD/SH actors, Technical service providers, Community).
2. How to institutionalize the guidelines at the grassroots, division and district level and linked to the to the new implementation arrangements.
3. Streamline the PID approach to suit local requirements taking into account culture and local institutions that will support the process.
4. Identify development approaches that exist in Transmara and harmonize them.
5. Review PRA tool, application and other potential participatory tools to be adopted by the Transmara Training Team.
6. To come up with a concept for capacity building of existing staff and community Animators.
7. To define criteria for selecting trainable community mobilizers, animators and options for the Programme to building a mobilization team on an interim phase.
8. To look into options for a community development fund at the Division and Location Level and how to operationalize it.

INSTITUTIONALIZATION OF PARTICIPATORY DEVELOPMENT APPROACHES THROUGH DISTRICT FOCUS FOR RURAL DEVELOPMENT.

Participatory development concept promotes a process in which communities take greater influence /ownership over their future.

Institutionalization is an integral component of attitude and behavior in the methods and organizational process of participatory development..

NATIONAL LEVEL.

At the National level this process is supported by ,

- Bilateral agreement in Memorandum of understanding (Between Kenyan and German governments).
- National Project steering committee

DISTRICT LEVEL

DISTRICT FOCUS FOR RURAL DEVELOPMENT.

The District Focus for Rural Development strategy makes the district the center of development.

This strategy is based on a complementary relationship between ministries with their sectoral approach to development and their integrated approach to addressing local needs.

STRATEGY

- Bottom-up approach where the District has autonomy in setting own priorities .
- Local people are involved in decision making, planning and implementation of projects.
- District focus for Rural Development is a catalyst for harnessing and mobilizing resources for maximum utilization for development of the rural areas where 80% of Kenya's population lives and 70% are employed.
- The District Focus for Rural Development will be used to direct the available resources to the most productive sectors while ensuring equitable distribution.
- The District Development Committee will play a greater role in identifying district resource bases, economic potential, the infrastructure and other conditions required for realizing these potentials.

OBJECTIVES OF THE STRATEGY.

- Broaden the base of rural development by moving most decisions on the planning and management of district specific projects closer to the point of implementation and the people who will be affected by the decisions.
- Encourage local participation in order to improve problem identification, resource mobilization and utilization, project design and implementation.
- Accelerate development in the district where a majority of the people live.
- Promote greater equity in the allocation of resources to bring balanced development.
- Reduce delays in decision making to speed up project implementation.
- Promote **sharing of costs** for development between local people, government and donor agencies.
- Enhance utilization of local resources.

Ref. District Focus for Rural Development, Pages 1,2,3.

SOCIAL DIMENSIONS OF DEVELOPMENT PROGRAMME.

STRATEGY

- Sensitization, training and organization of grassroots communities for the identification and targeting of deserving cases.
- Involvement of the various stake holders through various committees and implementation modalities.
- Identification of needs/projects is the responsibility of sub-location/village committees in collaboration with the relevant technical officers under the direction of District (Divisional) Officers and the District SDD Coordinators.
- Productive employment will be achieved through accessing the poor to economic resources like land, capital, credit, information and supporting infrastructure.
- The vulnerable groups will need to be well informed that the funding or technical assistance provided by GoK and cooperating agencies such as bilateral and multilateral donors, the private sector, churches and NGO's is only to assist the people and their communities to be self-sustaining and to take charge of their own destiny.
- The communities will be encouraged to form associations or groups which will be the vehicles for targeting and mobilizing community synergy.

Ref. SDD Programs, Pages 6,8,9.

TRANSMARA DEVELOPMENT PROGRAMME **PID** APPROACH

GOAL
- Overall goal of the program is the standard of living of people of Transmara District is sustainably improved.

PURPOSE
- The purpose is that communities increase self reliance and capability to utilize development potential.

OUTPUTS.
- ◆ Integrated district planning facilitated.
- ◆ Community based organizations strengthened.
- ◆ Support to district infrastructure development facilitated.
- ◆ Sustainable natural resource management supported.
- ◆ Ability of community to manage livestock resources improved.
- ◆ Crop diversification and improvement.
- ◆ Community based primary health care promoted.
- ◆ Appropriate rural technologies introduced and promoted.

The program main impact is expected to be communities increase self-reliance and capability to utilize the District's development potential.

PID APPROACH

PID approach shifts focus from things to lives of the people. It attempts to change the attitudes in preparing concepts, objectives and strategies geared to community based development.

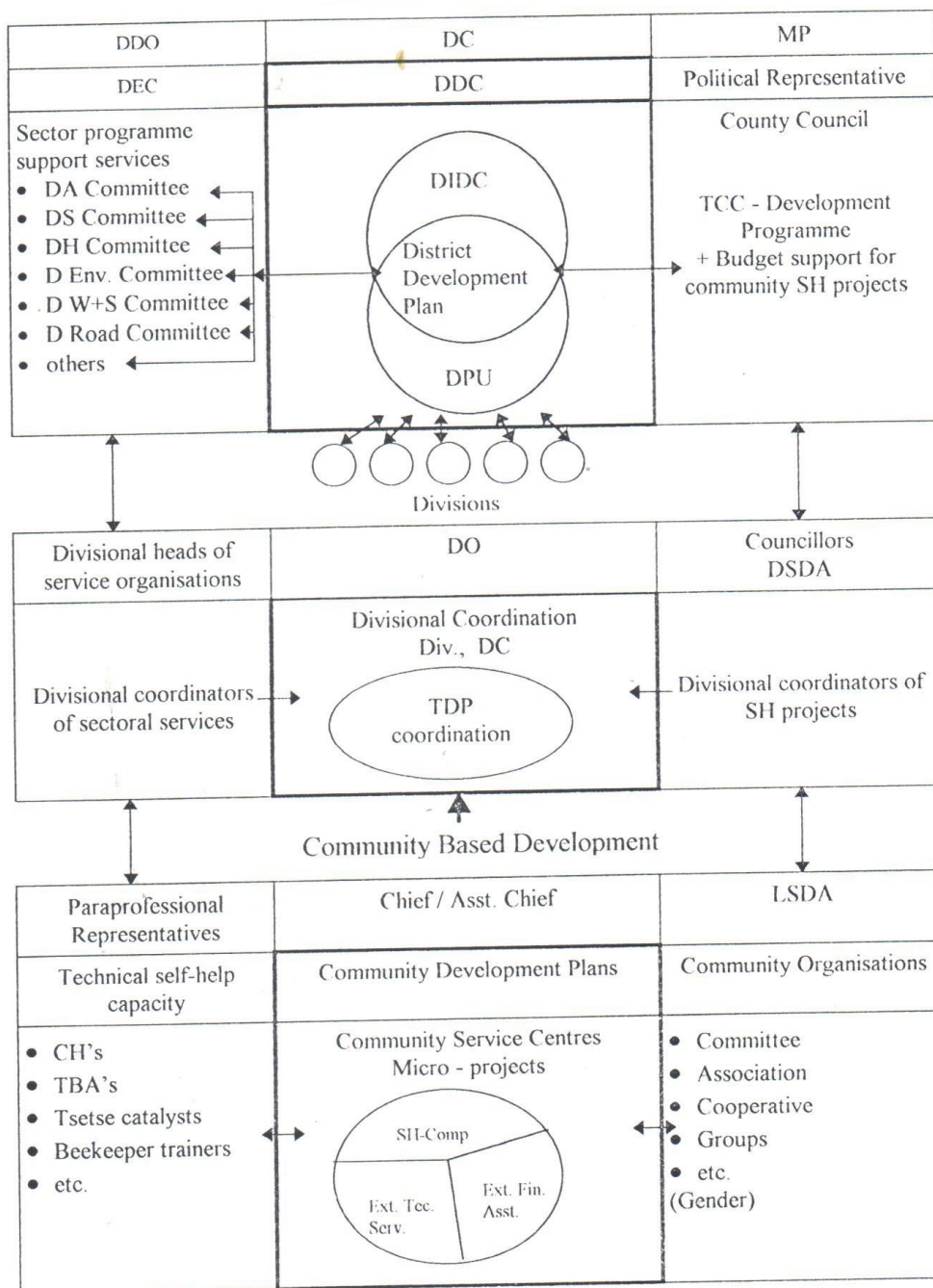The program understanding of Participatory Integrated Development.
- ◆ **Participation** is the active involvement of community members in situation analysis and in all decisions related development objectives and activities which will encourage their self determination for sustainability.
- ◆ **Integration** is a development approach which assumes that problems in Transmara are as a result of multi-sectoral and interdependent factors therefore a holistic approach is required in dealing with them.
- ◆ **Development** is a change for the better. It is a process of improving the lives of the people especially of those whose basic elementary needs are not fulfilled. The people know:
  - ◆ Which improvement they need.
  - ◆ which potential they have.,
  - ◆ They can set their priorities define what development means to them.

Community self-organization builds up strong units on community level which initiates, coordinates development activities and formulates demand for services.
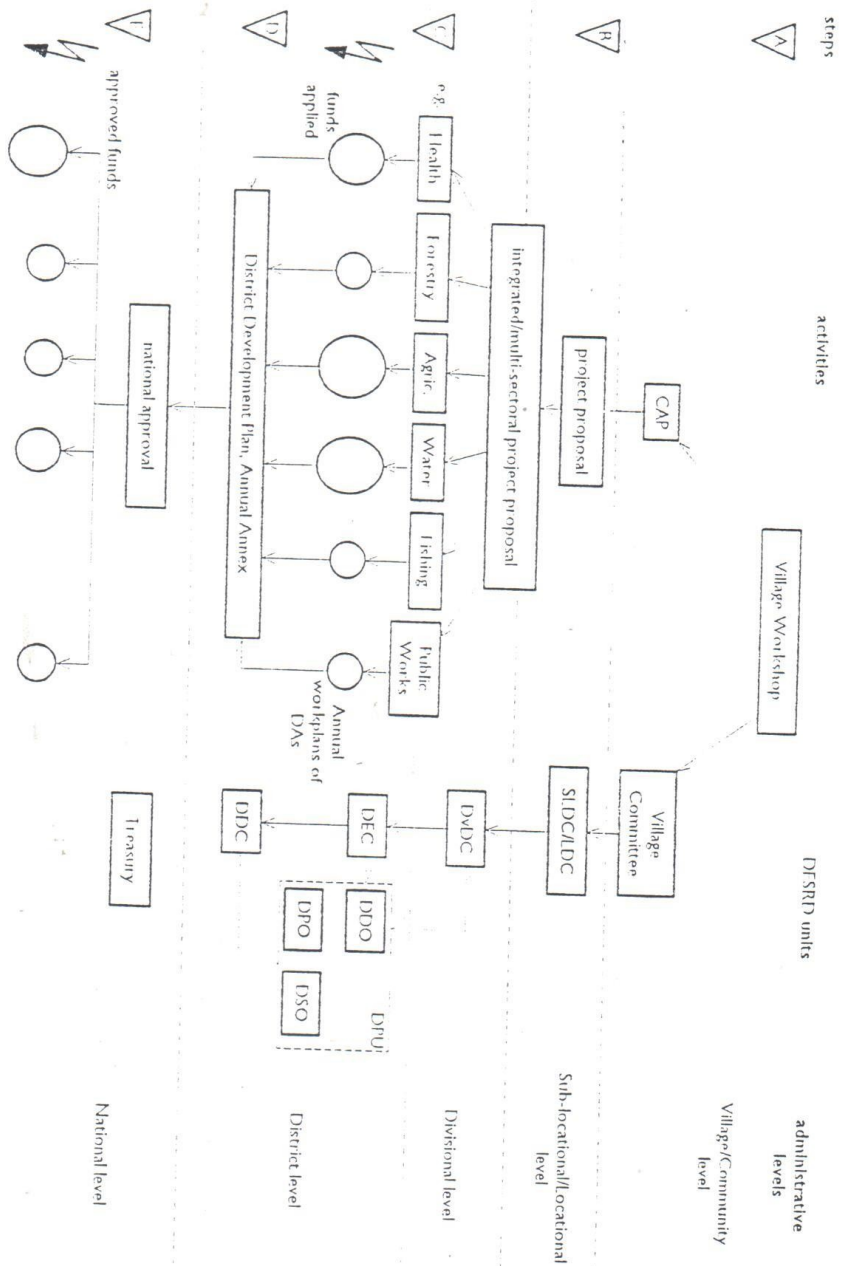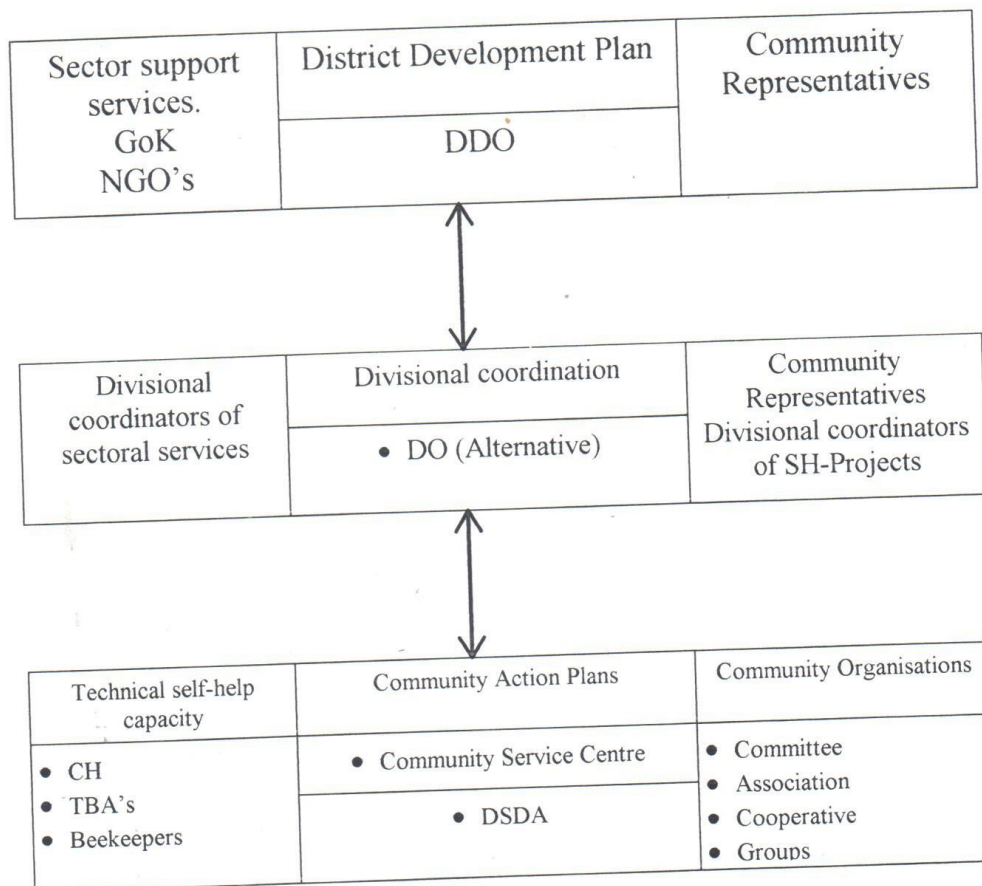
Ref. Concept for PID document.

MULTI-LEVEL INTEGRATED PLANNING SYSTEM SUPPORTING THE DFRD
INTEGRATED DISTRICT DEVELOPMENT

DDO	DC	MP
DEC	DDC	Political Representative
Sector programme support services • DA Committee • DS Committee • DH Committee • D Env. Committee • D W+S Committee • D Road Committee • others	DIDC District Development Plan DPU	County Council TCC - Development Programme + Budget support for community SH projects

Divisions

Divisional heads of service organisations	DO	Councillors DSDA
Divisional coordinators of sectoral services	Divisional Coordination Div., DC TDP coordination	Divisional coordinators of SH projects

Community Based Development

Paraprofessional Representatives	Chief / Asst. Chief	LSDA
Technical self-help capacity	Community Development Plans	Community Organisations
• CH's • TBA's • Tsetse catalysts • Beekeeper trainers • etc.	Community Service Centres Micro - projects SH-Comp Ext. Tec. Serv. Ext. Fin. Asst.	• Committee • Association • Cooperative • Groups • etc. (Gender)

Steps and activities of the units involved in PIDA under the institutional framework of Laikipia District

steps	activities	DISRD units	administrative levels

A

R

C

D

V

T

Health

Forestry

Agric.

Water

Fishing

Public Works

e.g.

funds applied

approved funds

integrated/multi-sectoral project proposal

project proposal

CAP

Village Workshop

District Development Plan, Annual Annex

national approval

Annual workplans of DAs

Village Committee

SLDC/LDC

DvDC

DEC

DDC

DDO

DPO

DSO

DFUJ

Treasury

Village/Community level

Sub-Locational/Locational level

Divisional level

District level

National level

PROPOSALS FOR INSTITUTIONALISATION OF PID PROCESS AND INTEGRATION OF COMMUNITY ACTION PLANS TO DISTRICT DEVELOPMENT COMMITTEES .

Sector support services. GoK NGO's	District Development Plan	Community Representatives
	DDO	

↕

Divisional coordinators of sectoral services	Divisional coordination	Community Representatives Divisional coordinators of SH-Projects
	• DO (Alternative)	

↕

Technical self-help capacity	Community Action Plans	Community Organisations
• CH • TBA's • Beekeepers	• Community Service Centre • DSDA	• Committee • Association • Cooperative • Groups

Structures which facilitate institutionalization and support participatory development at the district level.

1. District development committee.
Revival and strengthening of DDC system (district, division, location sub-location)

ROLE

- The Committee plays a greater role in identifying district resource bases, economic potential, the infrastructure and other conditions required for realizing these development potentials.
- Broaden the base of rural development by moving most decisions on the planning and management of district specific projects closer to the point of implementation and the people who will be affected by the decisions.
- Encourage local participation in order to improve problem identification, resource mobilization and utilization, project design and implementation.
- Accelerate development in the district where a majority of the people live.
- Promote greater equity in the allocation of resources to bring balanced development.
- Reduce delays in decision making to speed up project implementation.
- Promote **sharing of costs** for development between local people, government and donor agencies.
- Enhance utilization of local resources.

2. District executive committee.

3. District inter-Sectoral Committee (technical project committee)
ROLE OF THE DISTRICT TEAM.

- Planning and projects approval.
- Monitoring
- Evaluation
- Backstopping
- Strengthen district Participatory training teams(TTT).
- supporting learning groups in this process to build experiences on critical Factors enhancing participatory development. *(No quick results expected too soon since it is process oriented and participatory. Constant follow-ups are required.)*

ACTORS Heads of Department, Liaison officers, CMS, Advisors

DIVISION LEVEL.

DIVISIONAL DDC.
(Revival and strengthening Divisional and locational structures that will facilitate Participatory Development and institutionalization of the process.)

DIVISIONAL DISC.
(To adopt ILKERIN-LOITA Approach of including KEY Traditional leaders in the divisional development committee.)

ROLE
- Preparation and approval of work plans (Center for planning community projects.)
- Coordination of workplans, linking the division to district for support.

Community Projects supported by Divisional Community Service FUND Extension system responding to community needs.(Integration achieved .)

Actors Extension officers, CMS,s,Advisors.

STRUCTURE OF THE DIVISIONAL D D C.

TRADITIONAL LEADERS.	FORMAL LEADERS
• Olaiguenani—**Chief**	• **Chief**
• Oloibungaki orinka—**Assistant chief**	• **Assistant chief**
• Olotuno	• **councillor**
• Oloboru Enkeene	• **Departmental officers**
• Opinion Leaders	• **County council officers**
	• **ETC**

COMMUNITY (VILLAGE ,ELATIA, SUB- LOCATION)
Consider traditional structures which will facilitate and support participatory development and institutionalization of the approaches at the community level.

ROLE
- Community mobilizers and extension officers assist communities in project design and organization for implementation. .
- Projects implementation.
- Formation and training of project committees.
- Identification and training of internal animators to support projects.

(Community projects are either externally supported or financed by the community.)

STRUCTURE AT THE LOCATIONAL LEVEL.

TRADITIONAL LEADERS.	FORMAL LEADERS
• Olaiguenani—**Chief** • Oloibungaki orinka—**Assistance chief** • Olotuno • Oloboru Enkeene • Opinion Leaders	• **Chief** • **Assistant chief** • **councillor** • **Head teachers** • **Front line staff**

ACTORS Community mobilizers, Extension officers, community Reps.

RESULTS *STRONG COMMUNITY, SERVICES AVAILABLE , FUNDS AVAILABLE.*

FOR MR JUNGJOHANN.
FROM OLE MAKI.

TOR OF PARTICIPATORY INTEGRATED PROCESS CONSULTANCY.
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Transmara Development Programme / Kenya

Interim Project Phase Review
REPORT
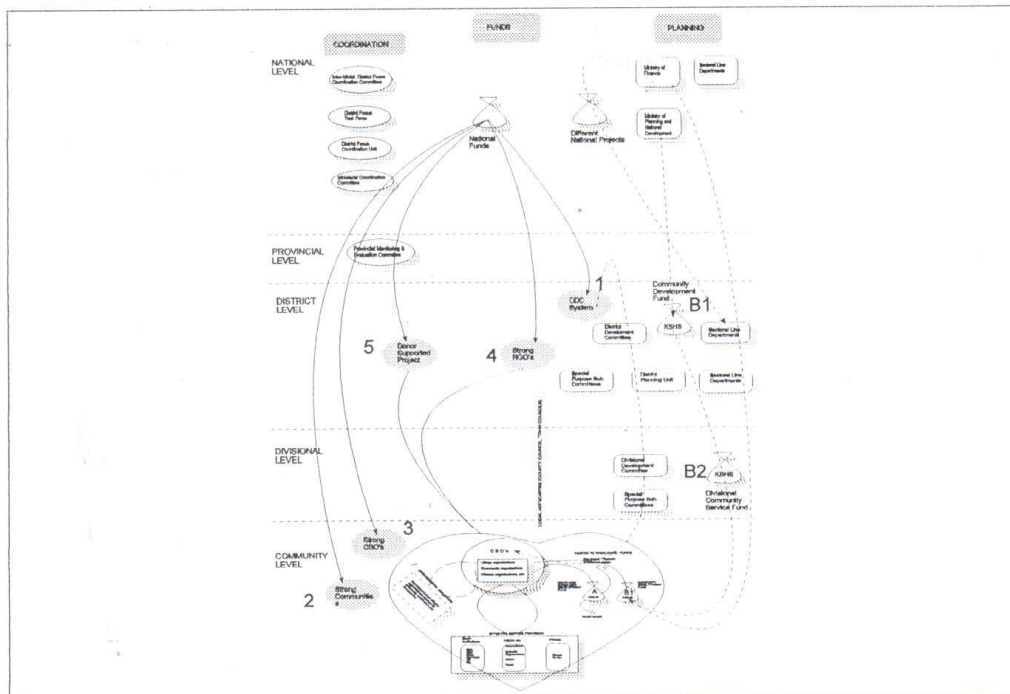
Appraisers:
Dr. N. Schall, Usingen
Mr. J. Tendwa, Nairobi

1.   INTRODUCTION AND OBJECTIVES

A project progress review, which was carried out in June 1997, concluded that phase II of the Transmara Development Programme (TDP) could **not** be recommended due to a number of important constraints which had been assessed by the Review Team (PPR). After carefully assessing the possible causes and effects of the constraints encountered during implementation of phase I, agreement was reached that a six month interim phase was needed. Both the reasons for the constraints and the need for an interim phase were presented and discussed during the workshop which was conducted in Kericho in July 1997. Complete agreement was reached by the participants at the workshop that an interim phase was required and an action plan was developed for the six month phase. The results of the PPR mission and the interim phase plan are encompassed in the Project Progress Review Report: Volumes 1 & 2 (Schall, Aboum, Tendwa, Kruger, August 1997).

Two consultants were requested to carry out the "mini-PPR" from 24.11 - 29.11.1997 on behalf of the Government of the Republic of Kenya and the Government of the Federal Republic of Germany. The team was composed of:

- Dr. Nikolaus Schall, consultant and mission leader, Usingen, Germany
- Mr. James Tendwa, Assistant Director, Dept. of Livestock Production, MOALDM

In the reports from August 1997, the following main elements were mentioned which were to be assessed during the "mini-PPR":

"Even though the programme has been able to make good progress in the various areas listed above, a modification to the approach is being recommended by the PPR team as well as the fulfilment of specific pre-requisites prior to the commencement of the second phase of the programme.

In view of the fact that many of the interviewed partners were not entirely satisfied with many of the procedures involved in the programme implementation and the fact that a number of approaches have also not been harmonized, the PPR team recommends that all of these issues are dealt with before the next phase of the programme commences. In fact, the PPR team recommends that unless and until all issues are resolved to the satisfaction of all concerned partners, the next phase of the programme should **NOT** commence. The process of fulfilling the pre-requisites should be *facilitated by an independent and mutually acceptable person* in order to ensure that the necessary trust and confidence between all partners can be restored. The PPR team envisages that this process will take some 3-4 months and would involve the use of many common facilitation techniques which, in a "cascading" or "pyramid" form, would eventually lead to written agreements being reached between all concerned partners. Thus the dual objectives of the exercise would be *confidence and trust building* and *written and binding agreements*. The following are the main pre-requisites that have to be fulfilled in the next 3-4 months:

- revoking the current restriction imposed on TDP to carry out community mobilization and community based activities;
- changes to the TDP organisational structure at the national and district levels (particularly to de-link local politics from technical issues);
- appointment of a National Project Coordinator to ensure inter-sectoral and inter-ministerial coordination and project support at the national level;
- transparent allocation of TDP resources (both GoK and GTZ), clarification of roles and responsibilities at the district level;
- development of a transparent mechanism to address and harmonize land disputes currently hindering TDP community based activities;
- harmonization of concepts and strategies guiding TDP activities (in particular community mobilization and community based development);
- establish an improved information and communication system which ensures that all partners are regularly informed and which allows sufficient transparency;
- clarification of exact roles and responsibilities at all levels starting from the national ministerial level, down to the field staff level and agreement reached on the exact programme staff profiles needed for meeting the challenges;
- develop, agree upon and implement procedure for managing conflicts and contradictions that naturally arise out of the joint implementation the programme activities;
- community development approach has to be fully developed, harmonized and agreed upon by all concerned partners;
- streamline operations to avoid parallel process and structures. Integrate activities into the existing structures whereby the divisional level should form the focal point for implementation and where the community stands at the centre of all activities;
- gaining special permission to undertake pilot measures with respect to forming different community organisations such as "NRM associations".

A plan has been developed during the Kericho workshop specifically to deal with the above mentioned pre-requisites. This plan was agreed upon by all participants and includes objectively verifiable indicators which have been designed to determine how successful completion of the pre-requisites will be determined in November 1997." (Schall, *et al*. August 1997, p.33-34)

"Presently, most of the risks and assumptions which can be formulated concern the next few months during which a number of important factors will have to be resolved prior to the next phase being planned. During this four month period it would also be important that the conceptual approach briefly outlined above is further elaborated upon so that the necessary information exists when the planning workshop for phase II of TDP takes place. Experience with the past phase has indicated that a great deal of "lip-service" is paid to many of the community based approaches. Thus one critical factor which will require constant monitoring is how far the service providers (including the sectoral line departments) and the district administration are willing to effect a true "bottom-up" approach. Further critical factors, risks and assumptions will have to be defined during the planning workshop, based on the experiences made in the forthcoming four month period during which many of the pre-requisites are being dealt with.

Given the general willingness of all partners to resolve the outstanding issues in the next few months the chances are very real that a good solid plan can be developed for phase II of the project. However, the PPR team would still like to point out that the indicators, which have been established in Kericho for the period up to November 1997, need to be achieved in order to ensure that phase II of the project can be planned and can thus commence in mid 1998." (Schall, *et al*. August 1997, p.50-51).

The objectives of this mission are as follows:

- assess the progress made during the interim project phase by checking the indicators formulated at the Kericho workshop;
- carry out interviews with key TDP partners to determine the depth of changes made during the interim phase;
- determine whether sufficient progress has been made in order to be able to justify the extension of the project for a second phase;
- examine whether there are any outstanding issues which still need to be tackled to ensure the effective implementation of TDP phase II;
- discuss with the TDP conceptual issues pertinent for phase II of TDP;
- examine areas which require particular attention during the planning workshop to be conducted during the second week of the mission;
- advise TDP, where required, as to how the proposed conceptual approach outlined in the PPR report can be operationalized during phase II of the programme;
- present the results of the assessment during the planning workshop;
- participate in the planning workshop as a resource person and advise the workshop participants on the issues such as impact monitoring, TDP contributions towards improving the DFRD, community based service provision, establishment of the Divisional Service Fund (DSF) and Community Development Fund (CDF), and the issue of gender and poverty orientation of the TDP activities.

Individual and group interviews coupled to selected field assessments were the main instruments used to carry out the review. Of importance during the assessment was not only to gauge changes in attitude and approach but more particularly how far reaching these are.

2. ASSESSMENT OF ACHIEVEMENT OF INTERIM PHASE JUNE - NOVEMBER 1997

A detailed plan of activities had been developed by the workshop participants at the Kericho workshop in July 1997 and this has been used as the basis for the review. Supporting papers and documents were given to the review team at the start of their November mission. These papers included copies of minutes of meetings (particularly of the District Intersectoral Steering Committee - DISC), copies of agreements which were reached, supporting documents and a

short report on the status as perceived by the TDP and its partners on the 20.11.1997. Since these documents are quite voluminous they have not been appended to this short report.

Table 1 depicts the results of the assessment carried out by the two consultants and it is based on the interviews that were conducted and the supporting documents described above.

3. ENDORSEMENT FOR A PHASE II AND JUSTIFICATION

The consultants have concluded on the basis of the interviews conducted in Transmara and on the basis of the documents provided that a phase II of TDP **can be recommended**.

Changes which have been observed seem to be far reaching, a markedly improved climate of trust and partnership has been developed, organisational forms for increasing transparency have been operationalized and a generally improved spirit of cooperation can be detected. The whole aspect of "ownership" also seems to have been given a boost, with those interviewed indicating that joint planning exercises and meetings to resolve differences in policy and approaches have all helped in this process. Further proof of this new spirit of cooperation will hopefully be seen during the workshop when a jointly agreed upon plan based on the conceptual approach elaborated upon in the August PPR report has to be developed and agreed upon by all the concerned partners.

Phase II of TDP is seen by the consultants as being of considerable importance in order to assist the district in its efforts at greater socio-economic development, whereby the emphasis will be on enhancing community mobilization and the necessary decentralization of activities and functions from the district to the divisional and community levels. In addition, improved planning at all of these levels would prove to be an important ingredient in tapping local and national resources as well as the nationally based development funds such as the European Union Community Development Trust Fund, the Anti Poverty Trust Fund, the Youth Fund and so on. Presently, TDP is the largest single development programme in the district. By introducing new innovative methods and techniques for effectively tapping the resource base of the district while at the same time ensuring that all sections of the Transmara community develop in an equitable manner through greater community involvement and by initiating a process and a climate of change amongst the service providers away from the concept of "providing development" towards "demand driven service provision" a more sustainable development approach should result. The innovative character of the project and its ability to contribute towards a broad based development approach in the district further justify the need for a phase II of the Transmara Development Programme.

Table 1: Assessment of targets and achievements of the TDP interim phase July - November 1997

Nr.	Result Activity	Indicator	Status	Outstanding issues
1.	Conflict management mechanisms in place	Agreed and written process on how to manage conflicts is in place and process of containing conflicts is initiated (e.g. dialogue)	Initially the idea was of such a person was welcomed, TDP contacted GTZ-HQ for advise and assistance in getting a team to address the issue. In the second DISC meeting agreement was reached that the constraints could be resolved internally and that a conflict manager was not needed at present	The whole issue of conflict and conflict resolution mechanism still needs to be addressed, especially wit respect to future potential conflicts at the community and service provision levels. Being able to understanc what conflict resolution mechanisms exist and having a system which addresses conflicts at all possible levels would provide a better basis for future project implementation.
1.1	Workshop members explain to their colleagues the role of the conflict manager and signal process can start			
1.2	Invite and work with an external conflict manager			
1.3	Analyze conflicts i.e. roles, policies and approaches		This process was done internally by the newly formed DISC, areas of discontent were identified and solutions developed.	
1.3.1	Discuss with all groups (individually) where contradiction, discontent exists			
1.3.2	Assess how all partners could be involved (areas of common understanding)		The newly formed DISC has proved to be a good instrument for encouraging greater transparency and consensus building necessary for joint management of the programme	While the DISC has proved to be useful instrument in the past 6 months, the real test will come during the implementation of phase II. The current spirit of transparency and oneness has to continue throughou phase II
1.3.3	Gain agreements amongst all partners how to proceed		A number of agreements have been reached and signed on the most pertinent issues, some such as Tse Tse are still outstanding, however they are beyond the district's ability to resolve them	The agreements now need to be backed by resource commitments by all partners as well as a effective internal system for monitoring the performance of all concerned partners

Nr.	Result Activity	Indicator	Status	Outstanding issues
1.3.4	Analyze conflicts (i.e. roles, policies and approaches)			
1.3.5	Develop ways how all can be informed and inform each other		DISC seems to provide a good forum for information dissemination at the district level	
1.4	Evaluate existing conflict management systems			A good conflict management system still needs to be thought through and possibly developed.
1.5	Compile common conflicts the TDP faces			This needs to be further developed
1.6	Design and agree upon a mechanism for conflict management			This has been completed at the district level but still requires to be developed at divisional and later community level
1.7	Review the achievement and make necessary adjustments to the strategy			
1.8	Organize fora for conflict resolution with relevant agencies			
2.	Mechanism to address and harmonize land disputes limiting TDP activities established	A forum is established and given mandate by the DDC	An Natural Resource Managemen sub-committee (forum) has been formed as part of the DISC which is to address land issues affecting TDP. The committee has met once so far.	
2.1	Identify issues needing clarification		A broad process for dealing with possible land conflicts has been agreed upon. TDP has been mandated to work in those areas where "serious land disputes" are not an issue	TDP will require the full backing of both the National level and GTZ-HQ in cases where land issues threate to disrupt the work of the programme. Land issues wil continue to dominate developmental work in the district and TDP will not be able to avoid addressing the issues once in a while.
2.2	Prepare draft zonation of forest/wildlife areas as a basis for finalizing a land use plan for Transmara		Work has continued on the land use plan	

Nr.	Result Activity	Indicator	Status	Outstanding issues
2.3	Convene a joint forum to discuss the issues identified		Joint forum (incl. physical planner, DDO, land adjudication officer, forester, TDP, etc) has met once to discuss land conflict and land use issues	
3.	Concepts and strategies guiding TDP activities to be clarified and agreed upon	Existing concepts and strategies are discussed and agreed upon by DISC	Differences in concepts and strategies at district level have been reviewed and discussed by departmental representatives and advisors and consensus arrived at.	Alternative approaches in the design of national level programmes operating in the district should be addressed. A standard approach by all development actors operating in the district is necessary.
3.1	Review existing concepts and strategies			
3.2	Initiate fora for discussing and harmonizing differing concepts and strategies (actors: DAO, DFO, SIDA, NEP, DVO, DSDO, etc)			
4.	Guidelines for mobilizing participation of the communities in TDP activities developed and agreed upon	Agreed upon guidelines exist. Tentative list of trainable mobilizers exists	Tentative guidelines for community mobilization have been elaborated upon but trainable persons have not yet been identified since TCC is in the process of recruiting further CDAs	While tentative guidelines have been developed it is recommended that these are further elaborated upon by the consultants due to arrive in December in the project. The reasons for and the process of mobilization need to be further assessed and appropriate detailed guidelines developed. Team of two Kenyan consultants need to look into the whole matter carefully.
4.1	Identify structure to carry out mobilization of communities		It is probably to early to carry out these activities until decisions are made on the required mobilizers and the process for training them in future.	
4.2	Identify mobilization strategies to carry out mobilization			

Nr.	Result Activity	Indicator	Status	Outstanding issues
4.3	Identify trainable people from existing grassroots level personnel from TCC and MCSS and appropriately and adequately train them for effective community mobilization		This has not been completed since TCC is still in the process of recruiting more CDAs. In addition the TCC ha been gripped by the current political election process which will be completed by the end of the year	It would be good if TDP could be involved in the selection process for the CDAs since these will then form the nucleus of mobilizers providing training and services to the communities. The critique voiced by the project appraisers in June need to be considered by TCC so that effective CBA can be recruited who can fulfill the requirements established in the newly defined approach. DISC could advise TCC accordingly. It would be very important to get TCC "or board" the whole TDP approach and operations!
5.	Organisational structure of TDP specifying structure and functions of NSC, DISC, Sub-DDC outlined	Outline of all structures exists and are agreed upon	Outline of the DISC structure exists and has been agreed upon at all levels. DISC is in place and fully operational	Structures at the lower level of the district are not yet in place on the other hand the DFRD structures at all levels are still weak.
5.1	Get written authority from PS to initiate the structure		A written authority from the PS MoALD&M on the new structure has been received in the district.	
5.2	Establish roles and functions of all committees (link TDP structures into DFRD)			
5.3	Dissolve DSC			
5.4	Create DISC(appoint the chairman)		Written instructions by Dept. Livestock Production to the DLPO to initiate and implement new approaches has also been issued	
5.5	Temporary DISC defines draft guidelines to be approved by NSC			
5.6	Create NSC comprising of all implementing ministries		The previous NSC is the one still in place.	A more comprehensive NSC is still necessary. All partner in the programme need to agree on the process for the new approaches

Nr.	Result Activity	Indicator	Status	Outstanding issues
5.7	Appoint national co-ordinator		The position of national co-ordinator has not been filled. The NSC feels that this position is not essential	An alternative arrangement to perform roles identified for the national co-ordinator by the PPRM should be agreed upon
5.8	NSC approves guidelines on operation of DISC		The NSC has approved guidelines for the operations of the DISC.	
5.9	All partners in process (Admin. TCC, Line Depts., NGO, TDP, etc) agree on new approaches for phase II		DISC has been able to "de-politicize" many developmental issues of relevance for TDP	A clear and unequivocal decision needs to be reached at the start of the workshop as to whether the concep elaborated upon in the PPR report is acceptable to all and should form the basis for planning phase II of TDP.
5.10	Public relations to be enhanced			The involvement of TCC in the whole process is still left wanting, ideas as to how they can be further encouraged to play a greater rile in the process need to be thought through during the workshop
6.	CBD approaches harmonized	A written agreement for CBD approach exists	This point is closely related to point 4 above.	
6.1	Identify key players in CBD			A list of all organisations carrying out wide scale community development in the district still needs to be compiled as well as a mapping of which communities have been mobilized according to which approach.
6.2	Assess the different approaches, identify contradictions and in a participatory way harmonize the approach			A need exists to collect all the community mobilizatior concepts which are currently being promoted in the district by the different organisations and carry out a comparison and harmonization process.
6.3	Initiate fora for revitalizing CBD approach			DISC may require to establish a further sub-committe to deal with the whole issue of community mobilization strategies.

Input from the consultants on the mobilization concep should be sought, including ideas for harmonizing approaches amongst the various institutions. |

Nr.	Result Activity	Indicator	Status	Outstanding issues
6.4	Approval of CBD approach by DISC		This has been given, whereby it largely only involves those approaches with TDP and not necessarily all other organisations operating in the district.	
6.5	Mandate of CBD approach given by DDC			
7.	Clearly identify allocation of TDP resources and inter-linkage with other programmes (NEP II, SIDA, NGO-Progr. etc)	Written agreements on workplans and commitment to implement agreed activities	The identification of roles to be performed by different development actors in the district has not been completed.	The complementary roles of the various programmes in the district should be identified and ways to co-operate agreed upon (including interlinkages with other programmes such as SIDA, NEPII, etc)
7.1	Disaggregate GoK and GTZ budget allocations to specific TDP activities and specific geographic areas (divisions, clusters)		The allocation of TDP resources from the GoK and GtZ is reflected in activity plans	The basis for empowering divisional level offices is yet to be determined (specifically with regard to the allocation and use of resources).
7.2	Define purpose and allocation procedures for proposed : Community Service Fund and Community Development Fund and attain agreements			
7.3	Establish clear reporting system			
8.	Duties and responsibilities will have been spelt out for all and accepted (district level)	Document exists in which the identified roles and linkages exist for TDP activities (district level)	The roles of all actors in the TDP have been identified. Circulation amongst DISC members and discussions on these has not yet been accomplished.	The roles identified should be analysed and discussed by all DISC members as a basis for planning.
8.1	Avail written officers duties and responsibilities in order to view linkages with TDP			
8.2	Inform the partners of roles of each other			
8.3	Review the roles periodically			

4. RECOMMENDATION

4.1 Conflict Management

A decision was reached by the DISC not to make use of a so called "conflict manager" during the interim phase. This decision was well justified and the evidence indicates that all partners were in a position to resolve most of their differences in a amicable way.

Nevertheless, conflicts will continue to occur during phase II and the whole issue of conflict management will be important. Changes *per se* are almost always a source of conflict, whether amongst the target communities, the TDP partners or even amongst and between the various groups. Observations were made during the June PPR that a mechanism needs to be in place particularly for dealing with the possible conflicts arising within the communities.

Therefore, it is recommended that TDP assesses possible areas/spheres where conflicts may arise, develops procedures and approaches for effectively dealing with them in a transparent manner. For this to happen both TDP and its partners need to acquire the necessary skills for conflict resolution and management. This could possibly be combined with team building and team management techniques and skills, which would also be of importance in view of the constraints which were incurred during phase I of the programme.

4.2 Mechanism for harmonizing land disputes affecting TDP

An Natural Resource Management forum has been established as a sub-committee of the DISC whose task it is to examine issues of land disputes which may affect the TDP activities, particularly in land use planning, forestry and eco-tourism. The conflict resolution mechanism addressed in 4.1 above would also provide an important input into the land dispute issue by providing methods and techniques which could be used to assess and mediate during land disputes which may affect TDP activities.

Even though it is clear that TDP can and should not get involved in land disputes in the district, the topic can not be entirely "wished-away". Land allocation and land tenure will persist to be a dominating topic in the district. It is one of the many causes for the current ethnic conflicts and it will continue to be an issue affecting development. TDP has to assess how far it is able and willing to assist in addressing these issues, whereby at the very least, TDP should monitor the impacts and effects of any such disputes on development in the district as well as the direct effects this has on its operations. Any future monitoring system would have to ensure that an early warning system is installed which includes a mechanism for addressing such problems at the local, district and national levels.

4.3   Existing concepts and strategies are discussed and agreed upon by DISC.

In the event that the DFRD structures are strong and effective enough to set out the guidelines applicable to all development actors, then the possibility of conflicts arising from different approaches can be substantially reduced. However under the present circumstances where these structures are weak, such friction may arise from time to time and will need interventions at the national level.

i)   It is recommended that the National Steering Committee be strengthened so as to enable it to perform the role of mediator and provide guidance where misunder-standings arise because of different approaches.

4.4   Community mobilization

Greater harmonization of the concept of community mobilization has been achieved over the past few months. The extent to which the definition presented in the DISC papers differs from the traditional view of mobilization (i.e. namely preparing the community to receive development projects) will have to be further explored during the workshop. This is particularly pertinent given the realization that it is often easier to pay "lip-service" to the term community mobilization compared to undertaking practical action in the field. During the planning workshop the implications of these changes and the scope and extent (i.e. coverage) which can be achieved during phase II of the programme have to be carefully assessed. The questions which need to be answered include:

- targeted mobilization versus general mobilization and for what purpose does one want to mobilize communities?
- how can communities be identified as a "group"?
- can all communities in the district be mobilized?
- if all communities can not be mobilized, what transparent mechanism and process can be operationalized which will ensure that eventually all communities are mobilized?
- what is the task of the sectoral line departments in any mobilization process?

There is a need to ensure that effective organisational forms are developed amongst the communities. In other words, any community that wishes to mobilize itself with the objective of improving its developmental situation should develop a strong, locally appropriate organisational form which is able to effect the mobilization of its members. The criticism raised in PPR of June 1997 centred on the fact that the community organisations were not all that strong nor effectively competent at dealing with conflicts and crises which may arise in any community.

It is therefore recommended that **organisational development** as a topic is addressed not only amongst communities which want to be mobilized but also for the DISC, the TDP organisation, sectoral line departments, Divisional Service Fund, Community Development Fund, etc. Organisational development should also be seen in relation to conflict management and team building as being an important ingredient in ensuring that the communities and service provision structures are strong enough to tackle developmental issues and possible conflicts and/or differences of opinion.

4.5 Outlines of all structures exists and are agreed upon

The DISC has taken off with widespread acceptance at all levels. On the other hand at lower levels the project support structures have not yet been strengthened. The NSC is not as comprehensive as was originally proposed by the Project Progress Review Mission. The following are the recommendations;

i) The DISC members draw up the Terms of Reference and the functional criteria for the HQ officer who should then be invited by the PS MoALD&M and be co-opted into the expanded NSC.

ii) The NSC structure should be chaired by the PS, MoALD&M (or his designated representative) and comprise of all relevant HQ officers identified by the DISC.

iii) Because of the historical element of the program and the need to ensure continuity the Department of Livestock Production (Project Management Division) is recommended to provide the secretariat for the NSC.

4.6 CBD approaches harmonized

This is covered under 4.3 above

4.7 Written agreements on workplans and commitment to implement agreed activities

The TDP has instituted work planning at the divisional level for all project activities. On the other hand this does not apply to all other programs in the district. This presents problems which result in the inefficient use of resources and a low level of impact of project activities.

It is recommended that;

i) Departmental heads identify the roles that each of their programs in the district can be allocated as recommended by the PPRM.

ii)   Workplans prepared at the divisional level should make an effort to reflect the complementary nature of the various programs operating in the division and divisional staff should be guided to do so.

iii) Workplans should reflect clearly the level of resources provided by each program.

iv)   Activities should be planned adequately with the communities. From the project side adequate resources should be provided to ensure success, piecemeal funding of activities may not create the level of impact required. This should be reflected in the work plan.

4.8   Document exists in which the identified roles and linkages exist for TDP activities (district level)

Although the roles of the majority of actors in the program have been documented, there has been no discussion so far on these roles.

It is recommended that;

i)   The program assess the staff requirement on the basis of the activities which are planned, determine the qualifications required, additional training required and rationalize the distribution and deployment of existing staff.

4.9   Recommendations for the planning workshop

In addition to the above recommendations, the planning workshop needs to ensure that:

- realistic indicators are developed for the overall goal, project purpose and results which measure the effects and impacts which the programme is expected to have;
- assess the important assumptions which have to be critically monitored throughout phase II;
- develop and define milestones which should be regularly monitored, whereby these represent possible "cut-off" points in case commitments and agreements are breached;
- define job descriptions for all of the important positions which are needed in order to implement the concept as defined in the project planning matrix;
- compare the required job descriptions with the current incumbents and determine how the gaps should be filled (i.e. either through training or posting/recruitment of additional personnel).
- Balance available resources with desired activities.

PROJECT PLANNING MATRIX (PPM)

TRANSMARA DEVELOPMENT PROGRAMME

PN. 95.2019.8-00.101

Planning Phase: II
Planning period: 01/07/98 - 30/06/2001
Planning Date: 12/97

SUMMARY OF OBJECTIVES AND ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Overall Goal Standard of living of the people of Transmara is sustainably improved			
Programme Purpose **Communities increase self-reliance and capability to utilize development potential of the district on a sustainable basis**	✦ Proportion of formal and informal leaders who utilise formal and informal fora to articulate views, opinions, judgments and visions etc. which are contrary to those of the communities and which hinder participatory development will be reducing as follows: ✦ 12 months after initial mobolisation by TDPhas been completed proportion of representation and active participation in development fora at community level increases as follows:	✦ DDC and sub DDC minutes ✦ Community based fora records ✦ TCC minutes ✦ Minutes of community based fora	Economic environment will remain favourable

	06/99	06/2000	06/2001
Leaders	---%	---%	---%

Target group	1st Year	2nd Year	3rd Year
Women	10%	20%	30%
Youth	---	---	---
Poor	---	---	---

1

GTZ/TDP

SUMMARY OF OBJECTIVES AND ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
	♦ 12 months after initial mobilisation exercise by TDPhas been completed, women, the youth and the poor in their individual or group capacities initiate and start to engage in at least 1 additional economic activity, independently of TDP.	♦ DSDO's reports ♦ Programme M+E reports	
	♦ With effect from 06/99, an increasing number of male and female headed households or entire communities contacted by TDP will be operating/applying and adapting to own needs or circumstances (independently of TDP) technologies, technical recommendations and concepts which have been promoted by TDP in fields such as: animal husbandry, mixed farming, business management, environmental/natural resource management, project cycle management, conflict resolution, etc. and will be obtaining results(i.e. net technical and economic benefits) which are within, say, 10% of trial results.	♦ DSDO's reports ♦ Programme's M+E reports	
	♦ 12 months after initial mobilisation by TDP has been completed, -- communities and ---- groups have initiated and started to implement at least 2 development projects/activities independently of TDP	♦ DSDO's reports ♦ Programme's M+E reports ♦ Internal community mobilisers' records	
	♦ 12 months after prescribed capacity building facilitation by TDP, 3 out of every 5 promoted self-help organisations for women, the youth, men or mixed sexes are continuing to pursue organisational objectives and have characteristics such as: a) regular election of officials b) regular meetings which realize quora c) satisfactory records e.g. minutes of meetings d) adequate working and fixed capital (e.g. tools) e) increasing reserves/savings f) increased utilisation of services/ facilities by members g at least breaking even	♦ DSDO's reports ♦ Programme's M+E reports ♦ Records of self-help organisations	

SUMMARY OF OBJECTIVES AND ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
	♥ 12 months after completion of prescribed capacity building facilitation by TDP (e.g. training, counselling etc.) 3 out of every 5 male or female individuals or groups which provide demand driven services will be continuing to operate such that: a) at least 60% of clients express satisfaction with services and willingness to pay for them at the going rates b) the practitioners (individuals or groups) have adequate working and fixed capital (e.g. professional tools) c) control reports by GOK, professional associations etc. reflect a positive image/status of the practitioner(s) and the practices ♥ By 06/99, at least --- individuals --- groups and --- communities not yet mobilised by TDP have started to adopt and if necessary to adapt to own needs approaches, technologies and recommendations which are promoted by TDP	♥ Practitioner's records ♥ Controllers' reports e.g. DVOs reports on paravets ♥ Opinion surveys of clients ♥ M+E reports of TDP ♥ DSDO's reports ♥ Reports of extension agents	
Results/Outputs 1. Integrated district planning and community based land use planning is promoted	♣ District development plan reflects a thorough social, economic and ecological analysis including projections and scenarios ♣ Participatory planning process integrating: - Community plans (LUPs and CAPs) - Sectoral development plans - "integrated regional development plan" etc is initiated by 12/1998	♣ District development plan and annexes ♣ DDC and sub DDC minutes	

3

SUMMARY OF OBJECTIVES AND ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
2. Community based participatory approaches to micro-project cycle management and their linkage to support systems are promoted	♣ Progress with respect to promotion of participatory integrated development approaches will be as follows:		
	a) Plan exists and is agreed upon by all by 10/98, showing how all communities in the whole district will systematically be mobilised by ----	♣ TDP Plan of operation and annual workplans	
	b) --- groups have been (re)formed/organised according to revised definition of mobilisation in each of the 5 divisions by ----	♣ CDA reports ♣ Divisional mobilisation team reports	
	c) --- number of organised communities have created their own new sub groups (women, the youth and the poor) for developmental activities and are supported in their efforts by the whole community	"	
	d) --- mobilised communities/groups based on potentials/ resource assessment agree on: - projects to be done on their own - projects requiring external support - eventually leading to community action plans/vision of development	"	
	e) Resources have been disbursed from CDF/and/or own community resources to at least --- development activities in the 5 divisions each year	♣ TDP reports ♣ CDA reports	
	f) Average response time of requests for services or assistance from mobilisation team does not exceed 1-2 months and meets expectations of the communities	♣ TDP M+E reports	
	g) Local leaders actively assist communities in establishing linkages to supporting systems out of which --- communities benefit each year	♣ DISC minutes	

4

SUMMARY OF OBJECTIVES AND ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
3. Technologies which enhance self-reliance of communities and individuals have been identified and tested in collaboration with primary target groups and successful outcomes have been duly promoted	♣ With effect from 06/99, at least 8 out of every 10 of trials/demonstrations requested by communities or proposed by technical resource persons will be proceeding according to design especially with respect to: a) number of men, women, the poor and the youth who are routinely involved in the trials/demonstrations, b) number of men, women, the poor and the youth who participate in field days, c) achievement of expected net technical and economic benefits to target groups (cost/benefit analyses) d) rated capacity to be sustained by target groups ♣ With effect from 06/99, at least 6 out of every 10 technologies whose trails/demonstrations have been successfully completed will be promoted for district-wide adoption and the process will be proceeding according to strategy.	♣ M+E reports of TDP ♣ Trial/demonstration reports ♣ Participatory evaluation/field day reports ♣ Extension reports ♣ M+E reports of TDP	
4. Capacities of public and private sector service providers who deliver demand oriented services to communities are strengthened	♣ Progress with regard to capacity building of community based service providers will be as follows: a) list if existing and potential male and female service providers together with their respective potentials or strenghts and weaknesses will be available by 10/98 b) Plan, including resources and time schedule for capacity building activities will be approved by 02/99	♣ M+E reports of TDP ♣ List of public and private service providers ♣ Capacity building plan for service providers is available with DISC chairman ♣ Minutes of DISC	

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SUMMARY OF OBJECTIVES AND ACTIVITIES	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
	c) With effect from 06/2000, at least the following improvements will be made:	♣ Participatory evaluation reports of services	
	(i) an increasing number of communities will be receiving regular services from public and private sector service providers on terms and conditions which can be sustained without project intervention,		
	(ii) the quality of services from public and private sector sources has improved noticeably with respect to elements for which capacity building was provided by TDP.		

6

SUMMARY OF ACTIVITIES	IMPORTANT ASSUMPTIONS
1.1 Facilitate community based LUP process 1.2 Facilitate development of an "integrated regional development plan" for Transmara district 1.3 Support sectoral fora and their development planning functions 1.4 Support the linkages of CAPs into the district planning system 1.5 Develop and test process for lobbying for resources for district priority projects 1.6 On request from communities, facilitate provision of advisory services on land related issues 1.7 Strengthen intersectoral fora e.g. NSC at district and national level and establish linkages for harmonising policies etc.	- Land administration continues to be transparent and fair to target groups - Nairobi and district based decision makers agree to continue to support implementation of participatory integrated development plans - Participatory approaches continue to be accepted and supported at all levels
2.1 Finalise and agree on community mobilization guidelines/manual 2.2 Establish and operationalise (divisional) mobilization teams 2.3 Assist communities to strengthen their organizational forms and to identify "own" mobilizers 2.4 Apply participatory techniques/methods to coach communities in identification, planning, implementation, monitoring and evaluation, networking and linking of own development activities (micro-projects) 2.5 Apply participatory methods to coach communities in accessing and managing own (internal) and external resources needed for development 2.6 Facilitate community in formulating proposals for assistance from divisional, district and national levels 2.7 Access back-stopping on community development and mobilization 2.8 Continue to facilitate rapid PRAs for hitherto non mobilized communities 2.9 Promote establishment and operationalisation of Community Development Fund	- Participatory approaches continue to be accepted and supported at all levels - TCC will increase participation and collaboration in TDP activities - Adverse political interferance with TDP activities will be contained - Essential pre-requisites for effective and efficient decentralisation of services will be provided on a timely basis

7

SUMMARY OF ACTIVITIES	IMPORTANT ASSUMPTIONS
3.1 Assist communities/individuals/groups to identify potential resources which can be tapped through adoption of appropriate technologies 3.2 Identify appropriate technological options, discuss them with communities/individuals/groups and select potential collaborators 3.3 Adapt identified technologies to local needs and circumstances 3.4 Assist communities/individuals/groups to try out selected technologies 3.5 Provide necessary backstopping during the course of trials or demonstrations 3.6 Facilitate participatory monitoring and evaluation of process and impacts of trials or demonstrations 3.7 Elaborate and test districtwide dissemination strategies	
4.1 Identify with the communities the existing and potential service providers 4.2 Assess with the communities present coverage, accessibility, potentials and weaknesses of currently existing service providers 4.3 Project demand for services and establish plan to promote selected service providers 4.4 Involve all actors in implementation of capacity building plan, paying attention to sustainability of services 4.5 Promote establishment and operationalisation of community service fund at division level 4.6 Contribute to conceptual, organisational and infrastructural aspects of decentralisation process 4.7 Organize divisional level service providers in order to improve their efficiency and effectiveness in service delivery 4.8 Facilitate participatory monitoring and evaluation of promoted services	- Promoted service providers will remain in Transmara for a reasonably long time - Essential pre-requisites for effective and efficient decentralisation of services will be provided on a timely basis
	General Assumptions - Alternative funding sources for community based activities at national level (EU, SDD etc.) continue support to Transmara district - Soiol-political stability continues to prevail

8

STATUS REPORT ON ACHIEVEMENTS
OF
ACTIVITIES CARRIED OUT DURING THE BRIDGING PHASE
(Status on 20.11.1997)

1.   Conflict Management Mechanisms in Place

In its first meeting after the Kericho Workshop (23.07.1997-See minutes)the newly formed DISC reconfirmed the need to engage a conflict manager to assist TDP actors to overcome conflicts highlighted by the review mission. Correspondingly the Team Leader (GTZ-TDP) initiated action to engage an appropriate consultant with assistance of GTZ headquarters Germany.

During the "Post Kericho Workshop Review II" meeting held at Kilgoris on 29.07.1997 with participants from the national counterpart agencies, it was concluded, that a conflict manager was no longer required and that existing conflicting issues should be dealt with by committees composed of TDP actors. GTZ headquarters was consequently informed that a consultant for conflict management was no longer needed.

During the past four months different committees have had intensive discussions during which the main conflicting issues were dealt with. The DISC has been reviewing the progress during its monthly meetings (See 28.8.97 minutes 25.09.1997, 29.10.1997 and 20.11.1997). The internal conflict management process has been successful and has been documented in written agreements involving all relevant counterparts. Most conflicting issues were covered (See component reports).

The DISC has proved to be a very effective coordinating body. Most counterpart agencies have developed a sense of ownership towards TDP. This particularly holds true for the DAO (MOALDM), who is currently the DISC Chairman, and the DLPO (MOALDM), who represents the lead agency in the district and is the AIE-Holder of the GOK-TDP development budget.

At district level the conflict management process has considerably improved the working relationship between actors involved in planning and implementing programme activities. A high degree of consensus concerning the basic principles of the participatory and integrated community based development approach has been reached among the counterpart agencies represented in the DISC.

With regard to the national level, the necessary policy backing for the community based approach is not yet secured. This issue needs clarification during the ZOPP planning workshop. The linkages of TDP counterpart agencies to their national structures vary. Some counterparts have directy links to the national level through appointed TDP representatives. Others are merely linked to TDP at district level. To ensure that conflicts do not crop up from interventions planned at the national level, the needed policy backing for the participatory and integrated development approach of TDP must be secured through written commitments or agreements. This could not be achieved during the bridging phase.

2.   Mechanism to Address and Harmonize Land Disputes Limiting TDP Activities
      Established

During the bridging phase heavy land disputes broke out on the Gucha (Kisii) Transmara boarder leading to war-like conflicts. In the same period the election

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fever has spread throughout the district occupying the full attention of communities and the District Administration. For this reason it was not possible to convene a forum at the district level to discuss and harmonize land and land tenure issues. However, at the DISC and community level options for solving land disputes were addressed and conflict resolving strategies were discussed. (See NRM/LUP report on achievements during the Bridging Phase.)

3.   Concepts and Strategies Guiding TDP Activities to be Clarified and Agreed Upon

All TDP components have reviewed the concepts and strategies guiding project implementation and have reached a high degree of consensus. Written agreements have been prepared specifying areas of consensus and areas requiring further-going harmonization. (See component reports.)

4.   Guidelines for Mobilizing Participation of Communities in TDP Activities Developed and Agreed Upon

TDP has attempted to hire experienced consultants to assist in preparing guidelines for mobilizing communities for development. It was not possible to identify a single person to cover all requirements of the project. The assignment therefore was divided into two elements: one to establish a framework for community mobilization and improving community interaction with service providers (Prof. Mutiso, Mutico) and the other to address training and coaching needs to strengthen self-organization and build up the self-help capacity of communities (Mr. Karbolo, Ilkerin/Loita Project). Due to time limitations both consultants were not able to visit the project area and carry out the intended comprehensive assignments. However, based on discussions with Prof. Mutiso in Nairobi and Mr.Karbolo at Ilkerin it was possible to internally develop a framework to cope with the challenges outlined by the review mission. The skeleton framework was agreed upon by the component and approved by DISC (See component report and minutes of DISC meeting 20.11.97). The detailed outline is planned to be prepared after completion of the ZOPP Workshop assisted by Prof. Mutiso and hopefully also Mr. Karbolo starting 9.12.1997.

It was not possible to attain written commitments from the Transmara County Council on the allocation of staff (DSDAs and LSDAs) to carry out community mobilization. This issue could also not be discussed in the DISC-Meetings because TCC representatives have avoided attending these meetings although regularly invited.

With regard to its political leadership TCC currently is in a transition stage. Sincere commitments from the TCC can only be expected after the elections when the newly elected political leaders have taken up their assignments in Transmara.

The working relationship with TCC has improved during the last few months after carrying out several activities with involvement of TCC staff: Transmara road survey, Transmara water survey etc.. The TCC administration seems to gradually appreciate the value of the information and data accumulated by TDP through its participatory community based approach. However, it is not clear, if TCC will utilize this data and information base for planning and prioritizing its own development projects.

Since TDP is placing much larger emphasis on community based activities in the coming Second Implementation Phase, the available staff will not be sufficient to achieve the set objectives. Various options on improving and strengthening the

staff capacity for the bottom-up development approach have been discussed.

The **German Development Service (GDS)** was asked, if they would be able to allocate technical staff to the project to assist community mobilization. A review team composed of three persons visited Transmara to assess, if GDS can respond to this request. The verbal reply from the GDS Director, Kenya, was positive. Provided TDP can clarify the administrative issues, such as identifying the counterpart agency for GDS staff and securing working permits, there should be no problem to attain two persons (male and female) to assist the Community Development and Self-Help Promotion Component of TDP. We have proposed that the GDS Advisory Team will be responsible to DISC through the CD/SH-Promotion Component and covered by the MOALDM as lead agency. Staff costs and a small operational budget will be borne by GDS. This is an additional source of funding for TDP. DISC has already accepted this proposal. The approval by the lead agency of TDP, Department of Livestock Production, MOALDM, has not yet be attained.

It is becoming increasingly evident that TDP through the GTZ funding will have to employ additional staff to strengthen the decentralization of services to the divisional and "Community Service Centre" (locational and sub-locational) level. Five additional posts for **Divisional CD/SH-Promotion Coordinators** have been recommended by the CD/SH-Promotion Component and basically approved by the DISC. The final approval will have to come from the planning workshop by allocating the needed budget to these divisional support units. The divisional support unit is to assist in administering the proposed "Divisional Community Service Fund" and the "Village Development Fund". These officers will also play a role in channelling information and data from the communities to the district planning and management units. The logistical and operational requirements for these implementation support units need to be worked out in more detail before the ZOPP Workshop Dec. 1997.

If gender issues are to be directly addressed by the CD/SH-Promotion Component it will be necessary to have a highly qualified women to plan and manage the gender-oriented programme. None of the counterpart agencies has the capacity to fill this position. If the ZOPP Workshop follows the review missions recommendations and intends to strengthen the gender-orientation of TDP in the next phase, it will be necessary that GOK (MCSS) allocates an appropriate person to the district otherwise TDP will have to engage a **gender specialist** through GTZ funding. This person definitely will have to be a Kenyan woman with fluent knowledge of the Maa language and working experience in pastoral communities. She is expected to work in close interaction with the GDS female adviser under the CD/SH-Promotion Component of TDP. The PPR mission should make a recommendation concerning the need to employ a gender specialist through TDP-GTZ.

5. Organizational Structure of TDP Specifying Structure and Functions of NSC, DISC, Sub-DDC

The District Steering Committee (DSC) was dissolved and the District Inter-Sectoral Committee (DISC) representing all agencies implementing TDP activities was established. (See letter from PS-MOALDM: Ref. No: MOALDM/OFTA 120 VOL XI, dated 9.07.1997 to the MP-Transmara with copy to DC-DC-Transmara; Letter from Director Livestock Production: Ref. No: MOALDM/OFTA 120 VOL XI/, dated 9.07.1997 to DLPO with copies to all counterpart agencies; Letter from DC-Transmara: Ref. No: TM/ADM.15/13/Vol.1/46, dated 17.7.97 initiating the DISC). The DAO was elected to be the first rotational chairman of DISC.

The guidelines for the DISC were outlined during its first meeting. These guidelines have been documented in the minutes of that meeting. (See DISC Meeting Minutes 23.07.1997)

The ZOPP Workshop recommendation to appoint a "National Coordinator" was discarded at the national. It was proposed that the National Steering Committee (NSC) should be composed of all TDP participating agencies at National level as committee members. During the second meeting of DISC with representatives of national counterpart agencies held at Kilgoris on 29.07.1997 no clear decisions were taken. The composition and guidelines for the NSC have not been document so far. Attempts were made to finalize this issue with the support of the current TDP national coordinator, however, until now without success. This issue should be addressed by the PPR mission. Recommendations should be made based on discussions with district departments and presented to the ZOPP Workshop for finalization. Without this body disputes originating from the national level can hardly be handled by the DISC.

The NSC should be given a mandate to lobby for additional funding from counterpart agencies outside the MOALDM. A rough apportionment of GOK Development Budget allocations to the different counterpart agencies implementing TDP activities should occur through the NSC based on the yearly forward budgets submitted to the national level. The NSC should also be responsible to monitor the utilization of these GOK-TDP Development Budget allocations.

Decisions on the NSC can not be made at the district level and therefore need to be dealt with during the ZOPP Workshop in Dec. 1997.

The TDP structures agreed upon could gradually lead to the strengthening of the DFRD system and to the integration of both systems. There seem to be some difficulties on the side of the district administration, TCC and others (i.e NGOs) to utilize TDP as a tool to strengthen operations of the DFRD system. Discussions still need to be intensified with these institutions to explain how the community based approach of TDP will strengthen the DFRD structures. The DFRD system will only successfuly start operating once the communities have learnt to utilize the system for their needs.

Discussions are underway to redefine the roles and functions of the different development fora for health, water, roads etc..
Various departments have informed their divisional staff that work plans must originate from the community level and be channeled through to the DISC for approval. This internal system of TDP can be easily integrated into the broader DDC-system once it has started working (See Organizational Chart of CD/SH-Promotion Component).

6.   Community Based Development (CBD) Approaches Harmonized

The CBD approach has been accepted and approved by DISC. Until now the DDC has not met to give TDP the formal mandate for its CBD approach. This approach has however been backed by the bilateral agreement at national level.

The consultancy of Prof. Mutiso and Mr. Karbolo, which is to commence in Dec. 97, is to deliver the detailed concept and strategy for the PID approach. The document should be made the basis for approval by DISC, DDC and DC.

4

7. **Clearly Identify Allocation to TDP Resources and Inter-linkage With Other Programmes (NEP II, SIDA, NGO-Programme etc.)**

The procedures for allocation of GOK and GTZ funds to specific project activities have been worked out.

Attempts are being made by the different components to coordinate and harmonize TDP activities with those of other funding projects. These inter-linkages will only be made transparent once the sectoral fora make projects and activities of their member agencies transparent and accountable to all. There are still numerous unresolved issues which need further clarification as for example :
-   National Policy on:
    *   Harmonization of Tse-tse and Trypanosomiasis control activities under TDP and other funding agencies;
    *   Coordination of funds for crush rehabilitation from TDP and PARC;
-   Linkage between DFO community forestry and KWS partnership programme under the Memorandum of Understanding (MOU);
-   etc.
    (See component reports)

Procedures for the "Divisional Community Service Fund" and "Community Development Fund " have not been worked out yet.

8. **Duties and Responsibilities Will Have Been Spelt Out For ALL and Accepted (District Level)**

A large number of counterpart agencies including the GTZ advisory team have documented their staff roles and linkages. These documents are with the DISC Chairman. They will be analyzed once all information is available. This information will be the basis for the operational plan. The data should also be made available to the ZOPP Workshop so that activities can be realistically planned. The review team should emphasize this need to the counterpart agencies.

MINISTRY OF CULTURE AND SOCIAL SERVICES
DEPARTMENT OF SOCIAL SERVICES,
TRANSMARA DISTRICT,
P.O BOX 359.
KILGORIS.
21st November, 1997.

RE: DISC APPROVAL OF STRATEGY ON HOW TO RESOLVE OUTSTANDING ISSUES FOR
        PHASE II.

The issues requiring resolution are:

output No. 4 guidelines for mobilizing participation of the Communities in TDP activities developed and
agreed upon:

4.1.   Identify structure to carry out mobilization of communittes.
4.2.   Identify mobilization strategies to carry out mobilisation
4.3.   Identify trainable people from existing grassroots level personnel from TCC and   MCSS and
        appropriately and adequately train them for effective communication.

        and **output No. 6** CBD approaches harmonized:

6.1.   Identify key players in CBD
6.2.   Assess the different approaches, identify contradictions and in a participatory way
        harmonize the approach.
6.3.   Initiate fora revitalizing CBD approach
6.4.   Approval of CBD approach by DISC
6.5.   Mandate of CBD aproach given by DDC

The DISC meeting of 20th November ,1997 deliberated on a strategy paper entitled "Framework for
Strengthening Community Based Development through the Community Development and self -help
promotion Component of TDP" and approved it.

The undersigned confirm the approval of the attached strategy paper cited above by the DISC meeting.

DISC   DSDO 21/11/97   CDA 21/11/97
Chairman

Framework for Strengthening Community Based Development through the Community Development and Self-Help Promotion Component of TDP

The CD/SH Promotion Component primarily contributes to achieving following two **results** of the Three Year Development Plan of TDP (July 1998 till June 2001):

- "Capacities of community based self-help organizations are strengthened" and
- "Community based participatory approaches to micro-project cycle management and their linkages to district support system is promoted".

The **purpose** of the component is to assist the overall programme by:

- Strengthening the self-organization and institution building capacity at the community level.
- Promoting the communities capacity to analyze its own situation and challenges, to develop and decide on the most appropriate options available to deal with these challenges, and to plan, implement and monitor action plans according to the self-determined priorities.
- Enabling communities to actively inter-link with technical service providers to attain assistance for implementing community action plans.

TDP faces major constraints in achieving the set results and fulfilling the project purpose:

- Lack of community mobilizers to initiate community based development.
- Lack of trained personnel to support community mobilization.
- Lack of an institutional framework for analyzing development potentials and constraints, setting priorities, planning, implementing, monitoring and evaluating community based projects.
- Lack of financial and technical support for micro-level self-help projects.
- Weak linkages of communities to district and division based technical and financial support institutions and limited access to services and resources offered.
- Lack of a district wide funding mechanism supporting community self-help efforts.

TDP supports community based development through **interventions at three levels:**

- at **district level**, by supporting integrated planning, monitoring and evaluation;
- at **divisional level**, by integrating and coordinating implementation of technical services;
- at **community level**, by integrating external services with community self-help efforts.

Proposed Organizational Framework of the CD/SH Promotion Component for the Second Implementation Phase of TDP

Following organizational structure is being recommended for adoption by TDP through the DISC to ensure that results outlined during the planning workshop in July 1997 can be achieved and the operational limitations listed above can be overcome.

District Level:

District Planning and Management Unit of the Community Development and Self-Help Promotion Component.

Counterpart Agencies:

- District Social Development Office.
  DSDO – Component Coordinator.
- District Social Development Office of the TCC.
  DSDA – Member of the component.
- District Cooperative Officer.
  DCO – Member of the component.

Advisory Team Members GTZ-TDP:

- Community Development Advisor (CDA)

- PID process Facilitator and Coordinator

Advisory Team of the German Development Service (GDS):

(The funding of the GDS advisory team consisting of two persons (male and female) has been principally approved under the condition that these persons are administratively covered by TDP through the DISC.)

Function of this additional advisory team:

Capacity building training supporting self-help and self-organization of communities.

Assignments:

- Assessment of training needs;
- Design and operational support to the training programme addressing identified needs;
- Back up of implementors of the training programme.

Divisional Level:

The divisional CD/SH promotion team is responsible for implementing activities supporting self-organization of communities. The implementing structure at the divisional level supports the coordination of technical services with community self-help efforts. The team is responsible for establishing an operational plan for implementing demand oriented services for community based self-help projects supported by TDP.

Counterparts:

DSDAs, TCC

Divisional Advisory Team GTZ-TDP:

Divisional Self-Help Promotion Coordinators

Functions:

- Responsible for establishing close links between technical service providers and community mobilizers implementing community action plans.

- Coordinating logistical support to all partners implementing TDP supported activities.

- Coordinating flow of information from communities to district CD/SH Promotion Unit.

- Facilitating and coordinating the allocation, disbursal, and the monitoring and evaluation of the utilization of:

    -- "Divisional Community Service Fund" and
    -- "Community Development Fund".

Community Service Center Level:

The CD/SH Promotion Component channels its activities when possible through the operational structures of CSCs. Thereby team work is encouraged and the efficiency and effectiveness of operations increased.

Counterparts:

- LSDAs, TCC
- FEWs of all technical departments at CSC level.
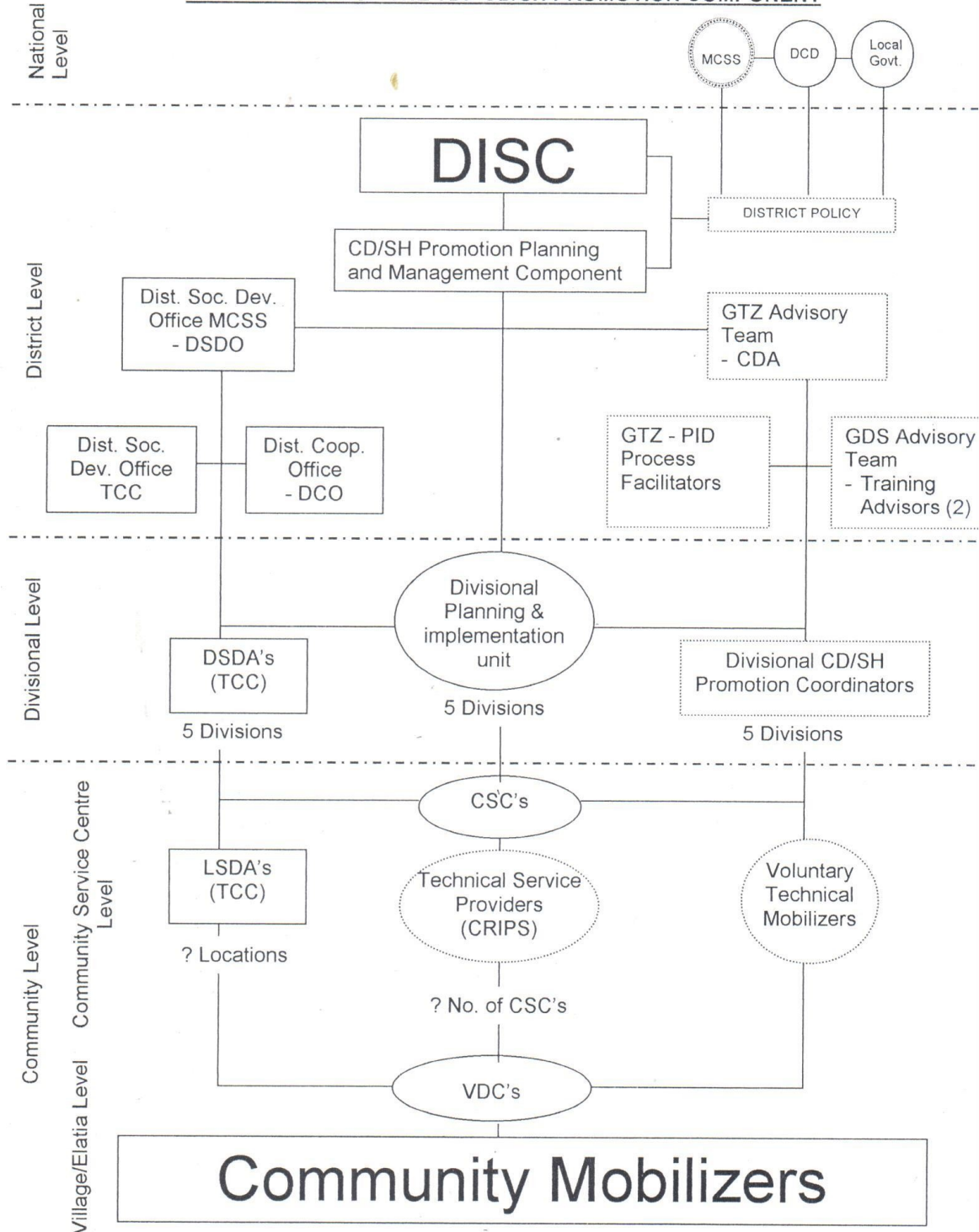
Community Level:

Community based development is facilitated by voluntary services of community members.
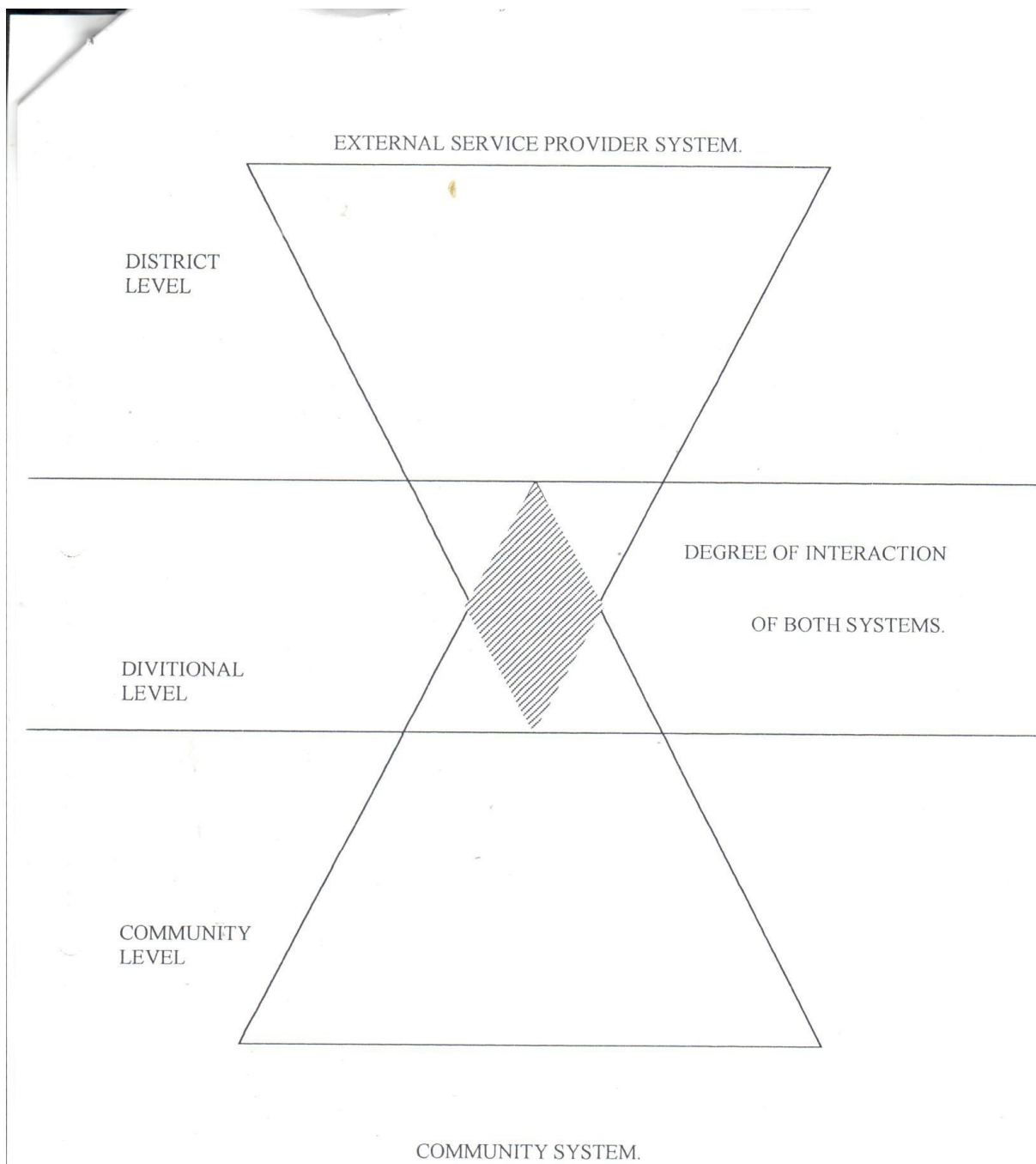
Counterparts:

- Community Mobilizers

    (These are community members entrusted with responsibilities of implementing community action plans by the Village Development Committee (VDC) or by Technical Committees operating under the VDC.)

ORGANISATION OF THE TDP CD/SH PROMOTION COMPONENT

National Level

- MCSS
- DCD
- Local Govt.

District Level

DISC

DISTRICT POLICY

CD/SH Promotion Planning and Management Component

Dist. Soc. Dev. Office MCSS - DSDO

GTZ Advisory Team - CDA

Dist. Soc. Dev. Office TCC

Dist. Coop. Office - DCO

GTZ - PID Process Facilitators

GDS Advisory Team - Training Advisors (2)

Divisional Level

Divisional Planning & implementation unit

5 Divisions

DSDA's (TCC)

5 Divisions

Divisional CD/SH Promotion Coordinators

5 Divisions

Community Service Centre Level

CSC's

LSDA's (TCC)

? Locations

Technical Service Providers (CRIPS)

Voluntary Technical Mobilizers

? No. of CSC's

Community Level

Village/Elatia Level

VDC's

Community Mobilizers

EXTERNAL SERVICE PROVIDER SYSTEM.

DISTRICT
LEVEL

DEGREE OF INTERACTION

OF BOTH SYSTEMS.

DIVITIONAL
LEVEL

COMMUNITY
LEVEL

COMMUNITY SYSTEM.

Minutes of Understanding

Transmara Development Programme - TDP
Kenya PN: 95.2019.8-00.101
"Follow-up Project Progress Review", November 1997

1. The Ministry of Agriculture, Livestock Development and Marketing (MOALDM) confirmed that as part of the commitment of the GTZ (the German project implementor) towards the German Ministry of Economic Cooperation (BMZ, the project sponsor) a Project Progress Review (PPR) was to be conducted in Kenya from 16.06.1997 to 29.06.1997. This PPR was supported by a follow-up PPR from 24.11.1997 - 05.12.1997, as defined in the Minutes of Understanding duly signed on 08.07.1997.

2. Despite the programme having been able to make substantial progress in various different areas, the PPR team and the planning workshop agreed in June/July 1997 that specific constraints required to be dealt with by November 1997 prior to planning phase II of the TDP programme. The issues to be dealt with included: actively promoting community mobilization and community based activities, changes to the TDP organisational structure at the National and District levels, development of a transparent mechanism to address and harmonize disputes currently hindering development in the district (including TDP resource allocation), and harmonization of concepts and strategies guiding development activities (in particular community mobilization and community based development).

3. The follow-up PPR mission was conducted in Transmara from 24.11 - 29.11.1997 with the objective of assessing whether the issues elaborated above had been successfully completed and whether a second phase of TDP could be endorsed. The consultants have concluded on the basis of the interviews conducted in Transmara district and on the basis of the documents provided by the DISC that phase II of TDP can be recommended. However, to be successful; TDP will continue to need full backing from the highest levels throughout the next phase.

   This brief review in Transmara was followed by a planning workshop in Kericho from 1.12 - 5.12.1997 during which a plan for phase II of TDP was developed and agreed upon by all participants. More than 25 representatives from the national, provincial, district and community level attended the workshop and all endorsed the review mission's findings and recommendations.

4. The follow-up PPR mission comprised of the following members:
Dr. Nikolaus Schall, consultant and mission leader, Usingen, Germany
Mr. James Tendwa, Assistant Director, Dept. of Livestock Production, MOALDM

5. Using the planning document developed at the workshop in June/July 1997 as the basis for this review, the PPR team presented their findings on the status achieved, outstanding issues and recommendations. Their main findings have been included in the condensed report annexed to this document.

6. The concept underlying TDP has been modified in view of the June/July PPR team's findings and it has been endorsed both at the June/July workshop and at the December workshops. Greater emphasis has been given towards community based approaches and community mobilization. Implementation will focus on the community and divisional level, the district level's core activities will centre more on planning, monitoring and evaluation. Mobilization of the communities into self-reliant and well functioning units will form the core area of action of the TDP programme. To assist this process the services of the German Development Services (GDS) will be actively sought to provide personnel. The GDS personnel would be responsible to the District Intersectoral Steering Committee (DISC).

Improving the accessibility to a demand oriented service providers (whether Governmental, private or community based) will be supported in order to ensure that communities can exploit the developmental potentials of the district. Access to financial support, whether through a community development fund, through the accumulation of capital within the community or even international funds from the national level are seen as further essential ingredients for successfully mobilizing the communities. To a limited extent, further field testing of new appropriate technical approaches and methods has also been planned for. The need for an integrated district planning approach, including community based landuse planning, also has to be vigorously promoted in order to ensure that the agricultural, livestock, forestry and wildlife potentials in Trans Mara District can be successfully tapped by and for the benefit of the local communities.

7. Phase II of TDP will commence in July 1998 based on the plan developed in November 1997 as well as a plan of operations to be developed in the next few months and subject to the agreement of both Governments.

MOALDM, as the "owners" of the programme where TDP is ranked as a "core-programme", will continue to make available adequate funding. Similarly, the GTZ contribution will be provided in accordance with the Kenya-German Governmental Negotiations dated May 1997.

8. The undersigned have participated or were represented during the planning workshop and the formulation of the above mentioned recommendations. These minutes of understanding restate the main recommendations of the PPR mission of June 1997 and the results of the workshop conducted in Kericho from 01.12.1997 - 05.12.1997.

It is understood that the project planning matrix for phase II of TDP developed during the planning workshop merely reflect the common understanding of the signatories representing the MOALDM and the GTZ at the end of the mission and form the basis for the subsequent bilateral agreements specific to the TDP programme.

Nairobi, 11.12.1997

Signed

_____   _____
The Permanent Secretary   Mr. Johannes Wessolowski
                                    GTZ Desk Officer - Kenya

on behalf of   on behalf of
The Ministry of Agriculture   Deutsche Gesellschaft für Technische
Livestock Development & Marketing   Zusammenarbeit, GmbH (GTZ)

Annexes:
1:    Follow-up PPR Mission Condensed Report
2:    Project Planning Matrix for Phase II of TDP