



**INSTITUTIONALISING ENVIRONMENTAL
CONSERVATION AND POVERTY REDUCTION:
DIRECTIONS FROM THE FIELD IN EAST AFRICA**

BY

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ABSTRACT

This study shows the weaknesses of pre-colonial institutionalisation of environmental conservation and poverty reduction; weak institutional base, inadequate information and adaptive management results-based systems and ill-informed disconnect between the people and their natural resources that went on during the colonial and independence periods in East Africa. However in recent times a lot has been learnt and accumulated about institutionalisation of environmental conservation and poverty reduction.

The study illustrates that institutionalisation of certain beliefs, norms, regulations, rules, standards and values enhances the efficiency and effectiveness of organisations in addressing environmental conservation and poverty reduction. It uses field facilitation experience, interactions with environmental conservation and poverty reduction practitioners, literature review and sampling of 65 CBOs and local NGOs within East Africa in participatory environmental conservation and poverty reduction to support its hypothesis. The methodological process by which organisations do this has three general strands. These strands are:

- Strategic planning based on how environmental conservation and poverty reduction is affected by social, legal, ecological, economic, political, and technological underlying factors to inform short and long-term goals in environmental conservation and development;
- Well-structured, functionally relevant management system and style to guarantee continued focus on identified objectives, strategies and tactics in environmental conservation and poverty reduction; and
- Result based planning, monitoring, evaluation and information management system so that current and future needs, opportunities, problems and solutions in environmental conservation and poverty reduction are addressed proactively and shared at the three key decision-making levels: grassroots, district, and national.

DECLARATION

I hereby declare that this dissertation entitled **INSTITUTIONALISING ENVIRONMENTAL CONSERVATION AND POVERTY REDUCTION: DIRECTIONS FROM THE FIELD IN EAST AFRICA** is my own independent work except where it is stated otherwise in the acknowledgement or in the text.

I also certify that the dissertation has not incorporated any material previously submitted for a diploma or degree in any university and that to the best of my knowledge and belief it does not contain any material previously published or written by another person where due reference is not made in the text.

Signed

John Munyoli Musyoka

Date:.....

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In the course of my work as a consultant and facilitator in participatory natural resource management and governance, my colleagues especially Dr. Ngaite Nkoma Chimbandi encouraged me to get interested in sharing what I know in this field. Many people assisted me to crystallise what I really wanted to do as I thought through this process. For their contributions I say gratitude. I got the challenge to study for my PhD from many good colleagues, please receive my gratitude.

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ABBREVIATIONS AND ACRONYMS

ACOSA-VBA	Actor-Oriented Situational Analysis – Vision-Based Action
ASALs	Arid and Semi-Arid Lands
C	Calcium
CADCs	Community Area Development Committees
CBO	Community-Based Organisation
CDF	Constituency Development Fund
CORAT – Africa	Church Organisations Research and Advisory Trust - Africa
CT	Core Team
DDC	District Development Committee
DFID	Department for International Development
DGIS	Directorate General for International Development
DPU	District Planning Unit
DRDPs	District Rural Development Programmes
DT	District Team
ETC-EA	Education Training Consultancy – East Africa
FAO	Food Agriculture Organisation
FEDCOFUN	Federation of Community Forest User Groups Nepal
FUGs	Forest User Groups
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
INTRAC	International NGO Training and Advisory Centre
IUCN	International Union for Conservation of Nature
K	Potassium
KWS	Kenya Wildlife Service
LC	Local Council
LUP	Land Use Planning
LWC	Loita Women Council
MBOA	Mombasa Boat Operators Association

MDGs	Millennium Development Goals
MoLRRWD	Ministry of Land Reclamation, Regional and Water Development.
MS-TCDC	MS- Training Centre for Development Cooperation
NEFUG	Nepalese Federation of Forest Resource User Groups
NGO	Non-Governmental Organisation
OOD	Opportunities and Obstacles to Development
P	Phosphorus
PCDA	Pastoralist Community Development Association
PFM	Participatory Forest Management
PMAC	Park Management Advisory Committee
PNRMG	Participatory Natural Resource Mgt and Governance
PPA	Participatory Process Analysis
RAAKS	Rapid Appraisal of Actor Knowledge Systems
RAFT	Resource Area Facilitation Team
RMA	Resource Management Areas
S	Sodium
SARDEP	Semi-Arid Development Programme
SLEEPT	Social, Legal, Ecological, Econ., Political and Technological
SNV	Netherlands Development Organisation
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TANAPA	Tanzania National Parks
UK	United Kingdom
UN	United Nations
UNEP	United Nations Environmental Programme
UNESCO	UN Educational, Scientific, Cultural Organisation
US	United States
UWA	Uganda Wildlife Authority
WWF-EARPO	World Wildlife Fund-East African Regional Prog. Office

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CHAPTER 1: INTRODUCTION AND BACKGROUND

1.1 Background

There is a lot that has been learnt and accumulated about environmental conservation and poverty reduction in the last one decade (1995-2005), in terms of the relationship between environmental degradation and poverty and vice-versa. These lessons however largely remain in project and programme reports of those who have done the pioneering work in this area. In order for the lessons of the past one-decade to be available to the wide society and be used to address key issues in environmental conservation and poverty reduction without trying to re-invent the wheel, systems have to be put in place by organisations to address this anomaly.

One reason why things have been the way they are is that; most of the work in environmental conservation and poverty reduction has been done in the realm of projects and project approach (either by NGOs or government). This has meant that when projects are finished or terminated their lessons remain in office shelves un-utilised and unavailable to others. The surprising thing is that most projects and programmes at the grassroots convert into community-based organisations (CBOs) on the termination of external support so that they can claim local and national legitimacy to be allowed to mobilise local resources and continue with their work. With time these CBOs form into some service provision NGO, which sometimes cover more than one region and occasionally become national NGOs. These upcoming regional and national environmental conservation and poverty reduction NGOs have not captured the lessons of the projects or programmes that inform their birth, nor do they have systems in place to ensure that lessons captured lead to organisational and institutional learning.

Without organisational and institutional learning environmental conservation and poverty reduction continues to be addressed ad hoc, and without the benefit of hindsight. This continues to reduce the capacity of these organisations and the institutional arrangements they get into, to take full advantage of improving local, national and international policy environment; especially the emergency of decentralisation, increased democratic space, the formulation and application of Poverty Reduction Strategy Papers (PRSPs)¹, and the focus on environment and poverty reduction in the Millennium Development Goals².

This is what institutionalisation of environmental conservation and poverty reduction can do. However for emerging CBOs and Local NGOs to effectively deal with institutionalisation of environmental conservation and poverty reduction, they have to address two key pre-requisite conditions. One they have to prepare themselves for institutional learning and change by addressing their organisational structures, strategies and capacity in relation to environmental conservation and poverty reduction. Second, they have to ensure that they are clear about the process and requirements of effective and efficient environmental conservation and poverty reduction.

Looking at the organisational structures, strategies, and capacity in environmental conservation and poverty reduction, they will need to be clear within their organisations and the institutional arrangements they operate in: Who controls the institutional learning? Who controls screening and approval systems? And Who controls monitoring and quality management.

¹ According to the World Bank: A poverty reduction strategy paper (PRSP) is a national strategy drawn up by governments of low-income countries, for targeting government expenditure on measures to reduce poverty. A PRSP starts from the diagnosis of the causes of poverty, then identifies the poverty reduction outcomes a country wishes to achieve and key public actions – policy changes, institutional reforms, programmes and projects – needed to achieve these outcomes. It should establish targets, indicators and monitoring systems.

² The eight UN Millennium Development Goals (MDGs) are: Eradicate extreme poverty and hunger; achieve universal primary education; promote gender equality and empower women; reduce child mortality; improve maternal health; combat HIV/AIDS, malaria and other diseases; ensure environmental sustainability; and develop a global partnership for development.

This is because, and as it will be illustrated in this study, the organisational mechanics of development planning especially in areas as complex and diverse as environmental conservation and poverty reduction are such that, whether or not guidelines exist, they are vulnerable to socio-cultural and political pressure at various points during execution. The critical points for this to happen in East Africa are the grassroots, district, and national levels because at these levels culturally, socially, and politically bidding decisions are made regarding environmental conservation and poverty reduction. Thus in East Africa unpacking institutional factors that may affect human incentives and behaviour across a large number of diverse settings – and this is what institutionalisation of environmental conservation and poverty reduction entails – includes critical valuables at these three levels, which must be put into consideration to effectively influence policy and practice in environmental conservation and poverty reduction. Some of these valuables at grassroots, district and national levels will be discussed in this study.

As for the organisational strategies to deal with environmental conservation and poverty reduction, they will need to be clear on: organisational policies, procedures, and culture in relation to environmental conservation and poverty reduction; community related assistance strategies, and associated focus of interventions targeting environmental conservation and poverty reduction; and institutional relationships, policies, expenditure patterns and other external environment especially social-cultural and power relations. In the choice of strategies for institutionalisation of environmental conservation and poverty reduction, organisations dealing with environmental conservation and poverty reduction have to understand that creating and strengthening existing institutions is essentially based on whether these institutions are perceived or used as agents to induce or maintain the social and economic changes desirable for the task of uplifting society to set standards.

Thus in the field of environmental conservation and poverty reduction, there has been continuous shift from traditional, colonial, and neo-state institutions towards global outlook civil, private and public institutions that act locally and work in partnership, especially with the civil society organisations acting as checks and balance for government and private sector to act in the interest of the citizenry. However there is need to be cautious. There are so many institutions that keep on popping up dealing with environmental conservation and poverty reduction but their ideas, ideals and ways of doing things are not permeating communities and society at key decision-making levels. One reason is that it is difficult to influence society without a clear mechanism and strategy to do so. A clear strategy requires that it is objective, convincing, tested, working and contains results-oriented arguments. The methodology discussed in this study seeks to be that and to achieve all these – to set the standards for society based on grounded arguments that borrow from the past to build the present, and set the agenda for the future.

Then there is the issue of organisational capacity for mainstreaming and institutionalising environmental conservation and poverty reduction. This is in terms of appropriate knowledge and skills, strategic management; effective networks and linkages; an enabling policy and institutional environment; and a supportive economic, social and political environment to deal with institutionalising environmental conservation and poverty reduction. In this regard an organisation dealing with environmental conservation and poverty reduction has to be able to deal with its strategic and functional needs. Strategic organisational needs deal with being clear about the organisational identity in the form of organisational direction and values; addressing effective relationships with others to deal with environmental conservation and poverty reduction through appropriate structural changes, and redesigning institutional approaches to influence others if need be.

Then being more coherent and strongly clear about issues related to environmental conservation and poverty reduction; developing wider relations at key decision-making levels to develop the necessary legal frameworks, community and national development policies and social positioning to influence policy and practice in environmental conservation and poverty reduction. The functional needs of an organisation deal with pressure to improve operations through participatory, results-oriented and strategic working style with others in the area of environmental conservation and poverty reduction, and to appreciate and put into consideration as the organisation operates the fact that institutional development affects its organisational development and the improvement of people material circumstances including dealing with poverty.

When we turn to the process there are seven aspects that are important. First is who gives meaning to the process (meaning is essentially in social processes such as struggle for power, authority and legitimacy and it can not be fully understood and appreciated unless processes are made participatory, transparent, and accountable. Second aspect of the process is how knowledge about environmental conservation and poverty reduction is constructed (it is important to appreciate that knowledge is mental and social construction that is influenced by the underlying social processes, actor strategies, and their logic). The construction of knowledge can not be well understood unless strategic analysis is done, which appreciates that the marginal position of the poor in turn marginalises the value of the inquiries they make about themselves their surroundings and how to intervene to improve their livelihoods. Third aspect of the process is the exercise of power in environmental conservation and poverty reduction. Power needs to be seen as coming from and also as a result of the interplay between actor position in the institutional arrangement, the effect of actor networks, and the prevailing domination and liberation related to actor relationships.

In this respect whoever has the capacity to validate knowledge applied and generated through the existing process of environmental conservation and poverty reduction, consequently has the power over other actors in the same process. It therefore means that interrelation and justification of knowledge systems in use in environmental conservation and poverty reduction requires that there are systems in place that capture objective ideas, opinions and actions of others especially the poor and marginalised over time so as to inform the on-going process and the future. This requires results-based adaptive management information system in order to help learning and institutionalisation. Fourth aspect of the process is how alliances, coalitions, and other social capital aspects operate in the process. This is especially important in ensuring that the appropriate beliefs, norms, regulations, rules, standards, and values related to environmental conservation and poverty reduction are institutionalised. The make-up, logic and dynamics of social alliances, coalitions and networks in environmental conservation and poverty reduction have to be understood clearly for institutionalisation to work.

The fifth aspect of the process is the whole understanding of institution making and institutionalisation. Most organisations in environmental conservation and poverty reduction focus more on institution-making and less on institutionalisation. Three distinctions need to be made here: What do we mean here by institutions, institutional frameworks or arrangement and institutionalisation. Institutions could be defined as “complexes of norms and behaviours that persist over time by serving collectively valued purposes. Institutions can be concrete and specific like a nation’s central bank or quite diffuse and general such as the institution of money. Some kinds of institutions have an organisational form with roles and structures, whereas others exist as pervasive influences on behaviour.’ (Norman Uphoff, 1986).

They are also seen to exert themselves through rules, norms and values that influence people's lives. "This obviously happens inside organisations but institutionalisation extends this to the wider social arena." (Alan Fowler, et al,1992). Institutional framework could be defined as the set of institutions that are involved in environmental conservation and poverty reduction and the mechanisms that determine how they will relate with each other and exchange information³

Institutionalisation on the other hand is more than just putting institutions in place. It means the actualisation of the learning organisation's culture and development of institutional behaviours, beliefs, norms, regulations, rules, standards and values, and practise that are consistent with a changing world view and adaptive approach to environmental conservation and socio-economic development addressing poverty reduction in a sustainable manner.

The sixth aspect of the process is the procedures, methods, tools and techniques in use in order to realise certain outcomes in the process. If the procedures, methods, tools and techniques are not seeking full participation, mutual understanding, inclusive solutions, and shared responsibility in environmental conservation and poverty reduction, then the process will not effectively and efficiently achieve desired outcomes in environmental conservation and poverty reduction⁴

³ This is adapted from the participatory natural resource management, governance and networking program for East Africa based at MS-TCDC, Arusha, Tanzania and focusing on capacity building for practitioners in Environmental conservation and poverty reduction. This is where the writer works and this program has informed most of the materials used in this dissertation to map new directions for environmental conservation and poverty reduction. Especially bringing together experiences from all over East Africa and learning from them to influence new directions.

⁴ **Full participation:** When familiar opinions do not lead to workable solution, a participatory approach will open up the process and encourage more divergent thinking. This means people making off-the-wall suggestions that stimulate their peers to think new thoughts. It is people permitting themselves to state half-formed thoughts that express unconventional – but perhaps valuable perspectives. It means people taking risks to surface controversial issues. It is like a roomful of people encouraging each other to do all these things;
Mutual understanding: Building a shared framework of understanding means taking the time to understand everyone's perspective in order to find the best idea. To build that framework, participants spend time and effort questioning each other, getting to know one another, learning from each other. They put themselves in each other's shoes. The process is laced with intermittent discomfort: some periods are tense, others are stifling. But

The seventh aspect of the process is the outcomes themselves. The key issue here is that the outcomes address the environmental conservation and poverty reduction challenges and opportunities that have come from the process in a sustainable manner without losing the qualities that the process has ingrained in them. Essentially outcomes must reflect first and foremost the site-specific and contextual concerns of environmental conservation and poverty reduction, and then related to the micro-macro links that are necessary to make site-specific solutions global in outlook and sustainable.

participants keep plugging away. Over time, many people gain insight into their own positions. They may discover that their own thinking is out-of-date or misinformed or driven by inaccurate stereotypes. And, by struggling to acquire such insights, members may discover something else about one another: that they truly do care about achieving a mutual goal – in this case environmental conservation and poverty reduction;

Inclusive solutions: Inclusive solutions are not compromises; they work for everyone who holds a stake in the outcome. Typically, an inclusive solution involves the discovery of an entirely new option. For instance, an unexpected partnership might be forged between former competitors. Or a group may invent a non-traditional alternative to a procedure that had previously “always been done that way”. Inclusive solutions are usually not obvious – they emerge in the course of the group’s persistence. As participants learn more about each other’s perspectives, they become progressively more able to integrate their own goals and needs with those of other participants. This leads to innovative, original thinking on environmental conservation and poverty reduction; and

Shared responsibility: In order for an agreement to be sustainable, it needs everyone’s support. Understanding this principle leads everyone to take personal responsibility for making sure they are satisfied with the proposed course of action on environmental conservation and poverty reduction. Every member of the group, in other words, recognises that s/he is an owner of the outcome. Thus, members voice objections even when doing so will delay the group from reaching a decision. Moreover, the commitment to share responsibility is evident throughout the process: in the design of the agenda, in the willingness to discuss and co-create the procedures they will follow and in the overall expectation that everyone will accept and take responsibility for making their meetings work.

1.2 Understanding Environmental conservation and poverty reduction

Environmental conservation as discussed in this study refers to the conservation of both environmental resources and natural resources as defined by FAO⁵ This means that environmental resources are seen as part of natural resources. Conservation here is also seen in its broadest sense, including management of natural resources sustainably as well as their protection and restoration, rather than in the narrow sense of maintaining an original state, or preservation⁶. As concerns poverty; poverty is looked at here as not just lack of material possessions but combination of the following: Inequality as demonstrated by differentiated distribution of economic, social, cultural and political (power to initiate change) resources; Vulnerability, as demonstrated by social disadvantages, insecurity and exposure to risk, lack of economic resources to protect people from sudden contingencies; Discrimination as exemplified by sexual, social and other forms of discrimination; and Social exclusion as illustrated by individual and collective denial of access to work and individual rights and denial of access to citizenship rights (goods, services, activities and resources).

⁵ The FAO in our land our future – A new approach to land use planning and management (FAO, and UNEP), 1996, defines natural resources and environmental resources as:

Natural resources: *These are the components of land units that are of direct economic use for human populations living in the area, or expected to move into the area: near-surface climatic conditions; soil and terrain conditions; freshwater conditions; and vegetational and animal conditions in so far as they provide produce. To a large extent these resources can be quantified in economic terms. This can be done irrespective of their location (intrinsic value) or relation to their proximity to human settlements (situational value).*

Environmental resources: These are the components of the land that have intrinsic value of their own, or are of value for the longer-term sustainability of the use of the land by human populations, either in loco or regional and global. They include biodiversity of plant and animal populations; scenic, educational or research value of landscapes; protective value of vegetation in relation to soil and water resources either in loco or downstream; the functions of the vegetation as a regulator of the local and regional climate and of the composition of the atmosphere; water and soil conditions as regulators of nutrient cycles (C, N, P, K, S), as influencing human health and as a long-term buffer against extreme weather events; occurrence of vectors of human or animal diseases (mosquitoes, tsetse flies, black flies, etc). Environmental resources are to a large degree “non-tangible” in strictly economic terms.

⁶ R.J. Fisher, Stewart Maginnis, W.J. Jackson, Edmund Barrow and Sally Jeanrenaud, 2005. Poverty and Conservation: Landscapes, People and Power. IUCN, Gland, Switzerland and Cambridge, UK. P. 5

The following is how World Bank⁷ defines the poor in Africa “Three overlapping categories are important in the African context: chronic versus transitory poverty, poor versus destitute, and the dependent versus the economically active poor. The destitute, many of whom are dependents such as elderly (particularly women whose assets are taken away when they become widowed) and disabled, count amongst the chronically poor. But many of the economically active may move in and out of poverty, being vulnerable to spells of poverty on account of either personally specific (idiosyncratic) shocks such as illness or theft or more general (structural) shocks such as conflict, drought, or economic crisis. Households are also more likely to be poor at certain stages of the household life cycle, when there are many young children (being partly responsible for the link between large household size and poverty), or once children have moved away to establish their own households”

This essentially means that in addressing poverty reduction in the African context, one has to be multi-dimensional, especially in political, social, and economic sense. Thus in dealing with environmental conservation and poverty reduction, policies, strategies, and action plans need to look at what is happening on a variety of rural household fronts. This will help us deal with transitory nature of poverty and to avoid poverty traps – mechanisms by which once people become poor they cannot escape it.

As the World Bank observes (2001), the causes of poverty may be classified in several ways: social process; economic, political, social/demographic, and situational (e.g remoteness), level; international, national (macro), and household (micro). Causes may also be primary (political, social, environmental base) or proximate (low rates of economic growth, poor infrastructure etc.). Clearly the link between environmental conservation and poverty reduction is thus undeniable.

⁷

Howard White, Tony Killick, 2001. African poverty at the millennium: causes, complexities, and challenges. . International Bank for Reconstruction.

In analysing policies addressing poverty reduction, the World Bank (2001), comes up with the following principles that have to guide policies for poverty reduction:

- Policy initiatives should be home-grown out of broad-based consensus – strategies need to be designed to fit country-specific circumstances;
- Need to know more about the poor – how different policies can affect different groups of the poor; to collect more and better data, and in the form that can be analysed in relevant groupings, e.g., men and women;
- Need for a comprehensive approach, since undue focus on one element of a poverty-reduction strategy will not work; and
- Government institutional capacity to design and implement programs is often too weak to seriously tackle the causes of poverty.

In addressing the issue of mainstreaming the poverty reduction agenda, Martin Greeley and Rob Jenkins⁸, 2000, state: “the key question is what extent are the interests of the poor better represented in the design and implementation of policies relevant to poverty reduction”. They continue; “a major element in understanding this concerns, the ways in which community participation in government can occur and can thus serve the interests of poor people, who themselves are usually far from being homogenous. Effective participation concerns policy design as well as implementation”

⁸

Martin Greeley and Rob Jenkins, 2000. Mainstreaming the poverty-reduction agenda: Analysis of institutional mechanisms to support pro-poor policy-making and implementation in six African Countries. Institute of Development Studies (IDS), Research Report.

The view of environmental conservation and poverty reduction here implies that, although most interventions to deal with environmental conservation and poverty reduction start as projects, or programs, for more effective and efficient working these must move from projects or programs which have time limits on them to organisational and institutional settings of organisations. This will ensure that environmental conservation and poverty reduction becomes a way of life at least for those organisations that target it. And as these organisations seek to work with others, they need to ensure institutionalisation of an organisational and institutional culture in environmental conservation and poverty reduction that permeates all levels of and interactions in society. Thus the focus of institutionalisation should be on organisations and the relationships they form with other actors, be they in civil society, government or private sectors to deal with environmental conservation and poverty reduction.

1.3 Literature Review

The aforesaid and literature reviewed throughout this study seeks to say that institutionalisation of environmental conservation and poverty reduction has to do with organisations developing strategies to ensure that their attitudes, beliefs, norms, rules and values and other behavioural patterns in relation to environmental conservation and poverty reduction are taken up or adopted by other groups, organisations and institutions for wider acceptance and application. Thus when we talk about institutionalising environmental conservation and poverty reduction, we actually imply that groups, organisations that focus on it being able, or putting in place sustainable mechanisms to influence others to see things their own way, and where necessary apply the same attitudes, behavioural patterns, norms, rules and regulations in dealing with environmental conservation and poverty reduction.

Experience has shown that individuals, groups, organisations have more faith in institutions that exhibit transparency, accountability, consistency, trust, and strategic thinking in addressing issues. So for organisations addressing environmental conservation and poverty reduction to gain the confidence of others, so that others can copy and institutionalise their way of doing things, they must have or be seen to be promoting these values within themselves. And for their behaviours and values to have the necessary convincing power, they must have proven ways and systems that guarantee expected results, and adherence to some acceptable ethical standards. For organisations to demonstrate this, then institutionalisation must be done in such a way that it encompasses participatory situation analysis, strategic thinking and planning, results-based adaptive management, monitoring, evaluation, and feedback.

However even after it has been demonstrated that “conservation and to greater extent poverty reduction strategies cannot evolve and survive in isolation. They must be linked to the larger cultural, economic and administrative environment and to the forces of historical continuity ” (Shekhar Singh, et al, 2000), most of the upcoming organisations that address environmental conservation and poverty reduction in the third world continue to talk of their successes in isolation and not linking them to the wide context of social development within their regions and their countries. For example, while describing successful conservation initiatives in southern Thailand, (Shekhar Singh, et al, 2000), states: “the focus was on building on the strengths of the communities: their existing networks; their social cohesion; their traditional knowledge; their local institutions; and their common vision.....In fact with their current level of skills and capacity, communities feel confident that they can continue to work for improved conservation of coastal resources with or without the help of the NGOs and with or without the support of the government”

This is fine but we do feel here in this study that it is the half truth, the other half is that unless such good lessons and experiences are institutionalised they will neither act as convincing examples nor worthy pursuing elsewhere. Furthermore some form of partnership between government, private sector, and civil society including NGOs is almost inevitable in this regard. Institutionalisation of environmental conservation and poverty reduction within East Africa and as discussed here seeks to promote and entrench these partnerships.

In fact as Hobley, M et al, 1996, demonstrates about Haryana state in India, successes based on one-off actions does not help to change environmental conservation and poverty reduction approaches of others in a convincing and sustainable way and are of little value to the wide society in the long run. “Haryana Joint Forest Management (JFM) programme, once considered a successful model, and recipient of a UNEP award is now seeing the initial gains being frittered away due to arbitrary changes to the benefit-sharing mechanism made by the forest department: rigidity in approach, bureaucracy in the practice of policy; weak partnerships, unequal distribution of benefits, and poor institutional design of partnerships.”

A critical look at the Haryana state would reveal that nothing was appropriately institutionalised for wide application and most of the lessons learnt disappeared with the initial crop of pioneering foresters, when they left their stations or positions. In other words, the programme and the organisations implementing it did nothing to ensure that lessons were captured, and certain behavioural patterns, beliefs, norms and values were documented and fed into the communities and state social development mechanisms to ensure sustainable environmental conservation and subsequently poverty reduction. Mariann Jelinek, 1979, says this of organisations promoting organisational learning and institutionalisation: “organisations accomplish tasks beyond the abilities of their members as individuals, or even as aggregates, because of their coordination”.

It then can be argued that challenges to any institutional dispensation is to know what is expected of the target situation and to work towards it while gathering, analysing and documenting the key issues that need consideration and how the institutional arrangement plans to deal with them in a systematic and systemic way. It can be seen that the Haryana state and other examples of initially successful environmental conservation interventions, failed and continue to fail because they are isolated, and they do not institutionalise within the wider social development circumstances.

This study like Michel Pimbert states in participatory learning and action, issue no. 50, of October 2004, takes the view that, “environmental dynamics and effects (and also poverty reduction- *italics mine*) are usually long-term and their emergent complexity calls for more holistic and trans-disciplinary ways of knowing. Moreover, new ecological knowledge systems need to work with the complexity of ecosystems in a constructivist approach to science, so that innovation and learning becomes embedded in management.” This is in line with the World Bank’s⁹ view of what needs to be done to deal with poverty reduction in any meaningful way. That is promoting opportunity for the poor people to participate more fully in building their assets and addressing poverty; to facilitate poor people’s empowerment by promoting inclusive development and accountable institutions in which the poor people have a voice; and enhancing poor people’s security by helping them to manage risk and shocks. The methodology discussed in this study addresses all aforesaid contextual, organisational, institutional, and process issues in order to deal with institutionalisation of environmental conservation and poverty reduction within East Africa.

⁹ World Bank’s report on Partnerships in Development, progress in the fight against poverty, the World Bank Group, Washington D.C, 2004. p. 7

1.4 The focus of the study

1.4.1 Rationale

This study will focus on the in-depth literature review of past trends, examples from the field in East Africa in the last ten years, analysis of selected upcoming CBOs and local NGOs, and learning from the history of environmental conservation and poverty reduction for the last one hundred years. The study seeks to show that success in environmental conservation and poverty reduction and its potential for replicability lies in the capacity of the involved groups and organisations to influence the external circumstances for institutionalisation of lessons learnt, and certain key behavioural patterns, norms and values necessary for successful and sustained focus on environmental conservation and poverty reduction. A methodology to ensure appropriate institutionalisation will be demonstrated based on the experiences of practice, field exposure, and capacity building facilitation work with practitioners under training situations and fieldwork¹⁰. The analysis of selected CBOs and local NGOs in Chapter 5, sums up what is the central assertion in this study, that is, true institutionalisation of environmental conservation and poverty reduction is demonstrated by the way organisations involved, proactively ensure that certain behavioural patterns, beliefs, norms, and values are in-built and become part of organisational and institutional culture at key decision-making levels in the society.

¹⁰ As earlier alluded to, the experiences and case studies presented in this study come from fieldwork as a practitioner and consultant in participatory natural resource management and governance for the last 10 years in East Africa and preparation of a training program for practitioners on participatory natural resource management, governance and networking based at MS-Training Centre for Development Cooperation, Arusha, Tanzania, East Africa (an on-going training and networking program for practitioners in environmental conservation and poverty reduction in East Africa for the last 5 years).

The methodology is seen as three-pronged. That is, the following needs to take place to ensure institutionalisation of environmental conservation and poverty reduction.

- Participatory actor-oriented situation analysis to understand actors, their motivations and the underlying factors that promote the actors to behave or act in a certain way - key among them are: social, legal, economic, ecological, political and technological (SLEEPT) characteristics of individuals, surroundings and existing groups, organisations, institutions as actors;
- Strategic analysis based on the Strengths, Weaknesses, Opportunities of SLEEPT circumstances – using an interactive matrix, and strategic planning to develop organisational responses to institutional changes in these circumstances based on vision, goals, values and outcomes; and
- Development of a results-based adaptive management and information system to help learning and its institutionalisation in environmental conservation and poverty reduction, based on continuous monitoring, timely evaluation and appropriate feedback.

i Participatory actor-oriented situation analysis to understand actors, their motivations and the underlying factors that promote the actors to behave or act in a certain way

In order to understand why individuals, groups, organisations and institutions behave in certain ways, fail to act in certain ways, or fail to fulfil their mandate in environmental conservation and poverty reduction, it is important to involve them in the whole process from understanding the situation to finding solutions that work. This can only bring accountability, power and security if it is done in a participatory way. Participatory analysis that is actor-oriented puts people at the centre of development, and thus ensures inclusiveness, ownership, and shared responsibility.

Actors start to see where they act wrongly or fail to act rightly from the word go and start asking what they can do even better before outsiders propose to come to their aid. Participatory analysis here is supposed to be done in a way that understands actors structures, strategies, and capabilities in dealing with environmental conservation and poverty reduction. To ensure that it does not result into increased marginalisation of the poor and vulnerable, it goes beyond this and addresses issues related to the process as raised and discussed earlier. That is, who gives meaning, how is knowledge generated and used, how is power acquired and exercised, and how do actors work together as collectivities to address environmental conservation and poverty reduction. Further more it looks at the underlying key factors that may undermine any efforts to address environmental conservation and poverty reduction and its institutionalisation. It looks at the key factors among them: social, legal, ecological, economic, political and technological factors. The levels and influence of these factors indicate to a greater degree how actor interests are promoted or undermined, and how influence is used or peddled. It is the way the process of participatory actor-oriented situational analysis is done, and its focus and emphasis that make it stand out from other ways of doing participatory process and action. Details of how this process works are given in chapter 3 through examples from the field, and summarised in chapter 4 as part of the whole methodology.

ii Strategic analysis based on the Strengths, Weaknesses, Opportunities (SWOT) of SLEEPT circumstances – using an interactive matrix

Most SWOT analyses of individuals, groups, organisations and institutions in environmental conservation and poverty reduction do not go a step further to understand how strengths, weaknesses, opportunities, and threats interact to influence how actors can or could react to environmental conservation and poverty reduction in any given situation. This is despite the fact that there are 24 ways these interactions could express themselves. The use of interactive matrix to analyse SWOT as described in chapter 4, which has come up as a result of interaction of environmental conservation and poverty reduction practitioners during their training in the MS-Training Centre for Development Cooperation training programme, is very useful in addressing organisational requirements in the institutionalisation of environmental conservation and poverty reduction. The interactive matrix enables organisations as they think about institutional arrangements suitable for them in environmental conservation and poverty reduction, and it helps them focus their efforts where it matters most in terms of their strengths, weaknesses, opportunities and threats and those of their partners. It opens room for effective capacity building of actors to address their interests and improve their influence in environmental conservation and poverty reduction. This is one aspect that has been lacking in earlier efforts and it enhances the capacity of actors and the process to address institutionalisation more effectively especially at key decision-making levels of grassroots, district, and national, because it makes actors more aware of themselves and others.

iii Development of a results-based adaptive management and information system to help learning and its institutionalisation in environmental conservation and poverty reduction

Actors and key decision-makers especially on policy and practice in institutionalisation of environmental conservation and poverty reduction be they individuals, groups, organisations and institutions want and look for convincing evidence that things can work or they could be better. Without clear and objective ways and systems of learning and looking for and demonstrating results, people are always reluctant to taken necessary actions.

In diverse, complex and risk prone undertakings like environmental conservation and poverty reduction, learning is more effective if generated in an iterative and progressive manner and applied in an adaptive way. This is because actors apply new ideas based on conceptualisation and context and in an adaptive manner, not in a copy and paste approach as sometimes suggested by the way we approach environmental conservation and poverty reduction. Neither do they leave their old ways of doing things in an on-and-off way, they often have to find adequate justification based on available information before they can move on and change in new directions. The idea of adaptive management is explained in chapter 4 using an example from East Africa (Arabuko Sokoke Forest Reserve, in Kenya – however in this case the limitations are that results-based information system is lacking). There is therefore need to develop results-based adaptive management and information systems based on lessons and directions from practice for cases like Arabuko Sokoke. This discussion is part of chapter 4.

The methodology discussed in this study requires that three things become cross-cutting for effective and efficient institutionalisation of environmental conservation and poverty reduction to take place. These are empowerment of the poor and marginalised, democratic decentralisation of resources management, and good local governance.

Empowerment is seen here as: “about collective community, and ultimately class conscientization, to critically understand reality in order to use the power which even the powerless do possess, so as to challenge the powerful and ultimately to transform that reality through conscious political struggles.” (Graig and Mayo 1995)¹¹

People’s empowerment can manifest itself in three broad areas:

- Power through greater confidence in one’s ability to successfully undertake some form of action;
- Power in terms of increasing relations which people establish with other organisations; and
- Power as a result of increasing access to economic resources, such as credit and inputs.

Empowerment is seen here to comprise the following dimensions especially in environmental conservation and poverty reduction:

a. Well being: Enhancing poor people’s possibilities of meeting their basic material needs, like food supply, income and health;

b. Awareness: Aiming at moving people towards self-esteem and dignity so that they are able to challenge the structural and institutional causes of poverty;

¹¹ This is from : Peter Oakley and Andrew Clayton: The monitoring and evaluation of empowerment, a resource document INTRAC, Oxford July 2000 (pp3-4)

c. Participation in decision-making processes: civic awareness and education of the community in order to push for increased representation in decision-making bodies, which will lead to greater control as community members become active agents, and not passive recipients or beneficiaries;

d. Access: challenging systems, laws, customs and values that block poor people's access to resources, such as knowledge, land, water, wildlife, minerals, fish, labour, employment and capital;

e. Control: Enhancing communities' possibilities of gaining control of resources and initiatives concerning their own development; and

f. Ownership: having a sense of self realisation, belonging, and increased self-esteem and self-reliance, being able seek and have what is necessary to make a sustainable livelihood. Being able to claim own identity and sense of oneness with the rest of creation.

Democratic decentralisation which is part of the discussions in chapter 3 and 4, is seen here also as a key element that has lacked in earlier attempts at institutionalisation of environmental conservation and poverty reduction. First because of inadequate policy and practice on popular participation, second because of inadequate or lack of political will on the part of the governed and the governing within East Africa to take roles and responsibilities in institutionalisation of environmental conservation and poverty reduction particularly and seriously, and third because organisations promoting institutionalisation of environmental conservation and poverty reduction have not been effective in targeting key decision-making levels within East Africa; that is, grassroots, district and national, in order to entrench behavioural patterns, beliefs, norms and practices that are desirable to achieve better results.

Democratic decentralisation as discussed in this study could be defined as: taking place when powers and resources are transferred to authorities representative of and downwardly accountable to local populations¹². It is seen to be in place when: We work with local democratic institutions as a first priority; there is sufficient and appropriate transfer of powers as secure rights on resources; we support equity and justice; we establish minimum environmental standards; we establish fair and accessible adjudication; we support local civic awareness and education; we give decentralisation time; we develop indicators for monitoring and evaluating decentralisation and its outcomes.

Good local environmental governance implies, the way in which societies manage their environmental conservation and poverty reduction affairs. It is a continuing process through which conflicts are resolved, diverse interests are negotiated and accommodated, and cooperative action is undertaken. Governance determines how power and responsibility are exercised in environmental conservation and poverty reduction¹³. Good local environmental governance is seen to be in place when: processes are participatory and are consensus-oriented; there is transparency and accountability in the way things are done; systems are effective, efficient, equitable and inclusive and minorities and marginalised people's opinions are considered as important and there is existence of human rights, rule of law in environmental conservation and poverty reduction.

From the afore-going discussion on empowerment, democratic decentralisation, and good local environmental governance, it should be clear that the three-pronged methodology discussed here will not only promoted them, but will also ensure that they are entrenched.

¹² This is from: Jesse C. Ribot 2002. Democratic Decentralisation of Natural Resources. Institutionalizing Popular Participation. World Resources Institute, p. 4.

¹³ See also: Jesse C. Ribot (ed), February 2003. Environmental Governance in Africa working papers: WP No. 9: Decentralisation and wildlife management: Devolving Rights or Shedding Responsibility? Bwindi Impenetrable National Park, Uganda, by Agrippinah Namara and Xavier Nsabagasani. World Resources Institute, Wahsington D.C. The USA, pp. iv + 44.

1.4.2 Study design and methodology

The objectives of this study are:

- 1 To determine the status and extent of institutionalisation of environmental conservation and poverty reduction within East Africa through presentation of examples;
- 2 To determine any further institutionalisation requirements, with respect to the recommended methodology in ensuring sustainable institutionalisation of environmental conservation and poverty reduction through analysis of the practice of selected CBOs and local NGOs;
- 3 To identify current practices compatible and also none-compatible with sustainable institutionalisation of environmental conservation and poverty reduction; and
- 4 To recommend strategic thinking and results-based adaptive management strategies for sustainable long-term institutionalisation of environmental conservation and poverty reduction in the East African Region based on the analysis, findings, and lessons from presented examples.

The flow of the study is such that each chapter invites the reader to engage in a mode of thinking that generates important insights of time trends in environmental conservation and poverty reduction within East Africa, and the limitations at each point of the journey. It aims at letting the reader appreciate the historical perspectives of environmental conservation and poverty reduction, and recognise the weaknesses that are inherent in some of the ways things are done, especially those social, legal, economic, political and technological weaknesses that result from biased, disjointed, uninformed and poorly coordinated environmental conservation and poverty reduction interventions.

The message of this study is fairly simple: All development is progressional and for the bits and pieces of this progress to add up positively, there is need to base the choice of development interventions on full participation, mutual understanding, inclusive solutions, and shared responsibility especially with the poor and marginalised, who essentially are the rate-determining step in the social progress chain. The ultimate aim is to open dialogue, extend horizons, and create a world where even the poor and marginalised have something to see, say and do for the benefit of environmental conservation and poverty reduction.

1.5 Study phases

The study coverage is limited by cost implications and the need for in-depth thorough analysis, thus the study proposes to deal with in-depth analysis of available literature on environmental conservation and poverty reduction within East Africa. And also to extensively use the experiences of practitioners and practical work in the field within East Africa. Then supplement this with analysis of questionnaire-based survey of selected CBOs and local NGOs within the three countries of East Africa (Kenya, Tanzania and Uganda). The phases of the study are:

1.5.1 Preparatory phase

The first phase will involve the drafting of study protocols and questionnaire, and making contact with practitioners who have come to the training programme based at MS-Training Centre for Development Cooperation in Arusha, Tanzania, to pre-test the questionnaire and also assist in administering it.

1.5.2 In-depth data and information collection phase

Available literature on experiences and examples within East Africa will be collected and analysed, and put together for the study. Additionally the questionnaire will be administered to between 60 and 120 selected CBOs and local NGOs as respondents within East Africa.

The selection of the CBOs and local NGOs will be based on those CBOs and local NGOs that have come into contact with practitioners that have been trained at MS-Training Centre for Development Cooperation on participatory natural resource management and governance.

The questionnaire focus is on CBOs and local NGOs because they are the key partners to the government in environmental conservation and poverty reduction in East Africa. Also being part of Civil Society in East Africa, they are the appropriate organisations to ensure that governments are transparent, accountable, and responsive to people's needs in environmental conservation and poverty reduction, and thus they need to "clean" their house first. The questionnaire uses four areas of CBO or local NGO organisational and institutional characterisation to indicate whether the concerned CBO or local NGO is on the right track on institutionalisation of environmental conservation and poverty reduction in the geographical or administrative area it is working in. These areas of characterisation are: the CBO's or local NGO's identity; the level of strategic thinking, analysis and planning within the CBO or local NGO; the learning organisational and institutional culture of the CBO or local NGO; and the CBO's or local NGO's approach to results-based adaptive management and information gathering, utilisation and dissemination to influence behavioural patterns, beliefs, norms and practices of other key actors at grassroots, district and national levels. The hypothesis of the analysis is that if a CBO or a local NGO is good in all these areas of characterisation, then it is also in the lead in contributing to and being taken serious by other actors at its level of operation in institutionalisation of environmental conservation and poverty reduction. And under such circumstances institutionalisation of environmental conservation and poverty reduction is proceeding on well, because the resultant empowerment, democratic decentralisation and good local environmental governance focus, makes the government and other actors more alert, accountable, and transparent in environmental conservation and poverty reduction.

Thus such CBOs and local NGOs are offering new directions from the field in environmental conservation and poverty reduction within East Africa.

1.5.3 Data analysis and write-up phase

The final phase of the study will involve data analyses of the results, which will be followed by the writing up of the final report.

1.6 The structure of the document

The chapters that follow the introduction and background in this document discuss the following:

Chapter 2, explores the historical perspective in environmental conservation and poverty reduction through the pre-colonial, colonial and independence periods within East Africa. The discussion in this chapter illustrates how poor understanding of the existing conditions, lack of appreciation of what the people are doing, top-down approaches, disjointed efforts in environmental conservation and poverty reduction have repentantly failed to realise expected results. During the pre-colonial era good thinking and intentions of actors failed to make a lot of difference in institutionalisation of environmental conservation and poverty reduction due to poor strategic analysis, planning, and poor results-based adaptive management information systems. This resulted in them being unable to influence thinking, analysis and planning during the colonial era to any significant depth. During the colonial era poor understanding and appreciation of the contribution of other players on the part of the governments of the day, short-term interests of communities and colonialists alike, and desire for quick fix solutions in a volatile political and policy environment failed institutionalisation of environmental conservation and poverty reduction even when the desire was there and the benefits apparent.

In the independence era, challenges of capacity, and desire for total control by the new governments resulted in top-down authoritarian solutions to environmental conservation and poverty reduction challenges and opportunities. This went on up to the late 1970s, especially after the United Nations Stockholm Conference on Environment and Development and the realisation that without proper environmental conservation and substantial reductions in world poverty, sustainable development for the world will remain a distant dream. Also after the late 1970s due to changes in the world economy, words like equity, participation, empowerment, democracy, and good governance gained credence, and an honest search for better ways of doing development began in earnest. So the need for institutionalisation of environmental conservation and poverty reduction began to be felt especially at grassroots level where the damage to environmental resources was taking its greatest toll. However at this point in time institutionalisation was seen as just creation of institutions, and getting into some kind of institutional arrangement to deal with environmental conservation and poverty reduction. But with the increase in democratic space and more participatory methods in development in the 1980s and 1990s, there came a need for transparent, accountable and responsive systems of governance – the need for good local environmental governance. This increased the understanding and appreciation of how the poor deal with their predicaments and address issues of poverty, marginalisation and vulnerability. By the end of the 1990s it was clear that institutions and institutional arrangements without focusing on what behavioural patterns, beliefs, norms and rules of practice we institutionalised at critical decision-making levels in society and the related accountability, power and security of stakeholders especially the poor and marginalised, will not ensure sustainable environmental conservation and poverty reduction. This is when the new search for better ways to ensure empowerment and democratic decentralisation began in the early 2000's and the momentum continues.

Chapter 3 discusses how lessons of the 1990s and early years of this decade are being integrated to shape policy and practice in environmental conservation and poverty reduction. The search for and the need to be more clear on which directions we need to take are illustrated by cases of experience from Kenya plus experiences and lessons from Nepal, from which East Africans are learning how to deal with institutionalisation of environmental conservation and poverty reduction. It is also clear that unless empowerment, democratic decentralisation, and good local environmental governance take roots, institutionalisation of environmental conservation and poverty reduction will always be difficult to attain. The partnerships between civil society organisations, government, and private sector that are emerging during the 2000's need to be guided by certain value systems that are entrenched at key decision-making levels if institutionalisation of environmental conservation and poverty reduction will become reality. Peoples' and corporate actors need to make certain desirable traits and values part of their livelihoods and lifestyles just as the case was in communities before the advent of colonialists in East Africa, only that this time we will need ways to ensure results-based adaptive management information systems to inform and guide future generations on the path we have chosen for ourselves. These discussions and others are the material for chapter 3.

Chapter 4, explains in details through illustrations how the experiences and lessons of the past are informing the development of a methodology and frameworks to exhaustively think through, analyse, plan, monitor, assess, document and give feedback on environmental conservation and poverty reduction at critical decision-making levels in East Africa, that is grassroots, district and national levels. This methodology is inspired by the successes of practitioners in environmental conservation and poverty reduction who are using it in the field and giving feedback to others to map new directions in East Africa for environmental conservation and poverty reduction.

These lessons of practice are the lessons of the MS-training centre for development cooperation based practitioners training and networking program on participatory natural resource management and governance. They are being used by practitioners at the three levels (grassroots, district, and national levels) to ensure that empowerment, democratic decentralisation, and good local environmental governance become a reality especially through the emerging partnerships between civil society organisations, government, and private sector actors. Chapter 4 explains how the methodology works and its implications for CBOs and NGOs in the institutionalisation of environmental conservation and poverty reduction within East Africa.

Chapter 5, addresses the empirical analysis of the questionnaire results, in order to understand how certain characterisation of CBOs or local NGOs can speed the process of institutionalisation of environmental conservation and poverty reduction in East Africa. The focus in this analysis is on CBOs and local NGOs because they are the key organisations currently driving this process in East Africa, outside the government, and also as members of the civil society in East Africa, they are in a better place to ensure accountability, balance of power and equity, transparent, and security for the poor and marginalised people by consistently challenging governments to live to the expectations of their citizens. But for them to achieve this they need to have certain traits, and the analysis in this chapter seeks to show the significance of these traits in ensuring institutionalisation of environmental conservation and poverty reduction.

The last Chapter, chapter 6, deals with conclusions and recommendations from this study, and suggests several ways we can deal with the challenges and opportunities in the future, because as is central to this study all development is incremental and progressional but it should avoid at all times being disconnected and disjointed, for that increases uncertain in the complex, diverse, and risk prone undertaking that is institutionalisation of environmental conservation and poverty reduction.

CHAPTER 2: HISTORICAL PERSPECTIVE OF ENVIRONMENTAL CONSERVATION AND POVERTY REDUCTION IN EAST AFRICA

2.1 Introduction

This chapter looks at East Africa's diversity and dynamism, and shows how the people and environments have interacted over time and space to influence environmental conservation and address poverty reduction, sometimes inadvertently.

An historical perspective to understanding environmental conservation and poverty reduction is apt here because, up to now the popular image of East Africa, and Africa in general is the land of “Zanj” – the land of black people, darkness, and backwardness. This is how one recent publication describes Africa, and by implication East Africa:

“More recently, tropical Africa has become synonymous with famine, drought, poverty and many other problems, a region characterized by little progress in economic, social or cultural development” – Tony Binns; 1994: pg 1

In the above light, Africa, and East Africa is seen as homogenous, monolithic in character and orientation and static, and not changing in any substantive way at all. This kind of generalisation unfortunately ignores the great physical and human diversity of African and specifically here East African environments, and fails to appreciate the complex historical processes which underlie this diversity.

According to Ssekamwa. J.C., 1984: pp7-8, East Africa (Kenya, Tanzania and Uganda) covers 1,670,000 square kilometres. It is bordered to east by the Indian Ocean, to the west by democratic republic of Congo (former Zaire), Rwanda and Burundi, to the north by Somalia, Sudan, and Ethiopia, and to the south; Zambia, Malawi and Mozambique. It essentially lies between Longitudes 10° South and 5° North, and latitudes 30° East and 40° East (Map 2.1 – Showing Africa and position of East Africa, and Map 2.2 – Showing the three East African Countries).

Climate defines the flora and fauna of this great expanse of land. East Africa can broadly be divided into three climatic and vegetation zones. The first zone includes the coastal strip along the shores of the Indian Ocean and the lake Victoria region where the climate is semi-tropical and humid, with plenty of rain. This has given rise to agricultural and fishing communities. The second Zone is the central plateau. From central Uganda, central Tanzania along the Great Rift Valley through central to northern Kenya. This area was mainly settled by pastoral communities who move in search of water and grass for their livestock. The third Zone is the semi-temperate mountain regions where the climate is cooler and healthier. This includes the highlands of central and western Kenya; eastern and southern Tanzania; and in Uganda the slopes of Ruwenzoris and western slopes of Mt. Elgon. These areas are have been settled by communities that are both livestock keepers and agriculturists.

Additionally the large Lakes chain within East Africa and the Indian Ocean define the marine life and the micro-climate of the areas within which they are found. Lake Victoria, the third largest lake in the world lies in the middle, with the Indian ocean to the east and two chains of lakes: one on the eastern Rift Valley and the other on the western Rift Valley.

On the eastern Rift Valley we have Lake Turkana, Lake Baringo, Lake Natron, Lake Eyasi, Lake Manyara, Lake Rukwa, and Lake Naivasha. On the western Rift Valley we have; Lake Albert, Lake Edward, Lake Kivu and Lake Tanganyika (Map 2.3 – Showing the Climatic and Vegetation Zones of East Africa).

Historically within East Africa, climatic changes affected both human, fauna and flora populations, condition and the interactions between them (Ogot, B.A., (ed), 1976: pp 20-21). It would appear that during wetter climatic times populations would be forced from the humid forested areas, which were at such time unhealthy and inhabitable. This would reverse during drier climatic times; populations would move close to water sources, higher altitudes, and the previously forested areas which, were now open woodland or parkland savanna (Ogot, B.A.,1976: 20). It would thus imply that essentially human population cultures alternated between sedentariness and transhumance, and therefore there were no cultures that were static. Environmental conservation and poverty reduction – as seen through the livelihood strategies people adapted could thus not be static, and obviously were influenced to a great extent by the ideas gathered as people alternated from one climatic time to another, and from one geographical position to another.

2.2 Pre-Colonial Era

East Africa as a geopolitical entity did not exist during the pre-colonial era, this makes it a bit difficult to discuss environmental conservation and poverty reduction within East Africa in the pre-colonial era. However, we can look at it from the perspective of the communities that occupied the geographical area that has come to be known as East Africa.

These communities can be looked at from the understanding of the geographical areas they occupied and the attendant climatic conditions that essentially dictated the lifestyles they adopted, or from the socio-political systems they practised which affected the way they looked at environment and their livelihoods (essentially poverty reduction or material wealth creation) – Map 2.4 – Showing the peoples of East Africa.

Literature review, and contemporary thinking explicitly suggest that communities' approaches to environmental conservation and poverty reduction (here also referred to as material wealth creation) were guided by the way they viewed land and land resources. Throughout history two views of land and land resources have persisted: the first one being that land and land resources are seen as God given and thus upon God's benevolence to deliver them to those he sees as faithful and fitting to get his blessings; another view is that land and land resources can actually be tamed, manipulated to satisfy man's development needs and thus active man-made measures are necessary in interacting with land and land resources. The first view seemed to be the predominant view during pre-colonial times within the region currently referred to as East Africa, however the second view would later come to dominate the colonial and independence times due to exposure to new ideas and rapid changes in technology to manipulate land and land resources.

In relation to land and land resources conservation and sustainable livelihood support¹⁴ (poverty reduction) broadly speaking there existed two types of political organisations: large and small scale polities (Kabwegyere, T.B., in Ogot, B.A., (ed), 1976: p113). All the Kingdom areas (Buganda – Uganda; Bunyoro – Uganda; Unyanyembe – central Tanzania, and others) belong to the large polities, and the other types of communities – which could be referred to as egalitarian in organisation because they were organised around closely knit kinship groups strongly bound by generation systems and initiation rituals, but without centralised systems of governance (Ochieng, H.R., 1985 p. 44), belong to the small scale polities (examples are: the Kamba of eastern Kenya, the Maasai of Kenya and Tanzania, the Iteso of Kenya and Uganda etc). In the large scale polities the King had the power to appoint agents (chiefs) to rule on his behalf, and people paid tribute to their chiefs. However land in such kingdoms belonged to the King only in name, and thus he could not be referred to as a feudal lord in the European sense. In both large and small-scale polities every individual had a right to occupation and use of land. This was derived from his status as a member of a kinship group – or from his position as a subject of either that particular chief or some other chief in the political hierarchy (Mukwaya, A.B., 1953: p14). Generally it would appear that the environment had a role to play in the formation of some of the large and small-scale polities, especially at the beginning. As Forde C. Daryll., 1934: p 460, states the environment, the availability of resources, and the growth of political organisation were all closely correlated.

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If we define sustainable livelihood as a livelihood that can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (DfID, April 1999. sustainable livelihoods guidance sheets, Section 1. Department for International Development, 94 Victoria Street London). Then poverty reduction, wealth creation, and livelihood support seems to have been addressed as a composite during this time, not discrete and separate issues. This fusion actually needs to challenge us to look at how we deal with poverty reduction currently. That is: do we adopt strategies that stop people from falling into poverty, retaining them on the upper-side of the poverty-line, or do we adopt strategies focusing on moving people en-mass from poverty upwards. It can be argued that during the pre-colonial era, there seemed to be a two-pronged approach, using strategies from both sides. We may need to ask ourselves at this point in time, whether a two-pronged approach is better than one-prong approach: we simultaneously develop strategies to stop people falling into poverty at the same time with developing strategies to continually move people from poverty.

Situations in which resources were scarce, and the landscape harsh, retarded the growth of formal and well-defined organisations, whereas poor and cramping environments set limits to political organisation.

Concerning land and land resources access, ownership and control and creation of material wealth (what we would call poverty reduction), this is how T.B. Kabwegyere, in B.A. Ogot (ed), 1976:p115, sees it:

“In both the small and large scale polities, the corporate economic unit was the household or extended family, a group that was often larger than the conjugal family but never approximate to the clan. The community controlled the territory in their use. This community may be part of a large unit, in which case one could talk of clan land in that if anybody from outside this unit wanted to encroach on this land there was collective mobilisation to stop the invasion. All in all, however, it is recognised that there was no individual land ownership where an individual could claim a piece of land in perpetuity. If land became scarce as a result of increased population, a schism on the basis of kinship units took place and a section migrated or the whole community moved or conquered its neighbours for more land depending on the community's social cohesion and collective solidarity and the means of combat at their disposal”

In line with the above thinking and practice it would appear that poverty reduction (livelihood support) was hinged on the extended family as a member of the community, thus extended families ensured that all members of their group were really catered for, before it could seek support from the rest of the community. Thus the needs of environmental conservation and poverty reduction were addressed by the extended family on behalf of the community, and where need be community came in to support the extended family. Using deductive thinking, it may be inferred that environmental conservation and poverty reduction were seen as two necessary dimensions of livelihood support. Actually looking at what little exists about the two at the time, it would appear that livelihood support implied environmental conservation and poverty reduction, and that livelihood support dealt with both wealth creation at individual and collective levels, with the primary focus as the extended family which was seen as the first tier of the community and society.

However, not much appears in literature about environmental conservation and poverty reduction (creation of material wealth) within East Africa during the pre-colonial era. What is available suggests that the communities living in this part of the world at that time were well conversant with intricate ways of ensuring harmonious existence between themselves, their environment, and maintenance of sustainable livelihoods. Speaking of the Maasai of southern Kenya, Dhyani J Berger, 1993, pp 16-45, states; “ ...the Maasai are educated through the experience of living in their surroundings to become good observers of natural processes such as seasonal change, weather and wildlife habits...they are “natural ecologists”.

In their view of their place in the universe, the Maasai do not see themselves as having dominion over nature rather they see themselves as part of it benefiting from it by the grace of God. This kind of perspective like most other communities within East Africa at that time has had profound effect on how the Maasai see man's exploitation of nature to create material wealth. And also according to this view the conservation of nature (environmental conservation) had to be sanctioned by the gods, thus and not surprisingly so, most leadership, ideas, knowledge and processes to conserve nature came from traditional medicine people, spiritual leaders, and others who were seen to have the capacity to communicate with ancestral spirits and gods, and to intercede on behalf of their fellow human beings. A lot of what they said was rarely challenged, moreover the traditional leadership of the time could hardly question directions from spiritual leaders because of the fear of the known and avoiding being excommunicated from the spirits of the ancestors, which according to them would result in their downfall. In these communities, traditional leadership was often in the hands of ex-medicine people and great seers.

In strengthening conservation cultures: local communities and biodiversity conservation, Shekhar Singh, et al, 2000, pp 18-19 acknowledges that, “what was most striking about traditional conservation initiatives is their efficacy. Even today, after a hundred years of degradation, some of the best-protected areas across the world are those that were protected by traditional communities as sacred sites”. Bulk of literature and archaeological evidence suggests that these conservation efforts were deliberate both in order to conserve and preserve certain sites, species and breeds of organisms, and also to appease mother nature in order to continue supporting good health and well-being of the communities concerned. For example among the Maasai this kind of approach can be seen in the way they name some small plains game: inkineji e Nkai (the goats of god) and inkishu e Nkai (“the cattle of god”) – Dhyrani J. Berger, 1993: p 24. The system used to perpetuate these ideas through divine seers and fortune-tellers was inadequate to deal with changing times and circumstances. This is because it limits the scope for learning, and room for manoeuvring when applied to diverse, complex and multi-stakeholder national, regional, and international situations.

It is obvious so far that in the pre-colonial era and within East Africa, communities saw the need for environmental conservation in order to maintain sustainable livelihoods (create material wealth and reduce poverty). But it seems that although their approaches to conservation and poverty reduction were vested within certain traditional institutions, these institutions essentially lacked the “learning organisation’s approach” to environmental conservation and poverty reduction. For example there was over-reliance on small groups of people representing religious and other institutional authority in the society to decide on what specific areas or species must be conserved; who may be due to limited capacity, the social reality of the time and prevailing belief systems invoke divine sanction in order to avoid lengthy and time-consuming explanations as to why certain sites, species and breeds of organisms needed to be conserved.

However by advocating the above kind of approach to environmental conservation and poverty reduction, these custodians of community environmental conservation and poverty reduction failed to set an inter-generational and inter-spatial “learning approach” to environmental conservation and poverty reduction. This meant that when faced with new challenges and unfamiliar circumstances, they relied more on their collective memory than any documented evidence that was free from individual subjectivity and biases.

In fact more often than not, individual misfortunes related to external environment, and natural calamities like earthquakes, floods, droughts, storms, forest fires, landslides, which affected the whole community were postulated as retribution of God or nature, on those who defied the law. In the absence of empirical evidence, and lack of a “learning organisation’s” approach to issues that transcended generation and space barriers, speculation fuelled by half-baked, time-stressed, emotionally dimmed memories of the older generation was taken as the truth. Under such circumstances, it was difficult to pass completely objective ideas, concepts, and facts through the generations and assist objective collective learning of the communities over time and space.

With critical and valuable environmental conservation and poverty reduction knowledge entrusted with such a small group, limited accessibility to others, inadequate objective preservation of knowledge, highly limited shared frame of reference, it is extremely difficult while looking at some of the chosen line of action to say: who formulated the strategy, what was the need for such a strategy, how was the strategy determined to be optimal, and how was acceptance of the strategy by the community, and their participation ensured. Needless to say this resulted into some disjointed organisational and institutional learning that sometimes negatively affected effective institutionalisation of environmental conservation and poverty reduction during the pre-colonial era within East Africa.

For effective institutionalisation of environmental conservation and poverty reduction must include of necessity: thinking through what is being done and for what purpose – not just mechanically doing it – this helps coordination, forecasting, and control and enables actors to be proactive not reactive; systematising what needs to be done for learning and replicability for the future; and ensuring empowerment, specialisation, and inter-changeability of actor roles and responsibilities over space and time.

Looking at the differentiation of society into public, private and civil society sectors (please note that; International NGOs, National NGOs, Local NGOs and Community-Based Organisations are civil society organisations in this discussion) we can say that such differentiation never existed. The way communities governed or were governed does not show any distinctions between public, private, and civil good. This can also be said of environmental conservation and poverty reduction, which seems to have had a livelihoods approach, that is, looking at the totality of what was desirable to achieve a sustainable way of life - essentially based on natural resources. Leadership for environmental conservation and poverty reduction was coming from certain social groups based on the age-set system working in cohorts with other traditional structures determining social realisation. For example, within the Kamba ethnic group (essentially hunters and livestock keepers at this time) of eastern Kenya, we find labour-sharing (resource-pooling) groups doing certain communal work related to environmental conservation and support to less fortunate members of the community (Mary Tiffen, et al, 1994: 131-154). We also find social groups especially among the women, concerned with collection of firewood and water, in which the older women act as trainers for the young women on the traditions related to when, where, what and how to collect firewood and water in order not to disturb the spirits of the ancestors and the gods.

Also within the Kamba and some hunter-gatherer communities like the Hadzabe of central Tanzania, we had hunting parties which were led and guided by members of the older generation in order to pass skills in wildlife conservation especially what animals to hunt, at what age, and where, to the young generation. Training and education on environmental conservation and poverty reduction during the pre-colonial era seems to have come from the family, mutual help groups, local leadership, traditional beliefs, travel and exposure.

2.3 Colonial Era

The colonial era within East Africa; a period covering about sixty years from 1900 to 1960, probably has defined the way environmental conservation and poverty reduction is looked at today in East Africa more than any other period of history. It is important to note that when we talk about the colonial era, we are not merely talking about interaction with external people with superior military technologies through trade, and socio-cultural exchange as the Arabs, Indians, and other eastern people interacted with communities within East Africa for centuries. The colonial era here represents the period when the area we now know as East Africa, becomes officially controlled economically and politically by external forces. This is the time Kenya and Uganda are declared British protectorate, and Tanganyika (current mainland Tanzania) is put under the Germans and eventually under the British through League of Nations Trusteeship mandate, after World War I and the defeat of the Germans by the Allied Forces.

In terms of environmental conservation and poverty reduction, the colonial era is the time East Africa (Kenya, Uganda, and Tanzania) is clearly delineated as a geographical and political entity. It is also the time when scientific environmental conservation gets into east Africa, in the name of protected areas and community conservation. This type of conservation borrows a lot from mythical European beliefs in pristine environments, and human being as having dominion over all things in the Universe.

It is a belief system that by the end of the colonial era leaves communities thoroughly alienated from their environments and the links they had with other life forms in terms of conservation and livelihood development jeopardised.

In evaluating conservation, it is helpful to understand the legacy of early scientific ideas and conservation “ideologies” through the colonial era (Dhyrani J. Berger, 1993: p 8). The colonial era had two themes that characterised conservation at that time- 1900 upto 1960. We have between 1990 and 1945 what could be called “Pioneering protection”, a time in which explorers, adventurers and missionaries arrive in East Africa, kill a lot of the “big” game species. The other time-period – 1945 to 1960 - is the “preservation through parks”, “game reserves” and “forest reserves, which seems to be fuelled by a guilty conscience on the part of the colonialists, and the urge to pay back for the earlier big slaughter period. We see anti-poaching action against subsistence hunters, and declaration of big chunks of communal land as out of bound for communities thus permanently disrupting their livelihood cycles – initiating a vicious poverty creation cycle amongst people who essentially depended on natural resources for sustainable livelihoods.

Another damage is done during the colonial era as far as environmental conservation and poverty reduction is concerned: no attention is paid to the ways communities were doing environmental conservation and poverty reduction before the arrival of the colonialists. Although this cannot be wholly blamed on the colonialists, because indigenous systems in themselves lacked means of perpetuation in objective ways. The colonialists seemed to be aware of the damage and degree of alienation this will cause amongst communities. Most communities get disoriented in dealing with environment and development. Talking about wildlife conservation, Dhyrani. J. Berger, 1993 states: “Colonial conservation policy baffled and angered the indigenous population.

Insensitivity to local needs was exemplified by anti-poaching campaign in Tsavo (Kenya), which is said to have destroyed the Waliangulu people who depended on elephant hunting for their livelihood". To add insult to injury, areas outside protected areas, were given to modern farming which tended to emphasise maximum exploitation, and not sustainable management, as the case was during the pre-colonial era. This coupled with limited mobility for communities due to forceful acquisition of land by the colonialists and confinement into native reserves reduced the variability and diversity of ecosystems resulting more often than not into depletion of indigenous species, and in some cases their extinction.

Apparently the colonial period was not ready to learn or was not keen to look back into the pre-colonial times to borrow or to adopt measures that could have been useful in environmental conservation and poverty reduction in the future. The case of Ngorongoro and Serengeti in Rift Valley Tanzania, illustrates the point further and more vividly (Nina Johnsen, in Vigdis Broch-Due et al – eds: pp 148-172):

"The demarcation of Serengeti National Park and Ngorongoro Conservation Area as discrete and bounded, if unfenced units of nature preserved for the benefit of the global community has meant that the pastoral Maasai customary inhabitants, while locked within imaginary but nevertheless real boundaries, in practice become de-territorialized to the point that not only has their cattle economy broken down but their customary mechanisms of mutual self-help in times of individual destitution have been disrupted.....Hunger is now a chronic condition for the pastoralists in Ngorongoro Conservation area, and management has frequently voiced the point of view that the only possible long term solution to the problems of the approximately forty thousand Maasai is relocation outside the park area.....while not wishing to romanticise indigenous cultures as inherently closer to nature or more ecologically sound per se, I nevertheless do propose that a major reason for the present state of affairs in Ngorongoro Conservation Area stems from a failure to comprehend the processual interrelatedness of Maasai territoriality and spatial distribution of wildlife"

It would appear that in Ngorongoro, the management of the conservation area have ignored the fact that the reason why it was set out as a multiple land use zone was the recognition of the harmonious interaction between man and biosphere (Homewood and Rodgers 1991: p 2).

In Uganda, similar occurrences took place. There was argued need to separate the people from conservation and conservation areas using the American “fortress conservation” model, where people are seen as a threat to biodiversity (environmental) conservation. The expulsion of people from Queen Elizabeth National Park, in 1952 is a good example of this.

It is clear from the foregoing discussion that environmental conservation and poverty reduction at the community level began a separation journey during the colonial era in East Africa. Communities are no longer seen as relevant in conservation, and traditional ways of conservation and poverty reduction are not even being acknowledged. What results is disillusionment and discontent, and the view that natural resources were now part of the problems the communities were facing. The harmonious relationship the communities had with their natural resources starts to dissipate. For example with the formation parks in Maasailand - Kenya, which prohibit the Maasai from using important dry season grazing land and water resources, the Maasai started seeing wildlife as a competitor (Dhyrani, J. Berger, 1993: p 25). From this point on-wards the Maasai do not see a lot of linkage between environmental conservation and their livelihoods (poverty reduction). Most of the policy and legislation during the colonial era concerning environmental conservation (agriculture, forestry, fisheries, mining and wildlife) was externally driven. Key drivers in this process are External donors to nature conservation like USAID, World Wildlife Fund, and International Union for Conservation of Nature, Commonwealth Secretariat, and Western Nature Conservation interest groups.

The actors and the process have very little regard for the local communities, and the local communities feel lost and angered. This anger becomes one of the driving forces for political independence.

What actually happens in the 1950s is accelerated destruction and degradation of natural resources, increased marginalization of the local communities, and increased poverty, especially within what the colonialists call “Native” reserves. This fuels the struggle for independence, and by 1963 all the Nations of East Africa have attained political independence (Tanzania – 1961; Uganda – 1962; and Kenya – 1963).

In terms of institutionalisation of environmental conservation and poverty reduction again during this period as was the case during the pre-colonial period, nothing is done. Although national parks, forest and marine reserves are formed, and conservation organisations and the colonisers are keen to succeed in conservation, they do nothing to institutionalise environmental conservation thought within their own organisations, the community and at the various levels of government, which have been put in place (Village, Location, Division, District, Region, and National). Poverty reduction especially among the so called “Natives” takes a back seat during the colonial period, and most communities get marginalized and separate from key natural resources that ensured their livelihoods before the coming of the colonialists. In the confused state that was environmental policy and legislation during the colonial era, conservation is defined more by protectionism, alienation and resistance to people’s involvement. This approach to conservation, creates an environment where, “... definitions of people in particular locales have been subsumed into those of external managers in charge of colonial and post-colonial policies...the points at which the local meets the global are points of fierce contestation between differing worldviews and practices’ – Vigdis Broch-Due et al (eds) 2000, p. 12.

The colonial times also having side-stepped and down-looked or down graded measures that communities applied before the advent of colonialism, created a mentality of “assumed supremacy of knowledge” amongst facilitators and practitioners of environmental conservation and poverty reduction.

Creation and authentication of information and knowledge on environmental conservation and poverty reduction was separated from its implementation. Communities were seen as implementers of decisions taken by the colonial masters and the upcoming pro-colonial elite, who were educated by the colonialists to see themselves as privileged and selected few, with the power of attorney over entire communities and as true servants of the colonialists. Through a process of brain-washing and coercion leaders and their communities were made to feel inferior and thus not having any ideas of their own, and thus dependant on their colonial masters and their imposed stooges in all spheres of life. The colonial masters started to package environmental conservation and poverty reduction in ways that were strange to the local people. The meaning of things and ways of working, the control over the development of knowledge and information processes, the exercising of power over situations, people and their environment, alliance building, collaboration and networking in environmental conservation and poverty reduction were all now under the control of the colonialists. As a result of this way of doing things people and communities assumed a peripheral and informal role in the management of their own environment. This was compounded by the observation that even as they lorded it over the communities and assumed to know everything, the colonial masters did not have time to understand and internalise local situations to the necessary extent for effective environmental conservation and poverty reduction.

As Mary Tiffen et al¹⁵, states; “the expatriate members of the administration came and went, relatively few having the time to develop a deep knowledge of the District (Machakos District, Kenya), or to appreciate what was already known. There were eight District Commissioners between May 1944 and 1953....Local people knew the fad of one officer would be forgotten by his successor”.

Thus there was social-disconnect between the people and the system that was supposed to guide them in environmental conservation and poverty reduction. Past values, beliefs, and ways of doing things that could have proved valuable in institutionalisation of environmental conservation and poverty reduction, and setting the pace for full participation, mutual understanding, inclusive solutions and shared responsibilities were over-looked, purposively destroyed to demoralise people, divide, them and rule them. An effective process of understanding circumstances, planning strategically and putting in place systems to ensure adaptive results-based management systems as is the thesis of this study was all but a pipe dream under such derogative public administration and management systems, as the colonial era was in East Africa.

2.4 The independence era

The confusion visited on East Africa concerning environmental conservation and poverty reduction persisted into independence. During the early days of independence (between 1961 and 1970) there was a serious identity crisis in relation to environmental conservation and poverty reduction.

¹⁵

Mary Tiffen, Michael Mortimore and Francis Gichuki, 1994. *More people, less erosion; Environmental Recovery in Kenya*. John Wiley and Sons. Chichester, New York, Brisbane, Toronto, and Singapore. Page 141.

2.4.1 Identity Crisis

At independence the East African countries found themselves at cross-roads as concerns environmental conservation and poverty reduction. First the independence struggles of the 1950s alienated people further from the government of the day: they saw it as oppressive and anti-people participation; not concerned with the importance of traditional African values and thus an enemy of the people. Thus the new governments were at a dilemma what to promote in terms of socio-economic development, including conservation and development, and how to ensure popular participation of the people in governance, including natural resource governance.

Second the poverty reduction agenda or livelihoods support to communities through sustainable management of natural resources had dropped out of development radar since the start of colonial administration. Third, the colonial powers were in a hurry to hand-over power after they failed to subdue the masses in the quest for greater political independence. This left a personnel-gap in public service, there were not enough people available to create smooth transition from one era to the other. Within this confusion and amidst fears that there could be further deterioration of the state of natural resources, a variety of donors and special international conservation organisations stepped in with support to the new governments, each trying to do something in the best interests of their supporters, and not necessarily the common people who were truly the custodians of natural resources. In the end two systems dominate the independence era up to the beginning of the new millennium. These systems are: "Utilisation without management" - 1960 to 1980s; and "mining the resources" – 1980 to 1990s.

But as will become apparent systems and processes that were put in place were more about “muddling through” than a breakthrough in environmental conservation and poverty reduction. Furthermore due to weak government apparatus and influence, individual and collective vested interests of the elite in environmental conservation came to dominate the debate and practice in environmental conservation and poverty reduction, way into the new millennium.

2.4.2 Muddling through

During the 1960s we see an increasing interest in the potential of wildlife as a source of protein to feed fast growing populations, and the licensing of individuals and trustees to manage natural resources, and essentially two parallel systems of managing natural resources: one dealing with protected areas and reserves; and the other dealing with resources outside protected areas and reserves. This duality creates a lot of problems, because both systems operate as if they are independent of each other, and thus lack common vision.

Matters are made worse by the fact that subsistence use is also controlled, in the form of licences and permits which not only discriminate against but also marginalize the local communities living around the resources.

In the 1970s there is increased funding for conservation to pioneer new ways to deal with conservation and development. This is seen in the increase in the number of projects addressing conservation. However due to the way these projects are conceived, there is very weak link between conservation and socio-economic development. The levels of poverty in the rural areas increase instead of decreasing. Furthermore poverty reduction or livelihood support is not yet part of conservation; the local people continue to feel alienated, and resist all efforts to keep them off what they consider as theirs. The authorities respond by employing armed guards and rangers to protect what they consider as endangered resources, and to keep the people away from nature!

2.4.3 Disjointed Environmentalism

In the late 1970s and early 1980s there was increased focus on environment, human security and survival as a result of the Stockholm Environment Conference – United Nations Conference on Environment and Development. There was increased awareness and attention between and given to environmental conservation and poverty. Issues related to environmental conservation and poverty reduction began to take the front-seat, but because of many years of poor planning, and the fact that participation, strategic action and informed decision-making guided by results based adaptive management and information management has so far not been taken seriously in environmental conservation and poverty reduction, what should have been a breakthrough is overtaken by disjointed environmentalism fronted by professional elite and overzealous politicians. Processes and systems that deal with environmental conservation in isolation, in sectoral manner, and with guarded or little regard to people's way of life or livelihoods are put in place.

Eventually by the turn of the century it becomes clear that these processes and systems have failed to recognise a simple but fundamental true – without people truly being central to environmental conservation, even the meaning of the word environment is in danger.

In the 1980s in East Africa; partly due to economic hardships brought in by the global increases in petroleum prices, the governments focus more on tourism and commercialisation of timber production to boost their foreign exchange reserves. The result is that there is increase in national parks, national reserves, natural reserves, marine parks and game reserves. However, the way the governments go about creating these protected areas sometimes creates increased acrimony between the state and the communities. This is because of three key reasons related to the subject of this study.

Firstly; the parks and reserves are identified, demarcated and gazetted without clear understanding or analysis of the underlying social, legal, economic, ecological, political and technological circumstances and consequences of their creation in relation to environmental conservation and poverty reduction. Secondly; the resource management regimes, processes and systems introduced into these parks and reserves, do not consider the impacts of their application to resources surrounding them, and the ecosystem balance between the parks and reserves on the one hand and surrounding resource use and management systems. Thirdly; there is complete absence or little results-based information management systems put in place to ensure that results and knowledge coming out of these parks and reserves on how to manage resources to achieve both environmental conservation and poverty reduction are captured and put into use for the benefits of the present and future generations and to achieve sustainable environmental conservation and poverty reduction.

Three examples one from each of the countries illustrates the challenges involved - from Edmund Barrow, Helen Gichohi, and Mark Infield (eds), 2000: pp 74; 78-79; and 83. These cases have been modified for discussion here. The challenge part of the case study identifies the issue or issues at stake in relation to the focus of this study.

Box 2.1: Fishing villagers, Queen Elizabeth National Park; Uganda

1 Fishing Villages inside Queen Elizabeth National Park: Uganda

Despite occasional attempts by the park management to remove villages from the park, and a general tension between the park Authorities and the fishing communities, the industry has continued because of its importance to the local economy. In recognition of this the park was declared a Biosphere Reserve in 1979, and the current management plan provides for zoning of the park into strict conservation areas, tourism areas, multiple use areas, and development areas.

The Challenge: But then the majority of inhabitants in these villages are hired labour from outside, employed by the boat owners who hold fishing rights. They have little long term interest in the development of the villages. Many of the boat owners do not themselves, view the villages as their residence.

This peculiar nature of the villages needs to be taken into consideration when environmental conservation measures are being undertaken. There is need to relate developments within the park to the livelihood patterns of the residents and to their beliefs, behavioural patterns, norms, regulations, rules, standards, and values and not just their income generating activities within the park.

Box 2.2 Whose rights, whose roles? Mkomazi Game Reserve; Tanzania

2 Whose rights, whose roles? Mkomazi Game Reserve in Tanzania

Conservation bodies were quick to blame pastoralists for allowing too many people to graze too many livestock in the game reserve areas. The pastoralists stressed that their interests needed to be considered as well as those of wildlife and suggested some form of grazing rotation that would integrate both wildlife and livestock in a more systematic manner. However this did not happen and eviction resulted with devastating losses (Mustafa 1998).

The Challenge: Currently there are several levels of conflict, including low-level contravention of reserve regulations, particularly extraction of firewood, hunting and grazing. As a result Mkomazi has reached an impasse. The deadlock between state authority and community rights drags on in the course of day-to-day interactions around the borders of the reserve.

As the interest of the government is increasingly to foster community conservation, and to create good relations with villagers living around the reserve, other ways to enable communities to benefit from the reserve resources must be investigated.

It is doubtful if any measures will succeed without understanding and taking into consideration the fact that the reserve is just a part of the livelihoods pattern of the local communities and actions taken to address the challenges facing the reserve should recognise and incorporate this simple but ignored fact.

Box 2.3 Kimana community wildlife sanctuary; Kenya

3 Kimana Community Wildlife Sanctuary: Kenya

Kimana Community Wildlife Sanctuary is situated along the critical corridor between Amboseli and Tsavo West National Park. It is owned and managed by the Kimana-Tikondo Group Ranch members. Historically, Kimana-Tikondo Group Ranch was designated hunting area before the hunting ban in 1977. The ban meant that the local community could no longer use hunting income to fund their children's education and other community programmes.

In 1992, Kimana area opened up for tourism in around the Amboseli area as many tour operators made game drives to Kimana Group Ranch. Income generated from the sanctuary will be used to pay school and college bursaries, community scout salaries and provide direct dividends to members of the Ranch.

The challenge: This example demonstrates that substantial synergy can exist between alleviating poverty and environmental conservation. Economic development in wildlife areas is closely linked to conservation, and the development of one to the exclusion of the other causes imbalances. The greater challenge however is to base development on clear understanding of the key issues, the place of conservation in livelihood patterns of the people, and development of the necessary human, organisational and institutional resources to deal with conservation and poverty alleviation.

2.4.4 Bail-out time: Community Conservation as a way out

It is also in the 1980s that community conservation starts to crystallize in East Africa. Community conservation is here defined as an approach to biodiversity conservation and sustainable land use that catalyses, facilitates and empowers local people to manage and conserve natural resources within the socio-cultural, political, economic, and institutional context of their communities.

According to Edmund Barrow and Marshall Murphree¹⁶ there are three forms of community conservation based on resource tenurial or access regime and focus. These are: protected area outreach, collaborative management, and community based natural resource management¹⁷.

¹⁶ Edmund Barrow and Marshall Murphree – Institute for Development Policy and Management, University of Manchester: Community Conservation Research in Africa; working paper no. 8)

¹⁷ **Protected Area Outreach**, seeks to enhance the biological integrity of parks and forest reserves (protected areas) by working to educate and benefit local communities and enhance the role of a protected area in local planning (Barrow et al. – see footnote). Examples within East Africa include: community conservation services of Tanzania National Parks (TANAPA), Kenya Wildlife Service (KWS), and Uganda Wildlife Authority (UWA).

Collaborative Management, seeks to create agreements between local communities or groups of resource users, and conservation authorities for negotiated access to natural resources, which are usually under some form of statutory authority. Examples of collaborative management include: arrangements to manage central government forest reserves in Tanzania and Uganda, and recent developments within UWA.

However community conservation as a way of ensuring environmental conservation and poverty reduction (livelihoods support), faces a number of challenges. These are:

How a community is defined

Communities can be severally defined (Barrow et al.). They can be defined through representative structures, geographical area, common interests, ethnicity, affinity, resource user groups or land use. Communities are dynamic and variable over time, and for different people at different times with varying roles (consider how pastoral communities interact with agricultural communities over time, in the use of the same resource area or land). However most “community conservation” projects and initiatives prefer working with or imagining static communities. Unfortunately most conservation areas of significant biodiversity value to local, national or international communities have transient community characteristics with diverse interest and influence. This makes “community Conservation” diverse, complex and risky.

Defining the conservation goals and values

In defining conservation values and goals, community stakeholders may not be assertive enough because they come in as the weaker partner. By not being assertive upfront, communities expose themselves to undue influence by conservation agencies, governments and donors. Thus community perceptions and interpretations of their own rights and values become impediments during implementation. In some instances however community needs and values may be made explicit to outsiders but because of their perceived weak position, and betrayal by their own elite, their needs get overlooked. This results in conservation initiatives that start failing immediately after inception.

Community based natural resource management: there are several schemes within East Africa. These aim to return control over, or responsible authority for natural resources to the community. Examples are SNV's Semi-Arid Development Programme in Kenya (SARDEP), Several District Rural Development Programmes (DRDPs), projects in Tanzania and Uganda.

Effective institutional arrangements/frameworks

An effective “community conservation” institutional framework must have its foundation at the level at which the community feels strongest, i.e. the level with the highest degree of commonness amongst the community members. Within East Africa, this level is variously labelled. Is it the sub-Parish or Parish (Uganda) Is it the sub-village or the village (Tanzania), Is it the hamlet or sub-location (Kenya), or Is it any other level. The level should also be recognised by the community as a critical integrating level. Given the above administrative, geographical, cultural, historical and other criteria of coming up with the level at which people have truly community feelings and behaviour, it is apparent that community institutions to support “Community Conservation” will inadvertently always have some teething problems to start and establish. This is a challenge where most conservation projects and initiatives have a short time span and are expected to deliver outcomes within the shortest time possible. Because of their unstable foundation linking community institutions with outside institutions will in most cases result into unstable and biased alliances. Under such circumstances a thorough institutional analysis and capacity building is imperative for success.

Supportive policy and implementation

In the last 10 years it has been argued that most international and national conservation policies were anti-community conservation or weakly supportive of community conservation. Currently this is not necessarily the case in East Africa. Community conservation policies have been put in place, although the supportive legislation has been slow in coming. What seems a bigger challenge now is the implementation of community conservation.

Issues related to implementation include: How to expand (scale up) diverse and scattered community conservation experiments and pilot experiences within East Africa? The cost of scaling up may be prohibitive and the returns slow in being realised. How do you convince financiers and the larger society that it is worthwhile to try something, which seems to have limited success at a small corner of the country, on a bigger-scale? The earlier experiences (Woodlots in Queen Elizabeth National Park (QENP) – Uganda; Butterflies in Arabuko Sokoke – Kenya; the Development Through Conservation (DTC) in Mgahinga and Bwindi NPs - Uganda; Wildlife Management areas/Sanctuaries in Kenya) are not as convincing as earlier anticipated. Is it possible to guarantee quality upon scaling up?

Another important issue related to implementation is the mind-set of many conservation agencies and their staff – we still do not trust that communities can deliver both on conservation and development on a sustainable basis. Do we really practice what we preach or are we asking communities to get into a duet with their hands tied tightly at the back? Is the larger society committing adequate resources to community conservation? – are we convinced it can work?.

Looking at capacity building at the community level on prevailing national and international policies on community conservation, one notices that there is a yawning gap on the level of information and awareness on new policies related to community conservation. The active involvement of Civil Society Organisations (CSOs) including community conservation trusts and the private sector is highly limited. Definitely we still have along way to go.

The Risk of empowering communities

Most community conservation initiatives are actually not locally grown ideas or initiatives. They are being promoted by powerful conservation agencies and international NGOs who following the wave of donor funding after the collapse of the “Berlin Wall” have been bought into the thinking of: “bottom up planning”, “decentralisation”, “process approaches”, “participation’, and “community organisation” in order to address human rights abuses, poor governance, and empower communities. The relative weakness of the state in Africa, and its management of national resources has also fuelled and accelerated this trend. But should we not pause and think again.

Increased participation of communities in mapping out their own conservation and development agenda, normally generates high local expectations, this in some instances is beginning to trigger other processes for example, the debate about affirmation of rights to resources, and increased political consciousness. Currently the capacity in many rural communities is not at par with their level of awareness, and changes in attitudes. It could be that community conservation is both morally right and politically necessary, but it could lead to questioning of the deeply held convictions on conservation goals by international conservation agencies by the newly empowered communities and local stakeholders. This will definitely lead to considerable institutional challenge for the existing institutions regardless of what level they are.

There is also the issue of whether the communities have the relevant and necessary capacity to address the needs and challenges of community conservation on sustainable basis while taking into account national and international conservation interests and concerns. Can community conservation truly meet ecosystem conservation goals; while at the same time guaranteeing sustainable and adequate social, economic, and livelihood returns to the concerned communities?

Effective and efficient monitoring

If costs and benefits of community conservation are to be properly known, there is need for effective and efficient monitoring. The costs of monitoring can be high and yet monitoring is essential in order to convince others and ourselves that community conservation really works for biodiversity conservation and development. We need indicators and convincing evidence to communities, conservation agencies, and financiers that it is worthwhile to invest in community conservation. One of the challenges is to develop appropriate and user-friendly indicators, monitoring formats and forums for each of the three levels, either jointly or separately. Whereas this is not a very difficult task to do, it requires the investment of substantial human and other resources.

Most financiers and supporters of community conservation are more willing or comfortable dealing with the activity implementation expenses than monitoring. On the other hand most community conservation project staff are not well versed with participatory monitoring tools, methodologies and processes. Moreover most field officers view or are trained to think that monitoring can or should be separated from their day-to-day project work. This indeed is a fallacy and a very unfortunate one, which needs to be addressed at the earliest opportunity. Other staff members genuinely lack the technical capacity to address monitoring needs and challenges adequately; this capacity needs to be built in order to reduce the costs of monitoring community conservation initiatives and/or projects.

Effective partnership for community conservation

In order for community conservation to really succeed, there is need for key stakeholders to work together to facilitate effective and sustainable outcomes. However most community conservation partnerships within the East Africa suffer from the following:

- Lack of coherent overall vision and strategy for long-term strategic planning and implementation, because they focus on delivery of goods and services within a short-term project lifespan;
- There is in some cases lack of integration and collaboration of community conservation initiatives from adjacent and neighbouring communities within the same ecosystem. This results into insufficient involvement of stakeholders and poor prioritisation of issues and action planning; and
- Existing mechanisms within the partnership do not properly target building of capacity within the weaker partner(s) as a priority, in order to effectively and equitably collaborate on conservation and management action.

Because of the above the partnerships developed for community conservation look more like sub-contracting arrangements than true partnerships. True partnerships are built on mutual understanding, trust, and support for each other. There is need to build true partnerships if community conservation will succeed. The push for community conservation in its three forms during the 1980s and early 1990s was spearheaded by donor-supported projects or programmes in partnership mainly with the governments of East Africa and international conservation NGOs, with a very limited number of them being a product of partnership between governments and the private sector – especially tour operators with the aim of ensuring that their tourism business interests are safeguarded. These projects and programmes focus on:

- Participatory research, project design and action;
- Benefit-sharing, more equitable, sustainable and workable solutions to natural resource management problems;
- Maintenance of stakeholder dialogue and cooperation; and
- Development of organisational, mobilisation and empowerment processes.

2.4.5 Lessons of Practice: Way Forward

But since these projects and programmes are mostly externally driven and motivated they suffer from lack ownership by local communities, they are also formulated with limited understanding of the real issues that afflict environmental conservation. And although most of them talk about poverty reduction they fail to link properly with livelihoods strategies of the target beneficiaries. Furthermore because they are based on short-term expectations of donors, whereby returns should be seen in periods of three to five years, and should be tangible, mostly in money-metric terms, they fail to address the underlying factors to environmental degradation and increasing poverty levels.

More fundamentally, since these projects and programmes are being tried at isolated corners of the society, and have very poor baseline information and data, and limited capacity of conducting research, monitoring and evaluation to track change, they fail to act as pioneers in piloting policy to address sustainable environmental conservation and poverty reduction, especially at the ecosystem or eco-region levels, where the real challenges in environmental conservation and poverty reduction really are. However even with these limitations, the donor-driven community conservation projects and programmes capture very important lessons for improvements in environmental conservation and poverty reduction (livelihoods support). These lessons are:

On the design of community conservation initiatives/projects

Frameworks for community conservation will differ depending on the ownership of a conservation area, or the resources; the policy and legal frameworks of countries, and institutions; and the objectives of land use (Barrow et al.). It is important therefore for a community conservation initiative or project to be clear on what its purpose is, and who must participate towards the achievement of this purpose.

In relation to the purpose, attention must be given to the fact that a community conservation initiative or project is two-pronged: it contributes to the promotion of sustainable human development, as well as to conservation of biodiversity and natural resources. In this regard a wide range of stakeholders, both on-site and off-site may need to be included in the design and formulation of community conservation initiatives and projects. Attention needs to be given to interest and influence levels of stakeholders, to gender differences, equity, decision-making power and authority and the use of local knowledge. Participatory all inclusive strategies should be part and parcel of the ways in which stakeholders are involved in the design as well as the planning, implementation, and management of community conservation initiative or project.

On enabling policy environment

Community conservation initiatives or projects should target more on promoting enabling policy and legislation environment. Incentives to encourage community participation in resource management especially at the community level need to focus on policy and legislation issues that will promote the idea of biodiversity conservation and sustainable natural resource management as an investment into the future for community stakeholders. It has been noted that policy and legislation constraints are probably the single biggest obstacle to community conservation. Many recent policy and legislation changes have been brought in through donor and other external pressure with little national goodwill and grassroots awareness, which has meant that implementation has been reluctant, slow and time-consuming, making planned benefits to communities “pipe” dreams or belated palliatives at best. This needs to be reversed to make community conservation more acceptable and grounded on reality of the participating communities. Building the capacity of community stakeholders upfront to effectively play their role in policy formulation and advocacy in community conservation would be a step in the right direction.

On sustainable livelihoods

In developing livelihood alternatives to replace existing biodiversity dependent livelihoods, assumptions are made that it is the overuse of natural resources by local communities that is the biggest threat to sustainable use and management of these resources. This is more often not the case, because organised logging, mining, and harvesting cause more harm than community use of natural resources. This means that for any sustainable livelihood strategy to succeed within community conservation it needs to address the power relationship between powerful external forces and interest groups on the one hand and the community stakeholders on the other hand. Community conservation strategies should aim to simultaneously increase the power and authority communities have over natural resources, together with improvement of their capacity to access and voluntarily move out to other viable livelihood strategies through well-planned and targeted development of infrastructure, human resources and other social services.

It should also be recognised that communities living off natural resources do have already existing alternatives to biodiversity dependent livelihoods (either as coping mechanisms during times of shock and stress, or means of supplementing their subsistence on natural resources). These need to be understood and harnessed before any external ideas are imposed on the community as viable livelihood alternatives. More often than not livelihood alternatives imposed from outside are based on poor understanding of livelihoods strategies of the community and also on weak analysis of the linkages between conservation and development as the community sees and lives them.

On supportive institutional frameworks

Focusing on building capacity within communities and their institutions to represent their own interests should be a primary objective of any community conservation initiative or project.

This should include strengthening existing or new community-based institutions that have been accepted by the community to represent their own needs and interests. Together with this, institutional capacity needs to be built to deal with emerging resource use and management conflicts to transform them into positive forces for change.

It has been noted that strong local institutions with recognised legal mandate for resource management are a sure way of ensuring sustainability of community conservation actions, outcomes and benefits. However in developing supportive institutional frameworks, it should be clear that communities are not homogenous entities, and they do have various and varied interests and influence over resource use and management. Communities could be divided along family, clan, ethnic or other line and these divisions may actually be magnified by careless external intervention, whether conservation-oriented or otherwise. Care therefore needs to be taken not to make existing internal conflicts more pronounced or more complex, in the name of creating or building new and challenging institutional frameworks.

On effective and efficient monitoring and evaluation

In order to have a good working monitoring and evaluation system, it is wise to avoid being bogged down by academic discussions and designs of effective monitoring and evaluation systems. Good monitoring and evaluation system should be one that will provide timely and educated recommendations on how to enhance initiative/project performance, impacts of project activities, improve participation of key target groups, and feed in overview information on the effectiveness of the project's development and conservation work.

The following issues need to concern us as far as effective and efficient monitoring and evaluation of community conservation is concerned:

- What changes do we anticipate from our actions and activities;
- What are the simple user-friendly indicators to tell us the direction and magnitude of this change; and
- How can we tell that the anticipated change is actually taking place?

Capacity building for effective and efficient monitoring and evaluation should be pre-requisite to any undertaking of community conservation work because poor monitoring results; give the wrong signals to decision-makers, misdirect management, assist misuse/abuse of resources, and result in substandard performance or failure of projects to achieve their own objectives. External “experts” or donors without the full participation of communities and other stakeholders should never develop project indicators. The project management should have the full authority and power to determine what needs to be achieved, how it should be achieved, and the data and information relevant for decision-making. And when we talk of management as it relates to community conservation we mean participatory management that involves representation of communities and other local stakeholders.

2.4.6 Attempts at institutionalisation of environmental conservation and poverty reduction

The above lessons make most of the international conservation NGOs by the end of the 1990s find it imperative to hand over their project or programme initiatives to the target beneficiaries and some of the upcoming national NGOs, local NGOs and CBOs in order to address the issue of “ownership” and focus on livelihoods support to communities and tackle the issue of poverty reduction.

But then another challenge pops up: how to institutionalised environmental conservation and poverty reduction within the existing government structures, which by now are more decentralised in terms of resource allocation and management. This becomes critical as it is realised that without ownership, greater democracy and good local governance at the grassroots; addressing inequality in development and in effect poverty reduction will remain a pipedream. This challenge is not easy as the following cases from Edmund Barrow, et al (eds), 2000: pp.87-90 illustrate. Again the challenge part of the case study is brought out to focus on issue(s) central to the focus of this study.

Box 2.4 Mombasa Boat Operators Association (MBOA); Kenya

The Mombasa Boat Operators Association (MBOA): Kenya

MBOA, with 152 paid up members, was officially registered as an association with the help of Kenya Wildlife Service (KWS) following a workshop in 1992 between boat operators and fishermen operating within Mombasa Marine National Park and Reserve.

MBOA takes tourists out into the marine parks for a fee. It has received in excess of US \$ 10,000 from KWS revenue sharing programme. In addition it has received 400 identification cards for its members, aluminium boat identification plates, a grant of US \$ 600 to match funds raised by MBOA as promised by KWS and a revolving fund to repair boats. Members can borrow funds ranging from US \$ 33 to US \$165, repayable at a maximum period of 24 months at 1% interest.

The MBOA members have received training, and together with KWS have been instrumental in the negotiations, and eventual implementation of the Beach Management Programme (BMP). This BMP is providing improved security and general cleanliness of the Kenyan beaches in the north coast, and is being implemented with hotels along the coast, KWS and MBOA. Under it, the burden of collecting park entry fees by operators has been shifted to hoteliers.

The **challenge** of MBOA as an institutional arrangement to address environmental conservation and poverty reduction is that it looks essentially a KWS idea that was crafted to assist in organising for fees collection and promotion of tourism. It focuses on income generation from one angle and appears poorly linked to livelihood needs of the fisher-folk. This is because livelihood is more than income generation. Using MBOA as a service provider as the case is here without addressing poverty reduction links and the environmental consequences within and around the Marine Park and Reserve will not result in sustainable management of the park and reserve. Furthermore it is not clear how MBOA assists in local planning and management of natural resources through the official channel of village-location-district to national level. However, MBOA is a very good example of a working partnership between a government agency (KWS), the private sector (Hoteliers and boat operators), and civil society (MBOA)

Box 2.5 The Park Management Advisory Committees; Uganda

The Park Management Advisory Committee's institutional context: Uganda

Uganda has a decentralised political structure comprising of local councils (LCs), from LC1 (Village level), through LC2 (Parish level), LC3 (sub-county level), and LC4 (County level), to LC5 (District level). This structure provides a potentially important link for direct day-to-day contacts between conservation area managers and communities, and provides a structural link to district decision-making processes. However national parks, wildlife reserves and most forest reserves are under legal control of national bodies, not local authorities.

The Park Management Advisory Committees (PMACs) were designed to attempt to overcome this problem. Representation on the PMAC is drawn from parishes bordering protected areas. To facilitate this process and deal with specific parish level interests, Parish Resource Management Committees (PRMCs) or Local Conservation Committees (LCCs) were also established.

However, the **challenge** is that PMAC has largely failed the communities' need for an institution that can adequately represent their concerns to park authorities. PMAC has also failed Uganda Wildlife Authority's (UWA's) needs for a community institution. UWA has its own structures and staff for law enforcement and education, and is well able to represent and further its own perspectives and interest. PMAC was formed to advise UWA on community interests and perspectives so that park management could properly address these. PMAC has been largely unable to provide this advice, partly because it is financially dependent at the discretion of the Park warden, on UWA, and partly because the individual members tend to perceive themselves as more closely aligned to park interests than community interests. Thus at the heart of PMAC's problem is the issue of ownership, common vision, and clear strategies to address environmental conservation in a more holistic manner- within and around the parks – and linking them more clearly to livelihoods strategies of the communities within and around parks and reserves.

2.4.7 Which Way now

The challenges posed by the circumstances in the late 1990s: the increasing focus on participation, increased decentralisation, increasing demand for good local governance, and positive political will within East Africa, make it possible for stakeholders to start processes of moving the environmental conservation and poverty reduction agenda forward. Pilot cases are tried as the examples in the next chapter from Kajiado, and Narok districts in Kenya show. The Nepalese example also given here is used to illustrate the kind of institutional arrangements and institutionalisation process the East African process is learning from.

The case studies, and indeed the whole framework that seeks to approve or disapprove the central hypothesis of this study are possible because of a training programme, established at MS Training Centre for Development Cooperation (MS-TCDC) in May 2001 as a partnership between CARE International, MS-Training centre for Development Cooperation, United Nations Development Fund – Global Environment Facility (UNDP-GEF) and Wild-wide Fund for Nature East Africa Regional Programme Office (WWF-EARPO). The training programme which is a sub-regional undertaking covering the three East African Countries and conducting training, mentoring and follow-up backstopping for practitioners in environmental conservation and poverty reduction within East Africa, and also interacting with managers and policy makers in environmental conservation and poverty reduction has the following goal and objectives. Project Overall Goal; To enhance the impact of participatory natural resource management and governance projects and programmes in Eastern Africa, with respect to both biodiversity conservation and socio-economic development. Project Purpose; To strengthen participatory conservation and development programming in Eastern Africa, with particular emphasis on the following five thematic areas.

To paraphrase the key focus areas for the training programme in order to bring out the concerns of this study. We could give them as:

- Putting in place participatory arrangements to manage natural resources;
- Supporting Sustainable livelihoods interventions that support natural resource conservation and focus on sustainable poverty reduction;
- Working for institutionalisation and Institutional strengthening and institutional frameworks that focus on sustainable environmental conservation and poverty reduction; and
- Putting in place results-based information management and adaptive management systems to support sustainable environmental conservation and poverty reduction.

The Kajiado, Narok and Nepalese case studies will show how far the debate and practice in environmental conservation and poverty reduction has gone so far, with suggestions on the directions we may need to take from here. It is important to remember that this study is about directions, and not blue-prints. And although the right policies are in place so far, these cases show some short comings because laws on democratic decentralisation have not been comprehensively made and implemented in Nepal and also in East Africa so far. Democratic decentralisation occurs when powers and resources are transferred to authorities representative of and downwardly accountable to local populations. Democratic decentralisation as explained earlier in chapter 1 aims to increase popular participation in local decision-making. Democratic decentralisation is an institutionalised form of participatory approach. This is the next level of debate and practice in the ever evolving environmental conservation and poverty reduction arena.

CHAPTER 3: THE MILLENNIUM AND THE SEARCH FOR BETTER APPROACHES TO ENVIRONMENTAL CONSERVATION AND POVERTY REDUCTION

3.1 Introduction

In the last chapter we saw that in the period up to the end of the 1990s in East Africa, environmental conservation and poverty reduction had been characterised by the following: a pre-colonial period characterised by the absence of written records and dominance of traditional or customary environmental conservation management systems which varied from place to place and were largely ignored during the succeeding colonial period; a colonial period which brought in unprecedented changes in East Africa, ignored a lot of the traditional systems that were in place, brought in policies and practices in resource conservation that have continued to influence the present, the most important being introduction of centralised management with its attendant national policies and legislation (Mwangi, 1977); and a post-colonial (independence) period that did not bring a lot of changes and practices up to the end of the 1990's . In fact during this period, things were moving from decentralisation back to re-centralisation, sometimes with disastrous consequences of misuse and over-exploitation because of the uncertainty about the responsibilities of local level institutions to which management of resources is transferred – see also Fred Kigenyi et al, 2002. p. 12-13. A cross-sectional analysis of the period highlights the following drawbacks in institutionalisation of environmental conservation and poverty reduction:

- A man-made disconnect between the traditional approaches and the newly introduced approaches to environmental conservation and poverty reduction;

- Biased new approaches that focused more on quick solutions to fragmented site-specific challenges, which do not address; responsibility sharing, inclusive solutions, ecosystem and eco-regional dimensions of environmental conservation and poverty reduction. This brings in disjointed “incrementalism” into environmental planning and management. The physical expression of which is small isolated success stories that are poorly coordinated and integrated within the whole;
- Poor understanding and incorporation of stakeholder perceptions, views, and perspectives. This makes it difficult to reconcile interests and influences at various levels, leading to increased marginalization of already marginalize grassroots level communities and target beneficiaries;
- Donor and vest interests-driven systems of planning and management, which essentially refuse to open up to new ideas even when these ideas have proved more superior. For example it is an accepted fact that focusing on narrow conservation interests at the expense of socio-economic development will not deliver in sustainable environmental conservation and poverty reduction, and yet senior planners and managers in governments within East Africa still continue to focus more on narrow vested interests, even when policy changes have occurred to allow for greater participation and democracy – especially for the decade between 1996 to 2006; and
- Poor linkage and networking between key levels of decision-making; that is: the grassroots, the district, the national and international levels. This results in dilution of suggestions and recommendations from below, and lack of common vision and values when it comes to environmental conservation and poverty reduction.

3.2 Piloting systems and approaches to influence policy and practice

The Kajiado District, Kenya Case study illustrates attempts to address some of the challenges experienced during the independence era as discussed in the previous chapter. Some of these challenges are: establishing environmental conservation and poverty reduction goals and values; putting in place effective institutional arrangements to deal with environmental conservation and poverty reduction; effective partnership for environmental conservation and poverty reduction; and effective and efficient monitoring and information management systems.

Supported by the Netherlands' Directorate of International Development (DGIS) through SNV (Netherlands Development Organisation), and the Government of Kenya through the Arid and Semi-Arid Lands Programme (ASAL) initially in the Ministry of Land Reclamation, Regional and Water Development (MoLRRWD) and facilitated by ETC EA Consultants B.V.¹⁸, between 1996 and 2002, the Kajiado initiative in Natural resource planning and development focused on piloting systems to influence policy and practice in Kenya. The key issues pursued by the Kajiado initiative were: increased popular participation, gender, generational and community equity, increased good local governance and greater democracy especially for women, youth and other marginalized groups within Kajiado District. The initiative adopted an approach to natural resource planning and development, which is referred to here as Actor-Oriented Situational Analysis and Vision-Based Action (ACOSA-VBA) Planning. This approach proved successful in mobilisation, organisation and training of the rural communities to be in charge of their own development, and develop successful strategies for environmental conservation and poverty reduction.

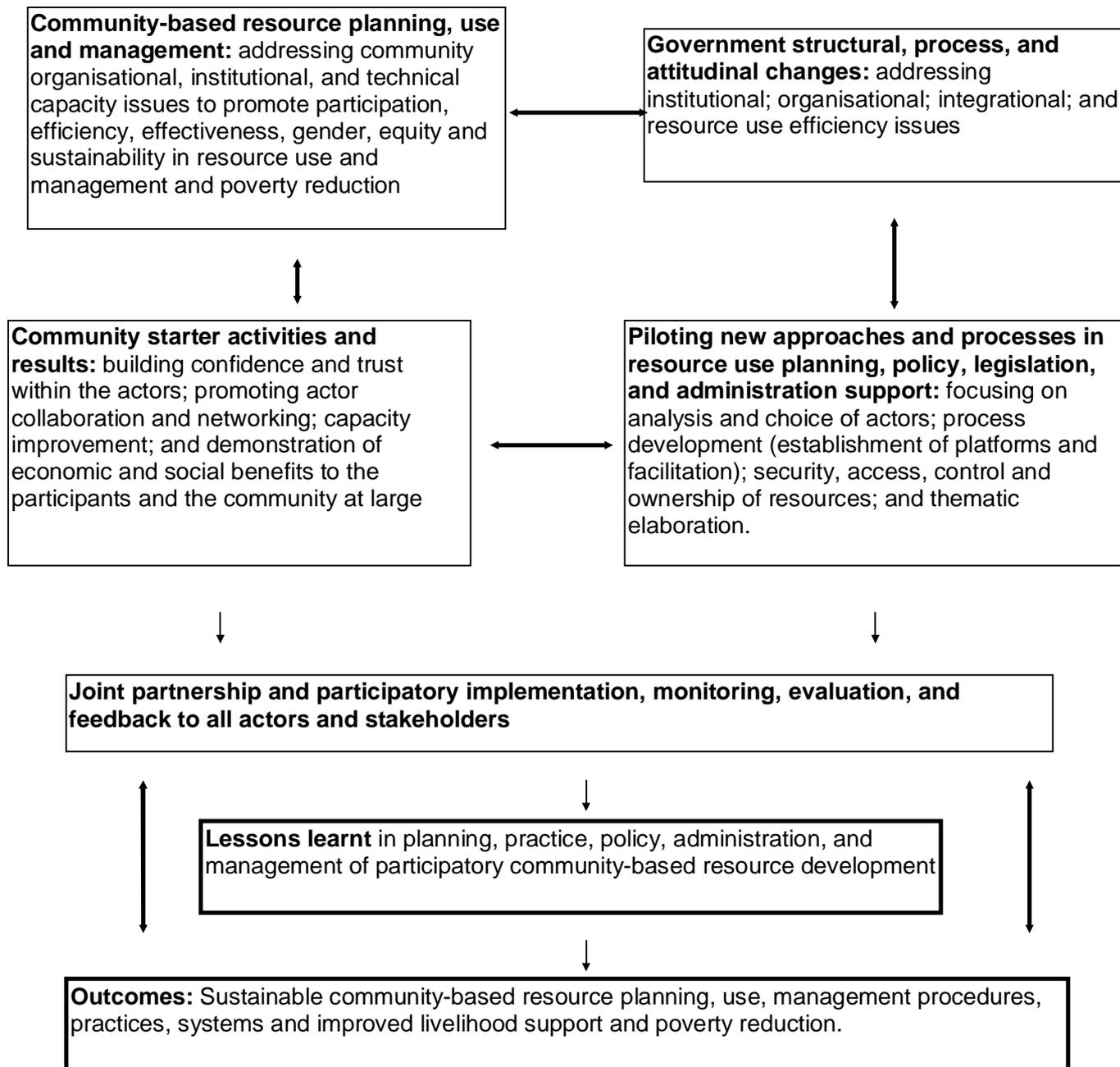
¹⁸ Education Training and Consultancy – East Africa (ETC-EA), is a private not-for-profit consultancy firm operating in East Africa, where the author was working at the time. Through this relationship he was one of the key architects of the Kajiado Initiative. The others from ETC-EA were Julie van der Bliet, and Dr. Fredrick Muchena. All of them here duly acknowledged. However the way the process is described here is based on how the author has packaged it to form ACOSA-VBA Planning which is the technical and support package offered by the East African Participatory Natural Resource Management and Governance training programme based at MS-TCDC, Arusha, and described earlier.

However, the systems put in place through this initiative, have not gained wider acceptance and integration into the national planning systems for ASAL regions in Kenya after donor support was removed, because of what, we would call here: donor-driven and sector fragmented planning mentality at the national level in Kenya, aggravated by lack of democratic decentralisation in natural resource conservation and poverty reduction¹⁹. The national development planners and managers see development in terms of what donors are supporting, in which areas and what sectors are important for Foreign Direct Investments (FDI). They see development planning as aligning development initiatives from the grassroots into already identified sectors, to which these initiatives must fit otherwise they will be declared irrelevant. But the ACOSA-VBA approach sees development as broad-based, participatory and inclusive, a process in which grassroots initiatives should be grouped based on similarity and appropriateness into categories that are dictated by ground realities, and these categories should then decide how many sectors need to be there to adequately address development needs of the people. The dichotomy of thought brought about by these two views of development means that; an approach that has proved useful and could succeed, lies in the shelves for the time being, or is introduced piecemeal as it suits certain over-riding vested interests from time to time and in diverse places.

The key elements of the approach whose interactive relational linkages between the various level is presented in Figure 3.1 below, is described in summary here below before describing the Kajiado initiative in details.

¹⁹ Democratic decentralisation as discussed earlier is crucial for institutionalisation of popular participation in environmental conservation and poverty reduction. In practice within the Kajiado initiative it should have implied the movement from a project/program-based approach towards legally institutionalised popular participation, establishing the necessary institutional infrastructure, learning, belief and value systems to scale up the lessons learnt from the initiative' throughout Kajiado District and all ASAL regions of Kenya

Figure 3.1 Conceptual framework showing relationships between various processes within the Kajiado Initiative



3.3 ACOSA-VBA Planning summary: Mainstreaming environmental care into development planning and action

The ACOSA and VBA combines both reactive and proactive ways of addressing development linked environmental and specifically natural resource conservation. It aims to address multiple actors, at different resource endowment levels and capacities. It seeks to exploit, take advantage, and build on the existing levels of actor knowledge, skill and attitude. It recognises the multiplicity and sometimes-conflicting needs of actors in the field of natural resource conservation and development. It aims to concretise a common vision for all stakeholders, jointly developed, jointly held, and embodied within the discernible actions that actualise common resolve to aspire, aim and move towards the joint vision. Taking the joint desired vision as the ultimate target future of all stakeholders, it appreciates the fact that there are many paths to that future, which if properly and adequately synchronised and synergized can assure the achievement of that future in a faster, resource efficient and result-oriented participatory way. It appreciates that there is no static situation and thus even the future should not be seen only in one way, and therefore promotes a planning-action-reflection-reaction participatory approach. It emphasises actor-orientation because actors are the central piece in all human development endeavours.

On the basis of practical action and real world experiences the actor(s) forms mental constructions and “theories” to give meaning to the world, and vice versa. And on the basis of these theories the actor(s) interpret the real world and acts upon it. It offers a framework to improve understanding of the processes and relationships that are at play at all times of actor interaction and action. This framework can be shared among all actors involved in any process, who are affected by a problem or engaged in a conflict. On the basis of the framework each actor develops his/her vision that is part of the total joint vision.

This framework as a way of looking at processes, enables continuous and interactive comparison, dialogue and learning.

3.3.1 The steps of ACOSA and VBA

ACOSA and VBA is made of the following five steps:

3.3.1.1 Defining and understanding the present situation

The existing natural resource conservation and development situation can be determined through joint actor secondary data reviews, participatory field observations, data collection and compilation. There are many user-friendly, easy to understand and use methods to conduct the learning and documentation of the present situation. Among these methods are; Participatory Process Analysis (PPA), Participatory Rural Appraisal (PRA) group of methods, Strategic Environmental Analysis (SEA), and Participatory Action and Learning Methods (PALM). The basic ingredient of all the above methods is that actors are involved in joint observation and documentation of the present situation in ways that promote understanding and effective learning to aid informed joint action. During this step the following take place.

- *The identification of the main stakeholders within the area of focus by the initiators or facilitators of the idea.* Then bringing the stakeholders or their area representatives together in joint planning sessions to initiate joint planning process. Together the initial representatives of stakeholders, work to produce natural resource endowment map and statistics. This map or statistics are accompanied by information on the actor/stakeholder linked main environmental, social and economic functions of available natural resources within the area.

Finally priorities among stakeholders and natural resources functions, goods and services is set. All stakeholders that are key to the success of identified or targeted natural conservation and development efforts must be brought in before the next action is taken.

- *Assessment of the past and present natural resource use and management trends that contribute to the present situation (trend analysis).* This assessment is elaborated through the use of impact-chain analysis diagrams or illustrations during joint sessions, using symbols that help all stakeholders to interpret the situation correctly and learn from it. This will also help to illustrate the linkages between different environmental trends.
- *Assessment of the impacts of current natural resource use and management on on-site and off-site stakeholders (temporal and space dimensions and their linkage need to be explored).* The impacts on stakeholders can be assessed using a set of criteria: -Social: equity, health, security (safety) and autonomy; -Economic: production and efficiency.
- *Defining and agreeing on standards and norms and their thresholds to decide on the extent of various impacts on stakeholders and the natural resources functions they link or depend on.* In most cases norms vary depending on stakeholders and there may be no common standards. Thus a qualitative assessment is the most feasible and convincing to stakeholders, especially those with little exposure or schooling. Values attached to each standard and norms have to be agreed upon by all stakeholders. Thus stakeholders where they do not agreed with others have to justify their norms and standards to the satisfaction of all others.

The values should have social, economic and environmental weighing factors to counter or reduce biases and subjecting (e.g., Social (0.4); Economic (0.3); Environmental (0.3) depending on what the stakeholders agreed upon.

- *Conduct a chain impact analysis of the key natural resources problems caused by the current trends in natural resource use and management.* Show the actors (both primary and secondary) concerned, and their contributing actions/activities, the reasons (motivations) why the actors act the way they do, and the underlying factors to their actions. Underlying factors are mainly of socio-cultural, economic and/or institutional nature. It is necessary to define underlying factors together with the responsible actors in order to be able to tackle the root causes of the environmental conservation and management problems. Priorities are set among the identified underlying factors.
- *Define the main environmental conservation related use and management opportunities for each stakeholder.* This is important in understanding who is linked or de-linked from what bio-resource by the present trends in use and management. Opportunities occur in the ecological sphere (e.g. potentials for irrigation), economic sphere (e.g. demand for certain products), institutional (e.g. new legislation), socio-economic (e.g. women's potentials) or at local level (e.g. an innovative community initiative). Priorities are set among identified opportunities and packages are formed.

3.3.1.2 Defining the joint future vision

In order to reverse the current situation and create a desirable situation that meets the expectations of all stakeholders. It is important for stakeholders in joint planning and analysis sessions to develop a common feasible and desirable future state that they wish to see or live in. This can be done using facilitator supported sessions where actors are made aware of their inter-space and inter-generational roles and responsibilities and assisted to map a route to future harmonious and progressive use and management of available natural resources. The future state can be mapped geographically on a space map especially at the local level. Then the positive attributes associated with the changed geographical changes are enumerated under each area. These attributes are normally related to social, economic, physical, ecological, natural and other changes. Once a common vision has been agreed upon and illustrated either by use of a map or arrow diagrams. Then there is need to analyse the potentials to realise opportunities arrived at the end of step A above. This should be in way that they contribute to the joint vision and directly to solving the existing natural resources use and management problems while at the same time addressing the limitations or weaknesses within the underlying factors. Develop a vision, mission and output relationship. Remember each actor's mission is limited by their legal and policy mandates in the provision of services and goods. Priorities are set on the basis of the potentials and constraints to realise opportunities in a sustainable way, support livelihoods, reduce stakeholder marginalisation, vulnerability and poverty.

3.3.1.3 Defining, understanding, and putting in place demanded partnerships, associations or coalitions for action

It is important to note that the purpose here is to address identified issues in an integrated way. Thus each actor (stakeholder) must feel needed, and be able to visualise his/her role and responsibility clearly. In addressing needed partnerships try to avoid sectoral approach to defining focus of actions. Aim to develop inter-sectoral projects and programmes. Aim also to develop multi-sectoral, inter-disciplinary and inter-linked platforms to plan, co-ordinate, implement, follow-up and document action and activities from the community level to the national level or highest-level necessary. Remember representation and active participation of the disadvantaged in society in these decision-making platforms, especially the poor, women, and the youth. Power, authority, access and control go together, and thus these platforms must truly be empowered to do what they are made for. The power and authority of these platforms must be from within the body; that is the stakeholders they represent and a conviction and a belief in the joint stakeholders' vision, energised by the desire to act positive towards that vision. Then design partnerships or partnership strategies that create synergy between actors/stakeholders and existing orientations, focusing on the issues to be addressed. It is important to ensure that services offered by partners individually and collectively are complimentary and supplementary to each other. Additional services and actions suggested should have value added element in them. The most important element in partnership development is to achieve interactive, integrated, resources-efficient and results-oriented approach to natural resources conservation and development. This means that the partnership(s) must be continually and periodically reviewed and re-focused to remain purposeful.

3.3.1.4 Defining and designing strategies and actions to achieve desired outputs

A good strategy to address sustainable natural resources conservation and development must have both short term and long term benefits to the partners. This is because partners invest their resources and time with certain expectations in mind. These resources and efforts have an opportunity cost to the partners and the general economy. Thus there should be both short- and long-term considerations in-built into developed strategies and actions. However short-term and long-term aims should not undermine each other or the achievement of the set joint vision. Once strategies have been developed, then suggested activities/actions under each strategy must be matched with partners or actors to aid accountability and effective good performance. This will also help in follow-up and re-planning, and in relating partner workload to capacity. Actors should form alliances around common goals and expectations. The formulation of operational plans to achieve set results under each strategy should be further analysed using the project planning matrix (PPM) as in Log-frame approach. This will help in effective testing of the internal logic of our design, and its sensitivity to changes in the external environment. It will also be useful in monitoring and evaluation of the achievement of the mission and movement towards set joint vision.

3.3.1.5 Defining, understanding, and addressing the institutional consequences

As a direct consequence of our chosen way of doing things and the need to achieve integrated and interactive planning, implementation and follow-up, there will be need for actors/stakeholders to work through set institutions or create new ones. We should thus be aware of the institutional implications (real and potential) of our actions. There is need to set from the word go a system of ensuring harmonious co-existence of organisations and also a way of ensuring that the partnerships developed have and maintain the right capacities to achieve desired performance. Institutional development and organisational capacity building should be part and parcel of the whole process. This ensures institutionalisation of the desired environmental conservation and poverty reduction thoughts, words, and deeds. Then there is need to formulate a follow-up strategy, including issues internal to implementing institutions and platforms. Define clearly the structure and responsibilities of formed or existing platforms and their integrational and interaction requirements. Ensure adequate budgeting for this function which is critical to joint visioning, planning, implementation and follow-up. Establish joint natural resources conservation and development monitoring system with indicators, procedures for regular adjustments of policy of the partnerships developed. Be on the look out for opportunities to improve and change approaches and partnerships. Be always pro-active.

3.3.2 The Kajiado District, Kenya case study:

3.3.2.1 Introduction

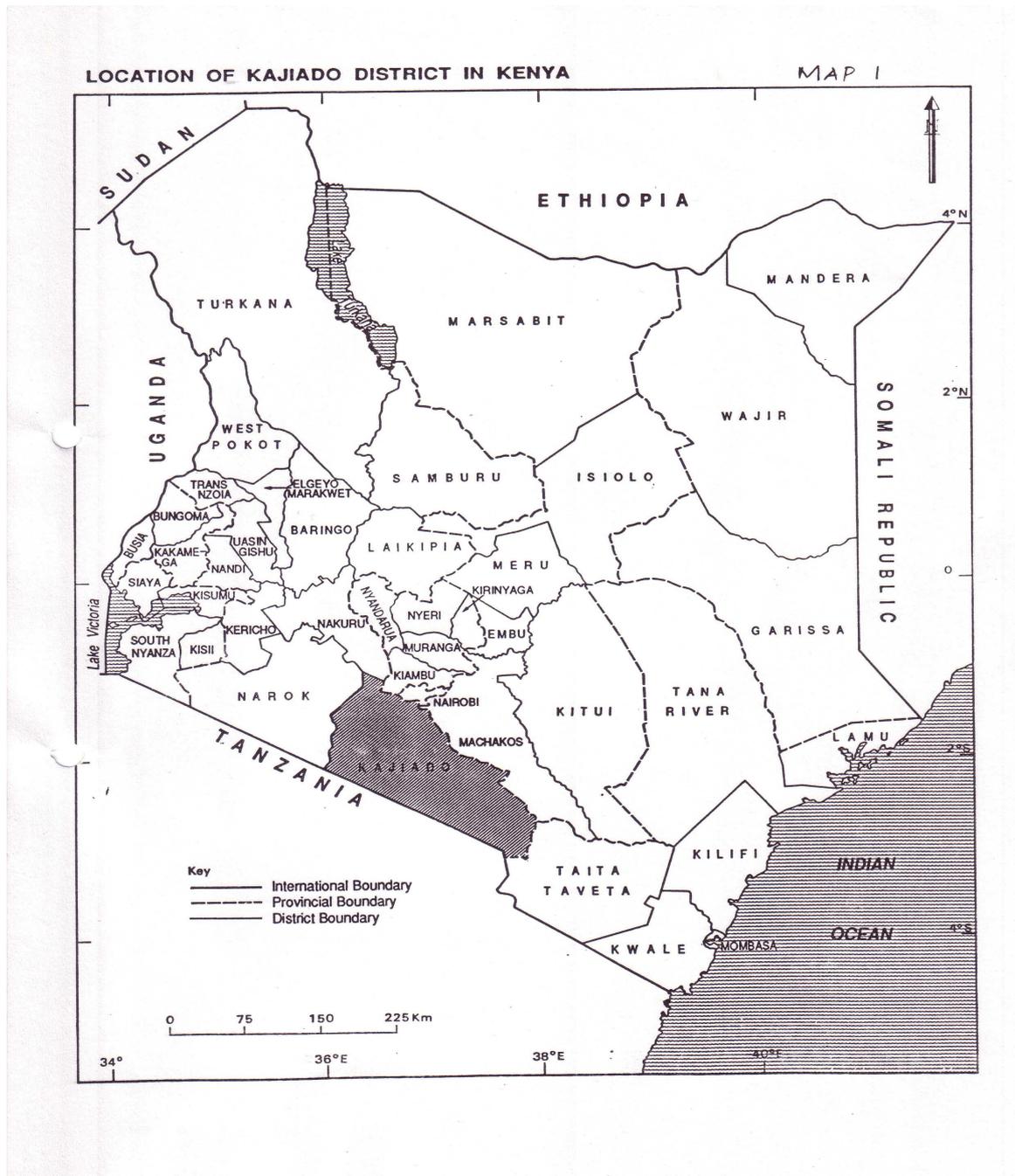
The Kajiado District Initiative pioneered a system of environmental conservation and poverty reduction that combined the following attributes: dealing with communal and private ownership of resources, which are prevalent in ASAL regions of Kenya, and working into one; administrative and ecological challenges to management of natural resources (this is ensuring that administrative boundaries are not an hindrance to effective natural resource conservation and poverty reduction – this was achieved by establishing clear criteria and linkage mechanisms to deal with environmental conservation and poverty reduction, within already established planning systems). The Ilkerin Loita Community and the Nepalese cases that follow in this chapter are meant to illustrate how things should work under communal resource and private ownership situations respective for effective and efficient environmental conservation and poverty reduction.

Kajiado District in Kenya is within the Arid and Semi-arid lands (ASALs) of Kenya, which make about 80% of the country's land mass. This district is 21,105 Km², which is 3.5% of Kenya's landmass (Kajiado District Atlas 1990). It is located at the southern tip of Rift valley Province (see map 3.1). It is bordered by republic of Tanzania to the south-west, Taita Taveta district to the south-east, Makueni and Machakos districts to the east, Nairobi province to the north-east, Kiambu district to the north and Narok district to the west (District Development plan 1994-1996). The pastoral Maasai are the main inhabitants of the district, although in the last 40 years there has been increased in-migration and settlement in the district by the neighbouring agricultural communities; the Kikuyu (from Central province) and Kamba (from Eastern province).

The district has a bimodal rainfall pattern. The short rains fall between October and December while the long rains fall between March and May. The annual rainfall is strongly influenced by altitude with Loitokitok on the slopes of Mount Kilimanjaro receiving the highest amounts (821mm per year) at 1960 metres above sea level (m.a.s.l.), and Magadi receiving the lowest (429mm per year) at 613m.a.s.l. Analysis of rainfall data for the two wet seasons indicates that most of the areas receive about 50% of the total annual rainfall during the March-May period and 30% during October - December period (Development plan 1994-1996). The temperatures vary with altitude, they vary from a mean of 30° centigrade around Lake Magadi, to a mean minimum of 16° centigrade on the slopes of Mount Kilimanjaro and Ngong Hills. The topography of the district is characterised by plains and occasional volcanic hills and valleys. The land rises in altitude from about 500 metres above sea level (m.a.s.l.) around the Lake Magadi to about 2,500m.a.s.l. in the Ngong Hills area.

The Arid and Semi-arid Lands (ASALs) programme which was a bilateral programme between the Netherlands and Kenya Governments started participatory community resource planning development activities in parts of the district, that is; Kuku group ranch in Loitokitok division, Shompole and Olkiramatian group ranches in Magadi division, and Oloontulugum and Olbelibeli locations in Central division in 1994. ETC-EA Consultants b.v. between 1996 and 2000 (Note these are the years the author was working with ETC EA consultants and was fully involved this process development) was facilitating in the establishment of community based natural resource development and poverty reduction process. This case study summarises the experiences and exposure gained during this facilitation.

Map 3.1 Location of Kajiado District - Kenya



Source: Kajiado District Atlas, 1990

3.3.2.2 Historical perspective to the natural resource development situation in Kajiado district

Pastoralists who live in ASALs of Kenya such as the Maasai, Samburu, Rendille, Turkana, Borana, Orma, and the Somali, have for generations practised nomadic pastoralism, which is a way of herding livestock (mainly cattle, camel, sheep and goats) that is dependent on mobility under transitional, and trans-seasonal vegetation and water potential of their environments. In order to assure their families of a stable supply of food and income, they manage seasonal variations within their eco-system using their accumulated indigenous knowledge, community and personal resources, the most important of which is their land.

For instance, until the late 1960s, economic and social life for the majority of the Maasai depended primarily on cattle and limited trade with their neighbours. Their livelihood was based on strategies which enabled each family to own sufficient cattle to supply needed milk in dry season and to meet social obligations (Dhyani., 1993). The traditional Maasai conservation and resource management techniques tended to conserve pastures and promote ecological sustainability. They made systematic reconnaissance of and movement to wet-season grazing flushes, which allowed production of standing hay in dry-season pastures; they used donkeys to carry water and expand grazing areas and to permit camps to stay as long as possible; they made moderate burns of grasslands to get rid of ticks and other diseases and promote growth of nutritious grasses; they directed movement of cattle and sheep to avoid damage to grass at critical periods and control bush encroachment. Families and camps who failed to adhere to these practices were subjected to social rebuke. Under this system of management, livestock numbers remained fairly static over long periods of time without harm to the environment.

During the last one hundred years however, the capacity of the pastoral Maasai to address adequately their livelihood needs has been seriously eroded by colonialism and the advent of modern state; which have taken over roles that were essentially meant for community structures. Due to the speedy and disruptive transfer of power and authority over community resources to centralised instruments of power and authority of the state without parallel establishment and empowerment of community structures that will demand equity, transparency, and accountability in how these resources are used to assure sustainable livelihoods to the communities who own them; the pastoralists now find themselves in a weaker position to sustainably manage their community resources than hitherto was the case.

As an example to illustrate the above; in the middle of the 19th century, the Maasai occupied the largest amount of territory of any ethnic group in East Africa (Dhyani., 1993). However, during the colonial rule and white settlement, Maasai lost some of their best dry-season grazing land. A few leaders agreed to sign a treaty in 1904 that removed them from the Nakuru-Naivasha area of Rift Valley. A second treaty in 1911 moved them from the Laikipia highlands. In exchange, their southern land was extended to include what is now part of Trans Mara district. After independence the Maasai were never able to reclaim this land because it was resettled on willing buyer and seller basis by mainly the neighbouring agricultural Kikuyu community.

After independence, the government focused its efforts in encouraging and sometimes forcing the pastoral Maasai to take up beef ranching, through the establishment of individual and group ranches. The Land (Group Representatives) Act, Cap.287 of 1968 (revised 1977) provided for dividing trustland (land held in trust for communal use by the local county councils) into group ranches. In Kajiado district the group ranches are owned by groups according to subsection/clan territories and are led by representatives through an elected group ranch committee. Sometimes these group ranch committees who are the creation of the state and not the community have been misused by individuals within the Maasai community (the elite and politicians) to misappropriate community land (most of it in the high potential former dry-season grazing areas) and allocate it to individuals as individual ranches. Some of these individuals have subsequently sold the land allocated to them to in-migrating agriculturists. As a result of the above, and in spite of initial good external funding to the group ranch programme, it has failed to live to its expectations. Currently most group ranches in Kajiado have been subdivided or are undergoing subdivision to individually owned land parcels. What is most unfortunate about this subdivision is that there is no clear land use policy, legislation and community institutional capacity building to ensure that this time round the people are the centre piece in land use planning, in order to achieve effective and efficient community resource development. This is the situation the ASAL²⁰ programme community-based resource development (participatory land use planning) was dealing with between 1996 and 2000

In recent years, especially during the 1980s and the 1990s, there has been a push and changes in global opinion to increase local communities role and responsibility over their own resources and destiny.

²⁰ From the end of 1998, ASAL Kajiado changed to Semi-Arid Rural Development Programme (SARDEP), which continues the work of ASAL Kajiado in the focus areas. These areas are now known as Amboseli (Loitokitok), Central (Oloontulugum and Olbelibeli), and Magadi (Shompole and Olkiramatian) Geographical Concentration Areas (GCAs).

Within the context of natural resources management and especially after the UN's Earth summit in Rio de Janeiro, attempts have been made to reconstruct and improve the capacity of communities to manage their own natural resources sustainably. The ASAL programme Kajiado (currently SARDEP- see footnote 2) was putting into practice the principles expressed in the Earth's summit agenda 21 document on integrated approach to planning and management of land resources (UNEP, FAO; 1997).

Some of the emerging problems in the use and management of natural resources being addressed by the SARDEP Kajiado are:

- increasing human, livestock and destructive wildlife populations that are not matched by adequate technological changes and community and district level institutional development and capacity building;
- frequent adverse weather changes without adequate attitudinal and behavioural changes in response to seasonal eco-system potential fluctuations;
- uncontrolled in-migration by agriculturists into marginally potential ASALs that restricts pastoralists' seasonal mobility and access to dry-season grazing areas and livestock water sources;
- inadequate policy and legislation support that is externally driven and susceptible to elite and political manipulation;
- inadequate community-based natural resources use and control regulation mechanisms; and
- poor community and district institutional and organisational capacity base to address participatory community-based resource development

3.3.2.3 Guiding the process

Three types of documents were developed to guide the community-based resource development process. These documents are;

- Guidelines for community level land (natural resources) use planning;
- Framework for Kajiado district natural resources use and management; and
- Community level natural resource management plans for site-specific action.

In summary the documents contain the following:

i. Guidelines for community level land (natural resources) use planning

The community level land use planning guidelines provided a process to be followed when strengthening the communities capacity to deal with land (natural resources) use changes and assisting them to develop sustainable land (natural resources) use options. The community level land use planning process should proceed in a logical sequence of 5 steps (see Box 1).

In these guidelines, chapter 2 provides an overview of the evolution and philosophy of community level land use planning. Chapter 3 gives the basic structure of the process and chapter 4 provides the details of executing the 5 logical steps of the process.

Time schedule, and notes on participation and communication, documentation, roles and composition of the facilitating team are given in the Appendices of the document.

This document guided the initialisation and operationalisation of the community-based resource development process, and, was expected to be reviewed from time to time to include lessons from practice.

ii. Framework for Kajiado district natural resources use and management

The concept of this framework for District Natural Resource Management is that relatively homogeneous units (Resource Management Areas - RMAs) in the district can serve as a basis for district level planning. Recognising these areas, identifying main constraints and opportunities with relation to resource use, and identifying what should be the main strategies for these areas, should give direction to selection of appropriate development activities in different parts of the district.

In Kajiado district, a number of major resource use issues were recognised, primarily resulting from conflicts over resources (land, water, vegetation and wildlife) between different user groups. There was already considerable awareness and knowledge of these issues. However a deeper understanding of the consequences and more factual information as opposed to general opinions, were needed. Since local level land use planning areas had been identified on the basis of the main resource use issues in the respective areas, more information and ideas for solutions were developed on particular resource use issues. The information was feed backed into the district natural resource management framework to assist in supporting the choice of district level strategies and priorities.

Through consultative dialogue with community and district level stakeholders, in the field and in brainstorming workshops, the district was divided into 12 resource management areas (RMAs) – see Map 3.2. Physiographic and socio-economic criteria were used for the identification of the RMAs.

The Physiographic factors considered were:

- climate/rainfall;
- topography/altitude;
- vegetation;
- water availability; and
- soils/geology.

The socio-economic and cultural criteria used was:

- type of resource use (agriculture, livestock, settlement, etc.);
- infrastructure/accessibility;
- population density; and
- general economic development.

iii. The community level natural resource management plans

The community level land use plan shows the consequences of the present resource use, and actions, which ought to be taken or avoided in order to achieve better and sustainable use of resources. The community was to use the plan to implement or solicit for assistance (financial or technical) to implement and support sustainable resource development activities.

The plan was normally eight chapters that are closely related. Chapter 1 is the introduction, chapter 2 gives the methodology/approach used in developing the plan, chapter 3 provides an inventory of the natural resources available in the area, chapter 4 presents the human resources of the area and chapter 5 examines how the resources are currently being used.

Chapter 6 describes and analyses the environmental problems and their causes, chapter 7 presents existing opportunities that have not been exploited and reasons for non-exploitation, chapter 8 gives a synthesis of information outlining strategies and activities that ought to be undertaken in order to achieve a better use of resources, support livelihoods and reduce poverty. The plan ends with a strategy for implementation, monitoring, evaluation, and re-planning when necessary.

3.3.2.4 Addressing the problems

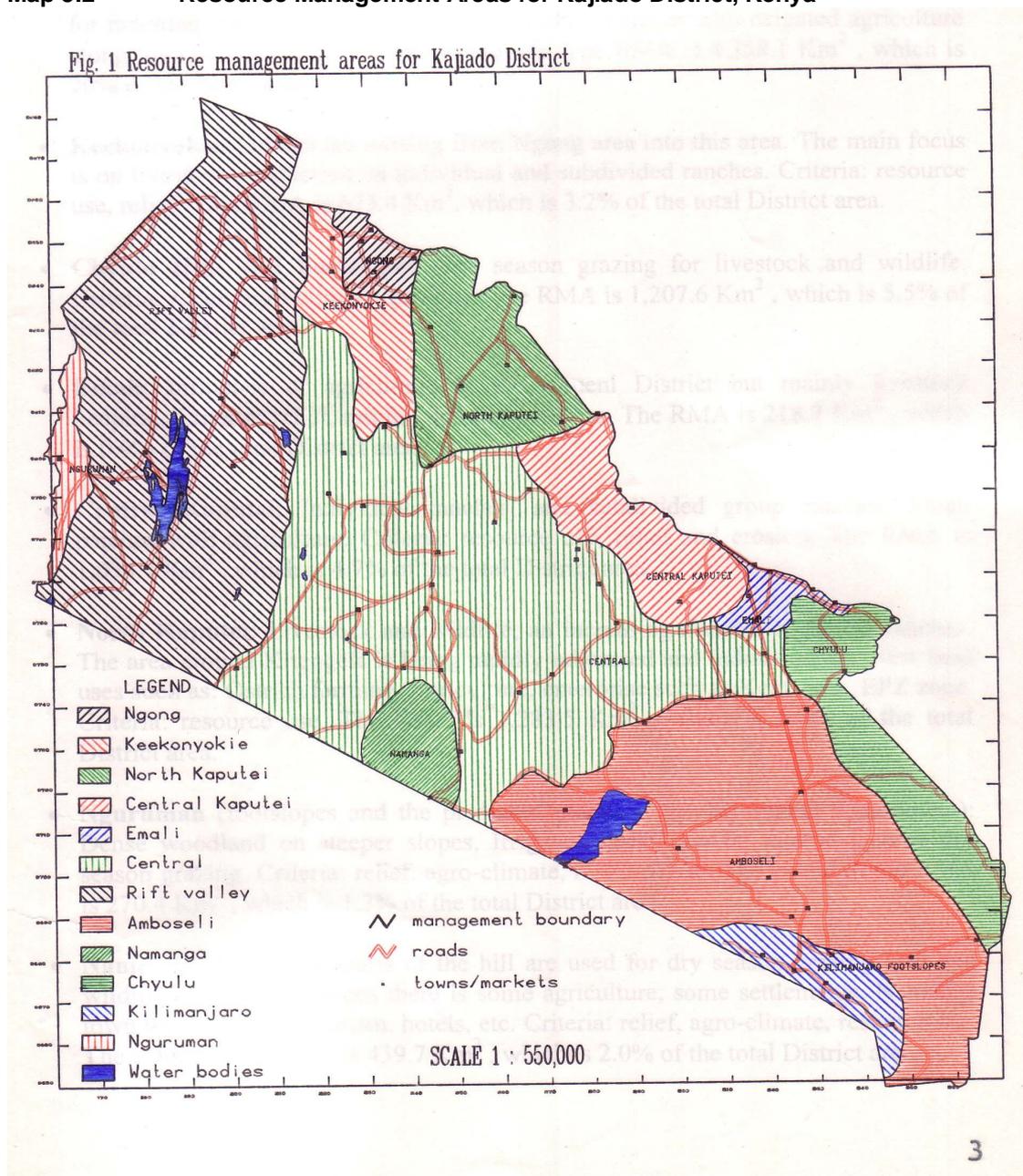
(i) Increasing human, livestock, and destructive wildlife populations

The issues of increasing human, livestock and destructive wildlife populations are interlinked in that the people own the livestock and move with them as they respond to seasonal variations in pastures and water availability. The wildlife follows the seasonal variations in pastures and water availability, and thus they are direct competitors for resources with livestock. Since the pastoral Maasai believe that every household must own livestock especially cattle, there is a tendency that with increased human population there are increases in livestock numbers. These increases aggravate an already existing conflict between human settlement, wildlife and livestock over land resources. These increases in livestock and wildlife populations need to be addressed, so as to reduce or resolve these conflicts. The strategies that were used considered the fact that human settlement, wildlife conservation, and livestock production have cultural, social and economic value to different stakeholders. To the Maasai people cattle are central to their lives; to Kenya Wildlife Service (KWS), wildlife is a key income earner and a tourist attraction; and to other stakeholders outside Maasailand livestock and wildlife have an economic and biodiversity value that must be protected for the sake of the national economic, environment conservation and preservation value.

In order to deal with the problem and also achieve sustainable resource development within the area, ASAL and now SARDEP natural resource use planning went through a process of participatory situational and participant analysis (see Box 3.1). This was followed by impact chain analysis (see example in Box 3.2) to understand the underlying factors to the problem and strategise (see example of one of the strategies in box 3.3) on how to reduce/mitigate against the negative impacts of the problem, while at the same time removing the bottlenecks brought about by the underlying factors.

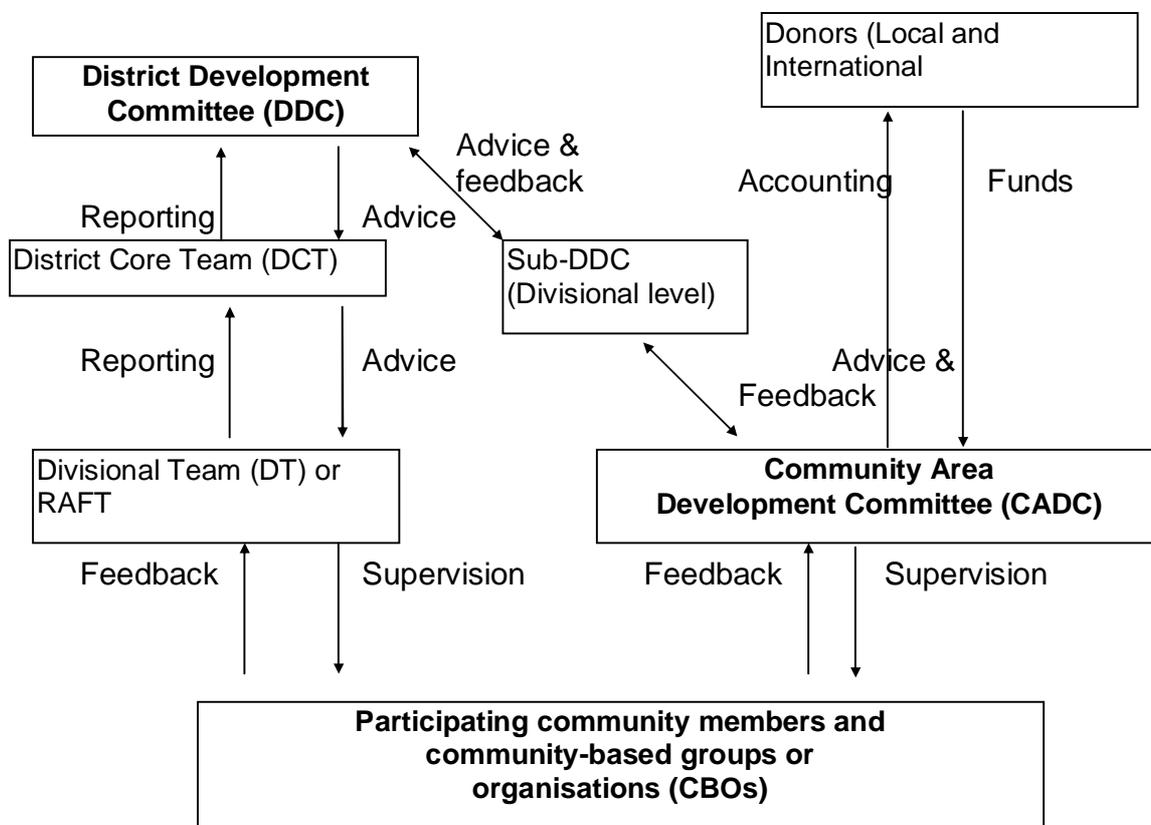
After exhaustive dialogue with all stakeholders, it was found necessary to establish and empower co-ordinating, and networking platforms at the community, divisional and district levels. At the community level, there is the Community Resource Development Committee (CRDC) now called Community Area development Committees (CADCs) under SARDEP - see Box 3.4 for its role and composition. At the divisional level we have the Divisional Team (DT) now called Resource Area Facilitation Team (RAFT) - see Box 3.5, and at the district level we have the District Core Team - see Box 3.6. The membership of these platforms is such that all key stakeholders at each level are represented in them. The community resource development committees are elected by the respective communities and community-based organisations and thus have the peoples' support. The DT or RAFT and CT are for planning and technical support to the CRDCs or CADCs. Figure 2 shows how these platforms are related. It is expected that with time more power and authority over community resources will be devolved to the CRDCs or CADCs and the respective communities.

Map 3.2 Resource Management Areas for Kajiado District, Kenya



Source: Arid and Semi Arid Lands Program, Kajiado District, February 1998. Framework for District Natural Resources use and Management. ETC East Africa, b.v. p. 3.

Figure 3.2 Linkage of the different development platforms – Kajiado District



To address the problem mentioned above the CADCs and the respective communities have to start activities that are natural resource management focused: like dealing with controlling the movement of wildlife through development of community managed wildlife sanctuaries, like in Kuku area; develop livestock production system that aim at reducing distances to watering points and pastures through improved pasture and vegetation management systems, and also diversification of livestock types; that is encouraging pastoralists to keep balanced mixes of browsers like camels and goats, and grazers like cattle and sheep. Controlling the frequency of movement through the same paths of large numbers of livestock going to pastures and water sources especially during the dry season to reduce soil erosion.

Encouraging human settlement patterns that take cognisance of land potential; settling on the poor parts of the land with limited potential for other uses. Using the available water (especially between pastoralists and irrigation farmers) and pasture resources more equitably and developing man-made water sources to cater for areas that are deficient in water resources.

Together with the above the CADCs and the respective communities must express and show commitment to natural resource management focus and process through their willingness to cost-share with the ASAL programme/government on the cost of activities, and also establish active participatory monitoring and evaluation teams, procedures and networking mechanisms with other CADCs, the DT or RAFT and the DCT.

Box 3.1 Structure of participatory community level resource use planning

Box 3.1: Structure of participatory community level land (natural resources) use planning

Participatory local level land use planning in Kajiado district is a process that proceeds through five closely linked phases/steps.

Phase 1: is the preliminary stage in which the specific area of interest is identified and selected, secondary data about the area is collected and reviewed, reconnaissance visits to the area are made, stakeholders active in natural resource management and divisional team are identified.

Phase 2: is the starting up of the field activity where preparations for fieldwork, introductory discussions with the community and gaining an overview of the natural resource management issues in the area is made.

Phase 3: is the participatory data collection and analysis at specific sites. In this phase, data is collected and analysed with resource users and groups to identify problems, causes and their underlying factors, actors, solutions and opportunities. Institution analysis is also done at this stage. A community-based implementation structure is also identified or created here.

Phase 4: is the options analysis and strategy development stage. It involves compilation, prioritisation and synthesis of identified issues to come up with a community level natural resource management plan for the area. Expert analysis of the solutions and opportunities to determine their feasibility and impact on natural resource management in the area is also undertaken at this stage. The findings and conclusions of the experts which include social and economic consequences provides the required information for synthesis and determination of a sustainable natural resource use plan for the planning area. The community-based structure identified or created in phase 3 above, is also empowered here through the relevant demand-driven training and exposure.

Phase 5: is the development of action plans. It involves further elaboration of the identified solutions and opportunities to come up with projects and detailed activity plans using the logical framework structure. This phase is to be taken as partnership between the community-based structure (CRDC), and other relevant development intervention institutions/organisations

(ii) *Dealing with adverse weather changes and attitudinal changes*

It is the nature of ASALs that they have marked seasonal variations in the potential of their natural resources, especially vegetation and water. The communities that live in these areas thus have to be empowered through knowledge, skills, attitude changing and improving training to be able to respond to this seasonal variation more consistently, confidently and concisely within their social, cultural and economic context. The community-based structures like the CADC will be better placed to do this especially with additional capacity building. For example the pastoralists must be made to understand the relationship between numbers, quality and value of their livestock. They should be made to understand and appreciate for instance that livestock do not just serve a cultural prestige and food security value only but have increasing economic value in a changing world. Thus livestock should be managed for their present net-worthy and long-term ecological sustainability for the good of the present and future generations – in other words a sustainable livelihoods approach as discussed in chapter 2 should be adopted. The people should be given education that liberates and empowers through problem-posing methods and participatory search for solutions within the realm of their own lives. All solutions must come from within, and external capacity sought only to add momentum and direction to internal solutions. This is the developing working philosophy of the CADCs. The need for a more participatory approach to land (natural resource) use planning, based on the premise that the land users will be the final decision-makers and implementers of land use changes is generally accepted (Muchena, et al.). This is what ASAL Programme, Kajiado land use planning is promoting.

Box 3.2 Example of impact chain relationship analysis

Box 3.2: Example of impact chain relationship analysis for a problem identified in Olontulugum and Olbelibeli locations of Central Division - Kajiado District

The problem: Reduced vegetation cover and quality

The trends in resource use:

1. There is overgrazing
2. Uncontrolled cutting of trees for construction, fencing and fuelwood

The human activities causing the trends:

- 1.1 Keeping of large herds of livestock per household and per unit area
- 2.1 Cutting of trees for construction and fencing

The underlying factors promoting/enhancing these human activities:

- 1.1.1 Over-dependency and strong attachment to livestock especially cattle, which are grazers
- 1.1.2 Unclear land use/tenure policy and limited institutional capacity to enforce
- 1.1.3 Relatively high human populations
- 1.1.4 Inadequate extension advice
- 2.1.1 Poverty
- 2.1.2 Unclear land use/tenure policy and limited institutional capacity to enforce
- 2.1.3 Relatively high human populations, and thus demand for materials and fuelwood
- 2.1.4 Inadequate extension advice

Box 3.3 Example of strategy development

Box 3.3: Example of a strategy for the improvement on the use of vegetation (trees and grass)

Improvement in vegetation use can be achieved by addressing the two major causes of reduction in vegetation cover and quality, which are poorly managed pastoralism and uncontrolled cutting of trees for different uses. Under pastoralism, the high livestock numbers per unit area kept during the dry season are the main cause of reduced vegetation cover and the increase in unpalatable *Ipomea* species. Activities to be undertaken to address the underlying causes of the problem are those that can assist to improve the efficiency of pastoralism under sedentary conditions and those that reduce over-dependence on livestock for food and income. They include:

- formulation and implementation of appropriate grazing management systems for pastoralism under sedentarised settlement
- promotion of market oriented pastoralism through strengthening and promotion of the production and marketing of milk and fatten steers to increase community income
- development of livestock early warning and market information and dissemination to the community
- development of a technology for eradication of *Ipomea* through on farm studies involving the community, relevant departments and researchers
- promote diversification into other viable income generating activities, namely: petty trading and beekeeping through provision of credit

To reduce uncontrolled cutting of trees, creation of awareness on impacts of tree felling and alternative sources of fencing materials and support of the community to plant trees for live fencing should be given priority.

(iii) Addressing the conflicts between agriculturists and pastoralists

In the Inkisanjani area of Kuku group ranch, Parkase area of Shompole group ranch and Ngurumann area of Olkiramatian group ranch, agriculturists and agro-pastoralists have settled and developed irrigation schemes that take a great deal of the water of these areas from the rivers that are used by the pastoralists downstream. Furthermore these areas, which are now under intensive crop farming are former dry-season grazing areas of the pastoralists who live near them. During the dry season, especially in times of severe drought, there are some conflicts between the agriculturists and agro-pastoralists on the one hand and the pastoralists on the other over water and the need to graze livestock in these areas. In order to resolve these conflicts amicably, there is need for the key stakeholders in these areas to be involved in dialogue over how best they can utilise their available water and pasture resources. The CADCs in these areas are working towards better management systems for pastures and water resources with the aim of optimising the communities' present and future benefits. It is appreciated that both pastoralism and irrigated crop farming are useful for the long-term food and income security of the people of these areas. The key strategy in these areas is to ensure that livestock do not move for long distances in search of water and pastures, and even if they move the numbers and the time period involved is reduced to environmentally manageable levels. The efficiency of the present irrigation and water use systems is also targeted for improvement through community participation.

Box 3.4 Roles and composition of Community Resource Development Committee

Box 3.4: Roles and composition of community resource development committees (CRDCs) or CADCs

Roles:

1. Organise and mobilise the community for all identified natural resource management activities;
2. budget for project activities and assist in soliciting for funds locally and externally;
3. distribute funds among project beneficiaries;
4. co-ordinating implementation of activities and ensuring focus on natural resource management;
5. appraise and monitor progress;
6. facilitate communication both within and with outsiders and non-community stakeholders;
7. enforce discipline among project beneficiaries; and
8. arbitrate whenever there are wrangles.

Composition:

- women representative
- youth representative
- Low income groups representative
- community groups (organisations) representative
- locally active front-line Non-Governmental Organisation (NGO) representative
- the community elite representative
- community wildlife association representative (where they exist)
- the local county council councillor, and the local Chief and his/her assistants (ex-officio)
- the Divisional Team (DT) or RAFT representative

A maximum of 13 members is permissible

(iv) *Lobbying for policy and legislation support to participatory community-based resource development*

Centralised state power and authority over community resources can not guarantee sustainable community-based resource development because for communities to feel secure and committed to the process and activities they must be convinced that they have the power and authority to decide on the level and flow of spatial and temporal benefits from resource management. The development and internalisation of the process also takes a long time, and there has to be guarantee to the community over ownership and control over their resources for long period of time. This can only be achieved through participatory formulation and application of policy and legislation support.

This type of policy and legislation is not in place in Kenya, and thus there is need to lobby and advocate for support to the communities endeavours to ensure that the conducive policy and legislation is in place for participatory sustainable community-based resource development.

One of the objectives of the SARDEP Kajiado community-based resource development process was to: contribute to land (natural resources) use policy and legislation at the District and, as far as possible, at the National. This was to be achieved through; compiling and analysing information on major land (natural resources) use issues in the District, and providing a forum for discussion of these issues with the relevant institutions and actors. Thus through intense dialogue with the resource users at the grassroots, ideas, opinions, and lessons learnt on how to institutionalise and operationalise participatory community-based resource development and poverty reduction are passed on to the district platforms (the Core Team and the Project Management Unit - PMU). Then through workshops and seminars with key stakeholders and environmental conservationists, and also the District Development Committee - DDC (the government structure in charge of district development activities), the SARDEP land use planning lobbies for policy and legislation support to participatory community-based resource development and poverty reduction in the district. By end of 1999, one thematic policy workshop on community wildlife management and utilisation had been held, and recommendations passed on to the relevant government body concerned with wildlife policy issues.

Box 3.5 Roles and composition of Divisional Team

Box 3.5: Roles and composition of Divisional Team (DT) or RAFT

Roles:

1. Participate in the development of land use plans together with the community, CADC, and other stakeholders;
2. organise and develop action plans jointly with the community and CBO representatives;
3. facilitate and coordinate community implementation of the action plans;
4. act as link between the community and other stakeholders;
5. collect and compile data at the local level together with CADCs, community, and CBO representatives;
6. report to Sub-DDC, line Government departments/NGOs and ASAL; and
7. create awareness among the grassroots stakeholders.

Composition:

Representatives of the relevant government departments and NGOs and community partners

(v) Enhancing community control and management mechanisms

For generations the communities resource control and regulation mechanisms have been undermined by political interference, inappropriate legislation and policy, and continued negative education on the role and capacity of the communities to use and manage their resources sustainably. This has created dependency on externally driven resource use and management interventions, and seriously undermined the communities confidence and trust in their capacity to control and regulate the process of use and management of their resources. For participatory community-based resource development to take root, this had to change gradually so as to renew the communities believe in themselves and their capacity to manage their resources sustainably.

Through the CADCs, the resource users were being encouraged and supported to develop rules of conduct and regulations on how to use and manage their resources. These rules and regulations were formulated and applied in a transparent way and all stakeholders were involved to ensure popular support. The communities were trained and educated to discard top-down notions of community policing to ensure adherence to rules and regulations, and to adopt joint and participatory monitoring and evaluation of the control and regulation mechanisms.

This was expected to ensure that there was always flexibility to accommodate changing circumstances and opinions, and also help to inculcate self-respect and confidence in the community members. The CADC members were trained and empowered to take up these challenges as community mobilisers.

Box 3.6 Roles and composition of the core team

Box 6: Roles and composition of the Core Team (CT)

Roles:

1. Liaise and coordinate ASAL funded activities with line departments and NGOs
2. in collaboration with the Land Use Planning Coordinator (LUPC) coordinate programme and provide technical support to the divisional teams during the development of land use plans
3. liaise/link with other agencies as part of the core team
4. collection, compilation/documentation of the secondary information at district level
5. programming of ASAL funded activities within the respective departments/NGO at district level
6. provide technical support to DT during implementation of land (natural resource) use plans
7. be involved in participatory monitoring and evaluation of SARDEP funded activities
8. lobbying for policy development and financial support together with the concerned CADCs
9. reporting to DDC, PMU and heads of government departments
10. finalising and fine-tuning action plans in conjunction with DT or RAFT and especially on technical aspects including finances; and
11. facilitate integration of LUP activities with other agencies and individuals.

Composition:

Representatives of the main line agencies and NGOs involved in natural resource management and utilisation activities at the district level.

(vi) Enhancing the community and district capacity to manage and guide participatory community-based resource development

The District Planning Unit (DPU), comprising of the District Development Officer (DDO), his Assistant, the District Statistical Officer (DSO), the District Environment Protection Officer (DEPO), and the SARDEP Project Management Unit (PMU), was found inadequate to address community-based resource development issues both at the community and district level (ETC-EA, 1995).

In order to build the capacity of the district to promote and support the process it was found necessary to:

- develop a framework for the district, and more specifically the ASAL programme, and
- support communities in the district to deal with land (natural resource) use changes

The above was to be achieved through:

- (i) Identification of a strategy for development, based on spatial differentiation of the district, leading to priority areas and priority interventions in those areas - this has been done through the development and pilot testing of the District framework for natural resources use and management (ETC-EA, 1998);
- (ii) Integration of the necessary sectors in land use planning (community-based resource use planning) - this was done through the development of local level land (natural resources) use planning guidelines, and the participatory establishment of community, divisional, and district level platforms to assist, co-ordinate, and prioritise the natural resource use process, and activities. These platforms are; the CADCs (at the community level), the divisional team (at the divisional level), and the core team (at the district level);
- (iii) Development of the land use planning and monitoring procedures at the community and district levels;
- (iv) Development of analytical and planning capacities at the local level (through local level land use planning in pilot areas) - these areas are in Kuku group ranch - Loitokitok division; Shompole and Olkiramatian group ranches - Magadi Division; and Oloontulugum and Olbelibeli location of Central division;
- (v) Development of sustainable land use (natural resources use) options for specific land use problems in specific areas - the starter activities in the pilot areas are supposed to contribute to this; and

- (vi) Provision of feedback to the district level on local level priorities and possible options in order to ensure a more focused planning at this level.

3.4 Decentralisation, participation, policy change, good governance and accountability: Two complementary approaches

In order to improve on institutionalisation of environmental conservation and poverty reduction while developing decentralised systems of governance to promote good local governance, participation and greater democracy, there is always urgent need to improve participatory action planning and implementation at the micro-level. As the Kajiado initiative demonstrates there is need to be clear what is the process, what are the process indicators, the nature of participation of marginalized groups, and the type of demand-led support necessary.

In institutionalisation of environmental conservation and poverty reduction, two approaches have evolved as promising in achieving effective decentralisation; participation; push for the necessary policy change; and in achieving good governance and accountability. These approaches are what we would call here “the community development” approach, especially where resources are communally owned; and the “resource user group²¹” approach, especially where resources are privately owned or under leasehold. The Kajiado initiative was designed to accommodate both communal and private resource ownership.

The community development approach in institutionalisation of environmental conservation and poverty reduction is exemplified by the Ilkerin Loita Integral Development programme (ILIDP) in Narok district of Kenya²².

²¹ Resource users can be defined in two ways: the way they use resources over time, or the way they use resources over space. Over time you can talk about: regular resource user – those depending on the resource for subsistence products, e.g. fuel, food, or other livelihood products; occasional resource users – those using the resource seasonally or infrequently (e.g. pastoralists and non-timber forest product collectors); those who will use the resource in the future – those likely to be located some distance from the resource who may look forward to getting products in the future. Over space you can talk about irrigation farmers, rain-fed farmers,, agro-pastoralists pastoralists, small-scale businesses, large-scale businesses, industrialists, and others depending on the geographical part of the resource they occupy or frequent in their use.

²² The work of ILIDP on community development approach to resource conservation and poverty reduction was initiated by ETC-EA and CORAT Africa, while the author was working with ETC-EA, between 1997 and 1999. It is still on-going and has achieved a lot in the area of resource conservation and poverty reduction. It is also another improving success story that informs the application of ACOSA-VBA planning in the East African

The resource user group approach as practiced by a number of conservation and development projects/programme is well described in July 2003 issue of the Journal of Forest and Livelihood from Forest Action, Rural Development Network, Overseas Development Institute. In the Journal, the authors are using Forest User Groups (FUGs) in Nepal as example. Here the summaries of the two cases will be presented to illustrate how these approaches work to assist in institutionalisation of environmental conservation and poverty reduction.

3.4.1 The Community Development Approach: - the example of ILDP, Narok, Kenya

A community-based, non-profit organisation registered in Kenya, Ilkerin Loita Integral Development Programme's (ILIDP's) mission is to build the capacity of the Loita Maasai²³ to manage their own resources – human, land and livestock – for their own development. In empowering the Maasai, the short-term objective is to alleviate poverty and improve the socio-economic status of the community by promoting development initiatives that are relevant to Loita culture and consequently safeguard their indigenous spirituality and cultural identity (personal experiences and adaptations and summaries from: Johnson ole Kaunga and Mark ole Karkolo, May 2006. Reaching the Unreachables: Strategies, lessons and Best Practice of ILIDP. ILIDP).

i. The identity and legitimacy of the ILIDP Community Approach

ILIDP espouses the following values as a community own and ran organisation focusing on holistic socio-economic development (very strong on sustainable environmental conservation) and poverty reduction (livelihood support) within the Loita Maasai of Narok District, Kenya.

participatory natural resource management and governance (PNRMG) training programme based at MS-TCDC, Arusha, Tanzania.

²³ The Loita Maasai live in southwestern Kenya and northern Tanzania, with the Kenyan population estimated at 20,000 people who occupy Loita Division of Narok District, Rift Valley Province, Kenya. The Loita Maasai remain the most traditional of the Maasai sub-communities. They are as physically unreachable as they are hard to reach culturally because their home range is remote, lacks the basic infrastructure and is often simple inaccessible.

- Community spirit;
- Cultural dignity and integrity;
- Equity for all;
- Unity is strength;
- Justice for all;
- Empowerment;
- Participation; and
- Sustainability.

There are three pillars to ILIDP community approach. These are:

- a. Governance and legal status: ILIDP is run by a voluntary Board of Governors and managed by a team of professional staff. The Loita Council of Elders and the trustees vet the Board members from those who are nominated or elected by the Pastoralist Community Development Associations (PCDAs). PCDAs are based at the Location,, which is the level between the village and the district, in Kenya;
- b. The legitimacy and mandate of ILIDP: derives from the community, through the Council of Elders and other organised community institutions. The Loita community strongly identifies itself with the ownership and management of ILIDP; and
- c. Strategic focus: the intention has always been that through ILIDP Loita pastoralists will become more aware, motivated, organised and able to tackle poverty and marginalisation. The further intention is that the programme will work to empower the Loita to manage and direct their own development and other desired changes necessary to improve life.

ii How ILIDP works

According to Johnson and Mark, May 2006, p. 26, ILIDP as an organisation has faired so well because it focuses on the following seven issues: maintaining social relevance, incorporating the cultural imperatives of the beneficiaries, decentralising operations, empowering the communities, securing livelihoods, building alliances, and letting go where necessary.

iii Maintaining social relevance

This is done through; Constant social dialogue with stakeholders: ILIDP has developed its own strategies of listening to and communicating, interacting and consulting with Loita Maasai and its partners. This is mainly done through honest and open dialogue, keenness to listen to each other, frequent contact and interaction; Internal organisational dynamism: Appreciating and recognising people and their culture as resource to the organisation, learning from failures and using the experience to generate knowledge needed to improve the programme and get desired results, empowering Board and staff to be proactive to development – to create and influence the future, maintaining a consistency of purpose to enable ILIDP to speak authoritatively on specific issues and experiences, and maintaining unwavering commitment to the overall cause of the Loita Maasai.

Playing the role of a facilitator: This is to enable the Loita Maasai to undertake development for themselves on the basis of their own vision and aspirations.

Mentoring process: ILIDP supports the Pastoralists Community Development Associations (PCDAs) through an evolving mentoring process that includes formal and informal visits, guidance, workshops, residential seminars, and exposure visits. It also involves posting community motivators to the PCDAs to assist the committees and animators to understand and appreciate their responsibilities.

Conflict and criticism management: ILIDP has been able to accommodate or address conflict and criticism directed at the organisation in an open and confident way without being distracted from its original goal and purpose.

iv Incorporating the cultural imperatives of the beneficiaries

Committed to an ethno-development strategy, ILIDP does this through; Respect for the indigenous spirituality of the Loita Maasai: To stimulate self-development within the community, the programme has drawn on Loita cultural practices and ways of approaching issues to find means for accomplishing and sustaining better livelihoods.

Social-cultural resource mobilisation: ILIDP has facilitated the Loita Maasai to use their cultural and social structures to address the day-to-day challenges and produce the necessary results with minimal external support.

v Decentralising operations

By establishing PCDA's at the locational level, ILIDP has managed to scale-up activities, allow communities better access to essential services, stimulated and promoted organisational dynamism, and improved the sustainability of project outcomes and benefits. The PCDA's have enabled ILIDP to:

- Expand coverage through direct community participation;
- Promote project ownership through membership in the PCDA's; and
- Scale-up activities with simultaneous down-sizing of ILIDP as an organisation.

vi Empowering the communities

ILIDP promotes and strengthens the empowerment of the Loita Maasai by using interconnected strategies that seek to achieve; access, leverage, choices, status, critical reflection capability, legitimisation, and adaptability.

vii Securing livelihoods

The livelihood approach involves an integrated effort of development and improved management of resources (human capital, social capital, natural capital, financial capital, physical capital, and political capital) used by the community for its own existence and survival.

The livelihood approach intends to generate more income, enhance well-being, reduce vulnerability, increase food security, and sustainable use of natural resources.

viii Building strategic alliances

ILIDP aims to share lessons and experiences and expand positive influence. Having been in existence almost 34 years- it started in 1972 - ILIDP has been able to assert its influence at the District level through the various District Development Organs, e.g. the Narok District Development Committee. In 1992, ILIDP developed strategic alliances at the United Nations, through Indigenous Populations Group, to stop the annexing of Enaimina Enkiyio Forest by the Narok County Council.

ix Letting go where necessary

It demands a lot of internal self-confidence for an organisation to be honest about its initiatives and to clearly communicate with its stakeholders. Through self-assessment and dialogue with the Loita Maasai, consultants and donors, ILIDP has been able to make itself professional, effective, and efficient.

x Impacts of ILIDP on institutionalisation of environmental conservation and poverty reduction among the Loita Maasai

ILIDP within its mission of: provision of support and quality capacity building services to the Loita Maasai to enable them to mobilise the necessary resources, services and skills for securing their livelihoods and alleviating poverty; works within the UN declaration on the right to development (1986); the UNESCO universal declaration on cultural diversity (2001), UN Millennium Development Goals (MDGs); and Kenya's Economic Recovery Strategy for Wealth and Employment Creation (2003). So far its impacts have been:

- Promotion of formal education; establishment of 12 full primary schools and six feeder schools at strategic areas in Loita division. Building and helping to operationalize the only secondary in the area;
- Community mobilisation, organisation and empowerment; ILIDP has facilitated the Loita Maasai to organise on the basis of geographical localities and areas of natural population concentrations, into Pastoralists Community Development Associations (PCDAs). The local cultural structures: clans, age-sets, the elders council, the women council, the junior elders and young morans have become locus for community empowerment, skills training, service delivery and input into decision-making. As a result there has been increased participation and informed decision-making by the community in its own development process;
- Women's training and development; ILIDP has directly supported the Loita Women Council (LWC), which is a coalition of all women groups in Loita Division. LWC is now a recognised institution that advances the representation and position of women in Loita. The council has successfully pushed women into otherwise male-dominated decision-making organs in society and institutions.
- Youth Training and Development; The young people formed an umbrella organisation, the Loita Youth Association, which brought all the youth groups together. This gave them a new status next to that of the Council of Elders. They have now used this structure to field their own representation in local decision-making processes. The Loita Youth Association is also instrumental in spearheading formal education and successfully exerts peer pressure on any members who digress from communal goals such as school dropouts. They also embark on HIV/AIDS awareness campaigns;

- Leadership training and civic education; Leaders have been trained in basic human rights, and there has been several general awareness campaigns to sensitise the local leadership – traditional elders, government administrators and local politicians on the plight of the Loita Maasai in relation to environmental conservation and poverty reduction;
- Community awareness creation; Awareness is created through seminars, workshops and exposure visits. Through awareness creation, the community is able to re-evaluate and utilise its own socio-cultural values, make itself informed, and maintain unity
- Socio-economic development; promotion of livestock development through having a 3,100 acre ranch to raise better breed animals (Sahiwals, Galla goats, and Dorper sheep) to sell to the community to improve their stocks, a mobile veterinary clinic with close collaboration with the government veterinary department. There is also the Loita Livestock Traders Cooperative which addresses marketing of livestock and related income generating activities.;
- Promoting of food security and sound environmental management; ILIDP initiated self-awareness and motivation seminars and practical demonstrations to encourage the Loita Maasai to undertake small-scale subsistence farming. Environmental management is promoted through establishment and training of local environmental committees and the Loita Enaimina Enkiyo Conservation Trust, which currently spearheads all environmental activities;
- Income-Generating Activities; a number of Loita Maasai are now engaged in diverse enterprises ranging from village shops to kiosks that serve the community. More women and youth groups are involved in some retail trading of household goods and livestock, than the case was before;

- Land and Land Rights Campaigns; ILIDP has been and continues to be instrumental in organising and mobilising the Loita Maasai to defend their land and land-based resources against massive destruction and alienation instigated by the current land ownership in Kenya that prefer individual as opposed to collective ownership; and
- Networking and collaboration; ILIDP has a very close working relationship with the veterinary department, provincial administration, ministry of planning and national development and other line government organisations, Narok County Council, the Catholic Diocese of Ngong. It is also a respected member of various fora such as the District Development Committee, the District Executive Steering Committee, District Education Board and District AIDS Control Committee. These alliances are focused at enabling the community to expand its opportunities in environmental conservation and poverty reduction.

3.4.2 The resource user group approach: The example of Napelese Forest User Groups

To understand the resource user group approach to institutionalisation of environmental conservation and poverty reduction, it is useful to think of resource use as on-going and evolving social development process, where use and user will keep on changing depending on political, social, and economic circumstances. In this regard there is an inter-play of actors, policy and implementation processes, activities, outcomes and impacts (Springgate-Baginski, O et al, in Forest and Livelihood, Vol 3 (1), July 2003, ForestAction, p 21).

The purpose of resource user group approach is to develop strong and viable resource user groups that work together in a way that ensures sustainable environmental conservation and poverty reduction. In order to do this you need to understand the competency needs of resource user groups in terms of organisation, mobilisation, and training.

For example in the case of Nepalese Forest User Groups, a criteria using the necessary process elements and their indicators for strong and viable Forest User Groups was used to determine how to make the user groups stronger. Some key process elements and their indicators are illustrated in the table 3.1

Table 3.1: Process Elements and Indicators for strong and viable user groups

Process element	Process indicator
User organisation and cohesion	<ul style="list-style-type: none"> • Legitimate users included in the user group • Sense of ownership of the resource amongst users • Users united, with common purpose and trust
Resource Management	<ul style="list-style-type: none"> • Resource boundary/extent well defined • Effective resource protection • Resource condition good or improving • Active resource management
Product Distribution	<ul style="list-style-type: none"> • Appropriate resource products needs fulfilled • Equitable product distribution • Sustainable/secure product supply
Decision-making and implementation	<ul style="list-style-type: none"> • Regular stakeholder/actor interaction • Transparent and inclusive decision-making • Hamlet (sub-village) level interaction • Effective leadership-decisions implemented • No negative-political interference • Participation of users in user group activities
Communication and awareness	<ul style="list-style-type: none"> • Information flow and communication in user group • Users aware of roles and responsibilities
Gender and equity consideration	<ul style="list-style-type: none"> • Women on user committees and other decision-making organs of the user group • Women included in the user group functioning • Separate women's groups within user group categories • Marginalized and poor people on user group decision-making organs • Equity in rights, duties, and legal redress • Needs of the poor and marginalized considered
Economic Development	<ul style="list-style-type: none"> • Active fund generation • Fund transparency • Fund and local resource mobilisation
Livelihood and community development	<ul style="list-style-type: none"> • Loans, support for improved HH income generation • Discussing, organising and supporting community development (CD)

Conflict Management	<ul style="list-style-type: none"> • Conflict analysis mechanisms in place • Use of third parties in conflict resolution • Conflicts resolved
Linkage and network development	<ul style="list-style-type: none"> • Relation of user group with other civil groups and/or organisation at grassroots, district, and national levels • Relationship of user group with government organs • Links with other user groups, associations and networks to push for policy change and proper practices

Source: Adapted from Springate-Baginski, O et al., Journal of Forest and Livelihood 3 (1), July 2003, page 25. Applying process indicators for Forest User Group Institutional Development. ForestAction, ODI.

***i* The User Group Micro-level planning process**

The following is an example of how the process could be conducted (adapted from: Om Prakash Dev, et al in Journal of Forest and Livelihood 3(1) July, 2003: Hamlet-Based Micro-level Action Planning; A tool for Improving Forest User Groups' planning, Decision-making, and Implementation, pp51-63), with modifications to suit the local conditions

***a* Initial User Group representatives planning meeting**

This is to agree on procedure, it should be attended by gender-balanced and sensitive representatives from each of the sub-village (hamlets).

***b* Sub-village (hamlet) occupational meetings**

These are meetings for different occupational groups separately and if need be gender segregated (women, men, and youth). These occupational groups are like medicine people, agriculturalists, fuel wood sellers, Charcoal-makers etc. They are inter-hamlet and the purpose is to discuss particular occupational needs and aspirations, in relation to others and sustainable environmental conservation and poverty reduction.

***c* User group committee (or Representatives) preparation for User Group's Assembly**

This is to compile user group level priority action points, and draft a user group assembly meeting agenda.

d User group assembly

In this assembly each hamlet briefly presents its priority issues and action plans. After presentations, an agenda for negotiation is agreed upon.

e User group micro-level plan drafting

This is done through discussion and negotiations, and responsibilities for implementation are allocated

f Implementation process

During this process the necessary networking and linking between the user group, other user groups, associations, government organs, and appropriate outside support. The user group plans are linked with other Village Development Plans and to District level support agencies.

g Regular process monitoring, review, documentation, evaluation and re-planning

The process is repeated when the user group is ready to review its progress, impact and to identify new action-points. The progress review and impact analysis process is a self-monitoring, evaluation and re-planning exercise.

ii The Support to micro-level planning

Ownership of the micro-level plan must be with the user group members themselves in order to encourage them to take responsibility for their self-development. Support to micro-level plan can include among others the following:

- Technical support for hamlets to identify their own needs in terms of resource management as well as community development;
- Invitation by the responsible district office for user groups to submit their micro-level plans, so that support to user groups can be targeted to help user groups achieve their priorities;
- Planning process by district agencies to coordinate support;

- Regular contact visits to user groups by relevant District field staff with prior notice given so that meetings can be organised in advance;
- Outside (Neutral third party) support for conflict resolution, especially over resource boundaries and optimum use; and
- A speedy process of plan development, implementation and revision.

iii Impacts of micro-level planning on institutionalisation

Some of the positive impacts of effective and efficient micro-level planning to successful institutionalisation of environmental conservation and poverty reduction are:

- Elite-biases in decision-making are reduced resulting in mobilisation of consensual collective action;
- Wider needs of users are addressed. Empowerment of the poor and marginalized groups does occur, when they begin to attend user group meetings and see that their opinions and ideas are valued and considered during the implementation process;
- Equitable livelihood and community development initiatives are brought on-board;
- Improved resource management and implementation of other community development activities;
- The various skills of local residents are identified and mobilised through planning;
- User groups are in a better position to identify what they can achieve independently and what requires external support;
- More development-oriented relationships between user groups, the government, private sector, and other civil society organisations and associations evolve on the basis of development planning; and
- A genuine bottom-up, demand-driven development approach is promoted.

iv The User Groups networks

With time most user groups go beyond resource management, and develop an active role in community development planning (adapted from: Springate-Baginski, O. et al, Journal of Forest and Livelihood 3 (1), July 2003: Community Forest Management in the Middle Hills of Nepal; the changing context. Pp 5-19). They begin to develop networks and linkages to resolve conflicts, make resources and techniques available, share experiences, and get support for their planned activities. Examples from the Nepalese experience were:

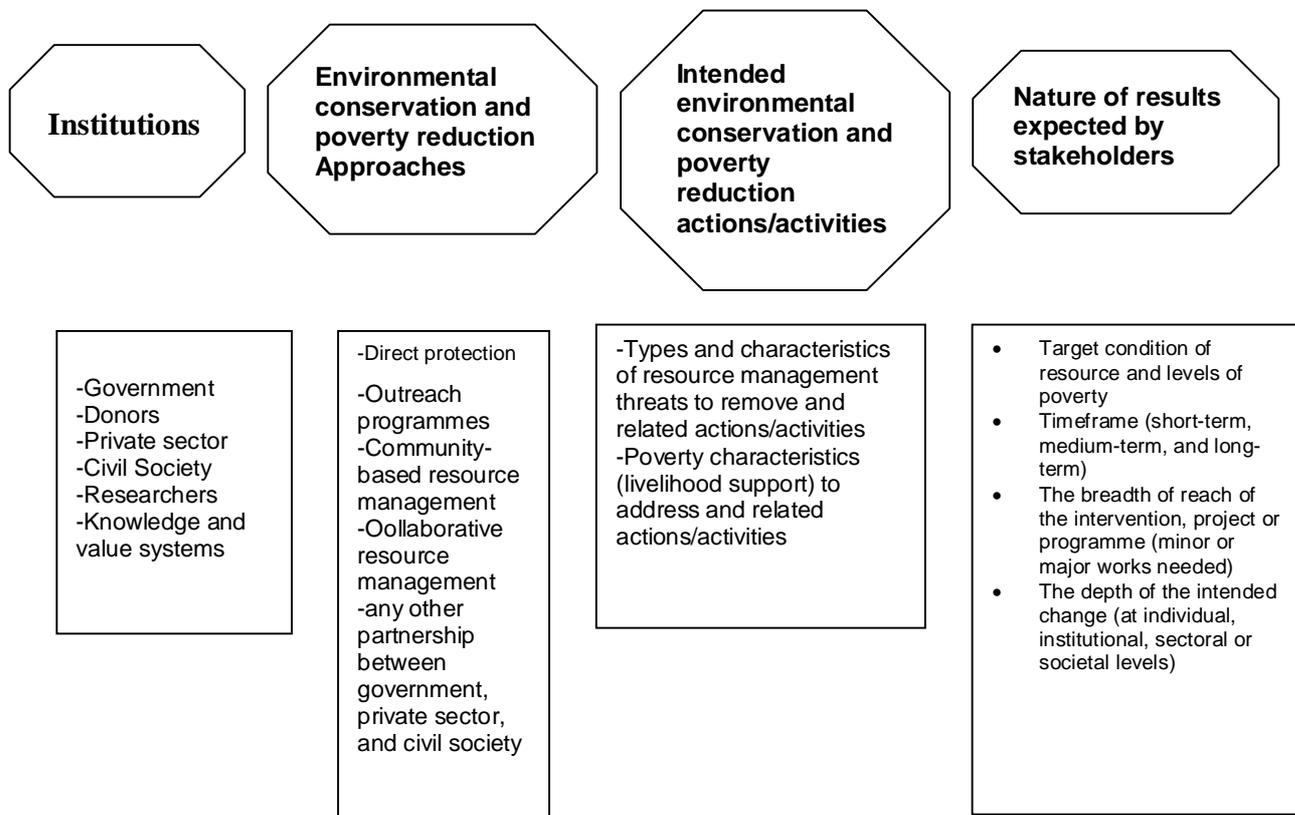
- Village Development Committee level user group networks became active in support of local development issues and conflict resolution;
- Product networks formed by a number of user groups, producing and marketing similar product, e.g. resin, gave collective strength in marketing negotiations, and facilitated local processing activities;
- Range-post level networks (which include 10-30 Forest (Resource) User Groups – (R)FUGs) had been formed to address various community forestry (resource) issues;
- Two national level federations now exist. The Federation of Community Forest User Groups of Nepal (FEDCOFUN), providing support to FUGs in resolving conflicts as well as representing their interests at national level. It has developed a high political clout. The Nepalese Federation of Forest Resource User Groups (NEFUG) has joined it currently.

3.5 Controlling performance to ensure desired results

The importance of having systems to measure progress in institutionalisation of environmental conservation and poverty reduction cannot be over-emphasised. Appropriate performance measurement criteria and system will not only keep institutionalisation of environmental conservation and poverty reduction issues on the people's conservation and socio-economic development radar, but will also allow stakeholders to share their successes and identify new challenges to environmental conservation and poverty reduction (livelihoods support) as they move along.

For the above to happen in a systematised way and at key systemic levels of households, groups, organisations, and institutions within East Africa, there is need for actors whether they are individuals or corporate bodies to understand, appreciate and internalise into their ways of doing environmental conservation and poverty reduction, the complex context within which conservation and development interventions, projects or programmes work. The figure below illustrates this:

Figure 3.3 A general model of environmental conservation project



Source: Author's experience and ideas from: Margoluis, R. and N. Salafsky, 2001. Is our project succeeding? A guide to Threat Reduction Assessment for Conservation. Washington, D.C.; Biodiversity Support Program. World Wildlife Fund.

Controlling performance means the power, ability, or authority of an individual, group, organisation or institution to direct, influence, regulate, streamline, and keep in check ensuring actions according to laid down criteria to achieve set targets and expectations in an efficient (resource use optimisation) and effective (results-oriented) way. For this to happen in the appropriate manner, the individual, group, organisation, and institution should have three key abilities: an ability to maintain actor/stakeholder/institution's specific identity, values and mission; an ability achieve individual/stakeholder satisfaction; and an ability to manage external interactions while valuing own identity and mission.

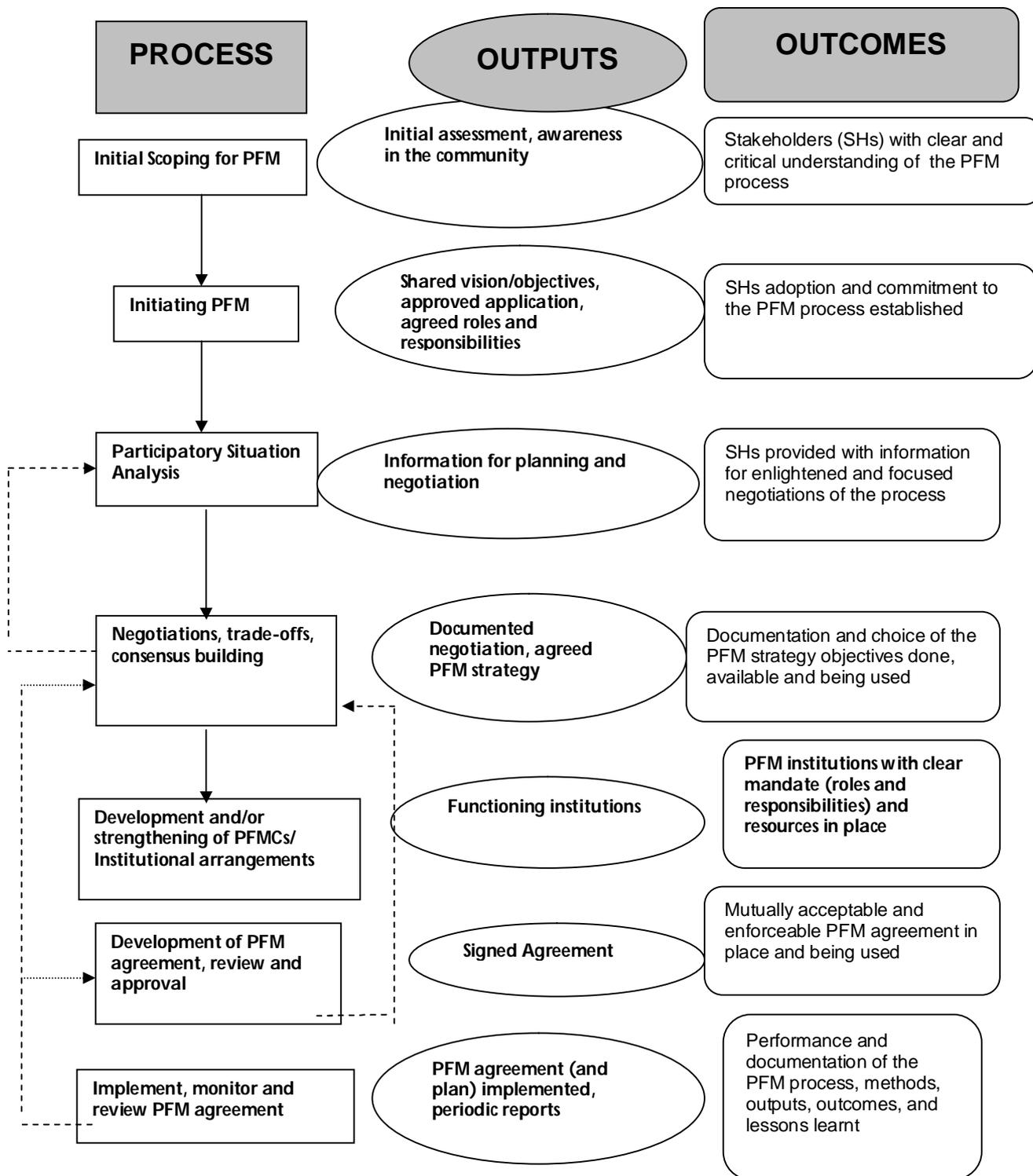
In order to control performance to achieve desired results in institutionalising of environmental conservation and poverty reduction, there is need to understand one key fact. Institutionalisation of environmental conservation and poverty reduction is more than building institutions for environmental conservation and poverty reduction. It means the actualisation of the learning organisation's culture and development of institutional values, behaviour and practice that is consistent with a changing world view and adaptive approach to conservation and socio-economic development that addresses poverty reduction or livelihood support to the people. These essentially means that organisations and the institutions they form to address environmental conservation and poverty reduction should focus on three key areas:

- a. Developing and nurturing an organisational culture that enables them to understand and adhere to the values and philosophy of their organisations and institutions; to remain true to their vision and mission;
- b. Managing their organisations and resources strategically (in line with their values) in manner that creates and enhances sustainability and sets examples rather than one that invites suspicion, criticism and ridicule; Being able to appreciate trends and development at the global level in the context of social transformation in our society and on that basis to be able to facilitate change within their organisations and institutions to respond to the needs of their constituents; and

- c. Understanding organisational effectiveness and the value of organisational development and training in developing an organisational culture that promotes good practices – efficiency, transparency, accountability and sustainability – the learning organisation's culture.

In measuring results, it is important to note that environmental conservation and poverty reduction has two dimensions: the process dimension and the supportive interventions, projects, and programmes dimension. To illustrate the two dimensions, we can look at a collaborative (participatory) forest management environmental conservation and poverty reduction approach (Figure 3.4).

Figure 3.4 The process dimension of conservation: Example of Participatory Forest Management: PROCESS, OUTPUTS, AND OUTCOMES



Source: PNRMG training program in East Africa, based at MS Training Centre for Development Cooperation, Arusha, Tanzania

The supportive dimension of conservation and poverty reduction interventions

The above process is supported by a variety of projects or interventions which ensure that livelihood or poverty reduction aspects are addressed at the same level as putting in place a working process for environmental conservation. These projects cover areas like: agroforestry, fish farming, bee keeping, livestock production, harvesting and marketing of some non-timber forest products etc. Table 3.2 presents the structure of one such project. Note the internal assumptions (results hypotheses) being made. Results hypotheses are assumptions based on experience, and sometimes scientifically verified, concerning the link between intervention and result. They play an important role in the planning and implementation processes and in results-based management (GTZ, 2004, p. 16).

Table 3.2 An illustration of how a supportive project initiative supporting the above PFM process would look like

A local women's group working within the aforesaid PFM process assisted to develop handicrafts out of certain forest products harvested from the protected area currently under the participatory forest resource management.

Assumptions/Results hypotheses	Supporting activities within the project design to ensure that results are achieved
<p>PRECONDITIONS:</p> <ol style="list-style-type: none"> 1. Raw materials for handicrafts are available and accessible. 2. The women have the skills and willingness to make handicrafts. 3. There is market for the handicrafts 4. Exploitation of raw materials will be sustainable 	<ul style="list-style-type: none"> ▪ Carry out surveys of the resources and determine the level of exploitation. ▪ Undertake training of women in handicraft making ▪ Conduct M&E ▪ Carry out market promotion campaigns.
<p>DEVELOPMENT:</p> <ol style="list-style-type: none"> 1. The income from sale of handicrafts improves the livelihoods of the women 	<ul style="list-style-type: none"> ▪ Collect baseline information on level of HH incomes. ▪ Monitor the sale of handicrafts. ▪ Train women on Financial management and entrepreneurship.
<p>CONSERVATION:</p> <p>The demand for the raw material does not lead to the over exploitation of resources. The attitude of women towards the conservation of PA will positively be changed.</p> <p>The women become part of the law enforcement team.</p>	<ul style="list-style-type: none"> ▪ Carry out awareness creation programmes among the women. ▪ Increase the level of supervision in order to regulate the exploitation of the raw materials.
<p>SUSTAINABILITY:</p> <p>There will be continued demand for the handicrafts produced.</p> <ul style="list-style-type: none"> ▪ Women will have access to the resource. 	<ul style="list-style-type: none"> ▪ Institute determine measures that ensure that there is no illegal harvesting of the resources and therefore no illegal products in the market.

Source: PNRMG training and networking programme in East Africa, based at MS Training Centre for Development Cooperation, Arusha, Tanzania

3.6 The weaknesses so far

It is prudent to note here that the intervention illustrated above like many others currently within East Africa, lack results hypotheses in relation to institutionalisation of certain values, behavioural practices, and empowerment aspects to ensure that individuals, groups, organisations, and institutions are enabled to deal effectively and in a sustainable manner with environmental conservation and poverty reduction. This lack of results hypotheses means that interventions are put in place without the necessary supportive actions and activities to ensure that action is related to attitude, belief, conviction and determination. Institutionalisation of a process helps structured responses to application that helps reinforcement, improves and advances decision-making and increases the precision of purposive use of lessons learnt.

Based on the initial hypothesis of this study, that we need a three-pronged approach to successful institutionalisation of environmental conservation and poverty reduction in East Africa, that is: Participatory actor-oriented situation analysis to understand actors, their motivations and the underlying factors that promote the actors to behave or act in a certain way - key among them are: social, legal, economic, ecological, political and technological (SLEEPT) characteristics of individuals, surroundings and existing groups, organisations, institutions as actors; Strategic analysis based on the Strengths, Weaknesses, Opportunities and Threats (SWOT) to improvement of the “SLEEPT circumstances” – using an interactive matrix, and strategic planning to develop the learning organisation’s responses to institutional changes in these circumstances based on vision, goals, values and outcomes; and Development of a results-based adaptive management and information system to help learning and its institutionalisation in environmental conservation and poverty reduction, based on continuous monitoring, timely evaluation and appropriate feedback.

It can be said that the Kajiado initiative advance our understanding, construction and application of such approach to higher levels than the case was during the early 1990s and before in East Africa.

In the Kajiado initiative we see a system that addresses popular participation, while dealing fairly adequately with existing circumstances inhibiting or supportive of effective and efficient environmental conservation and poverty reduction. We also see a system that address multi-sectoral approach, and highlights clearly the importance of monitoring and evaluation. The issue of strategic analysis is also dealt with in this system through understanding of site-specific actor-focused options and scenarios that are likely to succeed in environmental conservation and poverty reduction. However to improve on the Kajiado initiative, and build further in the direction of complete application of the three-pronged approach we need to address the following issues that so far have hindered environmental conservation and poverty reduction efforts in East Africa from bearing good fruits:

- Improvement of the monitoring and evaluation systems being promoted by a variety of environmental conservation and poverty reduction initiatives in East Africa. To make them more results-oriented , not services and goods oriented, and to add to iterative project implementation and management to make implementation and management more adaptive and responsive to changing circumstances and ground reality;
- To ensure that there is gradual movement of environmental conservation and poverty reduction interventions from project/program-based approach to institutionalisation and ownership by supporting institutional infrastructure development and capacity building of key partners in the process, that is, the government organisations, private sector bodies, and civil society organisations.

And more so civil society organisations because they have the double-role of being service providers as well as acting as checks and balance to the government and private sector actors;

- Work on and ensure that there is proper alliance, linkage and networking between the various levels of decision-making and especially so the grassroots, district and national levels which are key decision-making levels in East Africa, in the current push for increased decentralisation, greater democracy and good local governance. The key purpose here is to ensure that at these levels actors and facilitators of environmental conservation and poverty reduction internalise and follow up certain ways of attitude, practice, and knowledge that are consistent with sustainable environmental conservation and poverty reduction which are in cognisance of the greater societal good; and
- Ensure that greater democratic decentralisation to concretise ownership and move the process forward does take place. This is to secure stakeholder rights and benefits, bring about greater accountability and entrench sustainable environmental conservation and poverty reduction within the existing local, national, and regional resource planning and development systems

In this scheme of things, generating management information, and establishing a system of information management are very important aspects as part of controlling performance to ensure the desired results. Management information, that is; the information needed to make informed decisions, is important because it helps;

- Make the necessary decisions to improve management of the institutionalisation process, and the delivery of goods and services addressing poverty reduction; and
- Implement participatory design, monitoring and evaluation system to capture the results as they happen, and aid the learning process.

In order to use information to make good management decisions, the information needs to be managed, that is; collected, stored, analysed, and lessons for the future captured. Management of the information is the process of collecting and storing information in a user-friendly easily retrievable and user-able form. This involves:

- Determining the information needed to understand, appreciate and implement the environmental conservation and poverty reduction process and supportive interventions;
- Collecting and analysing this information;
- Storing and retrieving it when needed;
- Using it when and where appropriate; and
- Disseminating it to whomever, whenever necessary.

The need to disseminate information means that communicating is another aspect that is important in controlling performance to ensure desired results. This is to ensure that the tempo of progress and success are maintained. It can be done in many ways, for example through meetings, seminars, workshops, brochures, internet sites, annual reports, news releases, and other ways.

Apparently from literature review and own experience, it is evident that most environmental conservation and poverty reduction initiatives are very weak at gathering, using and disseminating information related to values and behavioural changes, empowerment issues (generation of options to make free choice for actors and stakeholders, how the options to choose have been used, and whether the choices lead to desired results – this also includes the levels that an individual, group, organisation, and institution can influence in decision-making and action; whether global, national, society, the market place, and the household).

Also key information on the main aspects of poverty (lack of assets or reduced ownership, access and control; and vulnerability of certain groups and segments of society whether geographical or temporal) is inadequate or entirely lacking (R.J Fisher, et al, 2005, p. 40).

3.7 Deductions and implications: Facilitator's perspective

In the next chapter, this study will focus on how to help move the process forward based on clear understanding of the three pronged –approach suggested in the hypothesis. It will look at the applications of frameworks developed within the East African participatory natural resource management and governance training and networking program while working with managers, practitioners, and beneficiaries of environmental conservation and poverty reduction initiatives/interventions within the sub-region.

These frameworks have been developed and improved in the last 10 years during practical implementation of these interventions. The training program based at MS-Training Centre for Development Cooperation, Arusha, Tanzania continues to improve on them with ideas, feedback and support from beneficiaries, practitioners and managers in the field of environmental conservation and poverty reduction, which has gained greater focus after the 2002 World Summit on Sustainable Development in Johannesburg, South Africa.

In pursuing this line of argument, the study aims to bring forth the understanding and appreciation that institutionalisation is an on-going process that must continually learn from the past and the present in order to achieve an informed and sustainable future, where the people are the centre of natural resource planning and development. The path to take is not easily pre-determined, but the journey has to be informed at each stage by clear focus on the three prongs discussed here.

CHAPTER 4: DEDUCTIONS FROM THEORETICAL ANALYSIS AND THE IMPLICATIONS FOR EMPIRICAL ANALYSIS

4.1 Introduction

In this study a three-pronged approach to institutionalisation of environmental conservation and poverty reduction (sustainable livelihoods support) is being proposed based on detailed literature review, explicit observation and empirical analysis. The underlying reasoning is that unpacking institutional and institutionalisation factors that may affect human incentives and behaviour across diverse settings includes variables at multiple levels and involving a variety of actors with differing interests and influence. Thus in entrenching the learning organisation's culture, and transformative focus on values that support our vision of the future, there is need for guidelines or what we could refer to as "benchmarks to conservation and livelihood practice" to ensure that vulnerability to political pressure during execution is minimised. These minimum guidelines should be based on experiences from our past that supports our intuition and perception of the future and the best practice(s) to get us there. They should be able to make us improve the effectiveness and the efficiency with which decisions are made, actions taken, lessons incorporated into our collective thinking and action without every time going back to re-inventing the wheel.

The three prongs of our approach should be woven together to form a formidable front to challenge deep-seated perceptions, ideas, opinions, fears and prejudices that limit our capacity and capability to address environmental conservation and poverty reduction in sustainable ways. The interlinking support to the strands should be human incentives, institutional support, and transformative capacity building to sustain desired change and momentum for future change.

These strands are:

- Participatory actor-oriented situation analysis to understand actors, their motivations and the underlying factors that promote the actors to behave or act in a certain way - key among them are: social, legal, economic, ecological, political and technological (SLEEPT) characteristics of individuals, surroundings and existing groups, organisations, institutions as actors;
- Strategic analysis based on the Strengths, Weaknesses, Opportunities and Threats (SWOT) to improvement of the “SLEEPT circumstances” – using an interactive matrix, and strategic planning to develop the learning organisation’s responses to institutional changes in these circumstances based on vision, goals, values and outcomes; and
- Development of a results-based adaptive management and information system to help learning and its institutionalisation in environmental conservation and poverty reduction, based on continuous monitoring, timely evaluation and appropriate feedback.

4.2 Participatory actor-oriented situational analysis

When it comes to words or phrases that are at the forefront in defining development paradigm shift like participation, people tend to spend a lot of time trying to put meaning into them. This we feel has more to do with our analysis cultural orientation; where we more often use a reductionist model to understand and explain reality. And once we decide the definitions, start to sell them to others as finished products, which have been carved out of stone and held in a kind of time warp for eternity. We will not spend so much time worrying about definitions here, because we believe that meanings are in people and the way they act. For us the concern should be to get people to express what they believe in, how they actualise it, and how they ensure that their beliefs, values and practice are shared out and become part of societal knowledge pool and practice.

To most development facilitators, it is agreed that participatory situational analysis is a way of working with people to develop critical thinking, clarify and structure information (ideas, facts, and impressions), understand interconnections and examine cause-effect links, identify core elements, in order to arrive at the identification of key issues or problems that can form the basis of relevant development program and/or project initiatives (IUCN, July 1999, p. 1). It is however inconceivable that every so often we start looking at new situations from a problem-tree perspective, which implies that problems in life must make logic. The truth is, to the common person problems do not make any logic at all. What the ordinary person knows for sure is that problems are there because we are acting or failing to act in a certain way. This is where situational analyses should start: by understanding actors, their actions and inactions, and what socio-economic and institutional strengths and/or weakness make them act or not act in certain observable ways.

The concept of people's (stakeholder) participation gained momentum during the mid-1970s. The concern within the development community was to promote effective people's participation in order to improve the distribution of the benefits of development; to devise more effective ways of reaching the lowest income groups and to re-emphasise development as a process concerning people (Peter Oakley, 1995, p. 1).

Participation if it is to be more than a palliative, involves shifts in power. These occur within communities, between "people" and policy-making and resource holding institutions, and within structure of organisations (Nici Nelson and Susan Wright, 1995 p.1)²⁴

²⁴

Nici Nelson and Susan Wright: participation and power. In *Power and Participatory Development. Theory and practice*. Nici Nelson and Susan Wright (eds), 1995. Intermediate technology Publications.

An effective participatory process that looks at participation as both a means and an end needs²⁵ to cut-across all societal levels and processes from the individual through groups and organisations, to institutions and processes at national and international levels. At the same time and with the same spirit there needs to be horizontal linkages and networking to ensure the strength and resilience to support inclusive social change that aims to reconcile the interests and influences of various stakeholders.

It should also be part and parcel of a purposive process of organisational and institutional development and institutionalisation of desirable processes, values and practice that will ensure appropriate capacities and capabilities and empowerment of actors, their organisations and institutions. This is in line with the World Bank's poverty reduction strategy, which is based on promoting opportunity, facilitating empowerment, and enhancing security²⁶

In chapter 3, the examples from Kajiado and Narok Districts in Kenya and the Nepalese experience with institutional development for natural resource conservation illustrates attempts in putting such participatory process in practice. The Kajiado example shows that we need to have sequence of events well thought out and put in place. In this case we have the following five key steps of the process:

²⁵ Participation as means: as in getting people involved to accomplish the aims of a development intervention or project more effectively, efficiently and hopefully cheaply). Participation as an end: as in working with individuals, groups and organisations in setting up a process to control their own development)

²⁶ See Ruth Alsop (ed), 2004. Power, Rights, and Poverty: Concepts and Connections. The International Bank for Reconstruction and Development/The World Bank and Department for International Development. P. 93

- Defining and understanding the present situation
- Defining the joint future vision
- Defining, understanding, and putting in place demanded partnerships, associations or coalitions for action
- Defining and designing strategies and actions to achieve desired outputs
- Defining, understanding, and addressing the institutional consequences

First we need to understand the prevailing situation, its challenges and opportunities by use of data collection and analysis methodology that is participatory, relevant to each situation, promotes ownership and sustainability. Figure 4.1 presents some of the methods that can be used. These are called actor-oriented situational analysis methods, tools and techniques. Using these methods, tools and techniques, we analyse the existing situation (mostly negative and undesirable) through understanding the contributing trends; we look at the actors, actions and inactions contributing to these trends; then at the underlying factors that make actors act or not act in certain ways –these underlying factors are the social, legal, ecological, economic, political, and technological circumstances that encourage or discourage (motivate) actors (individuals, groups, organisations, and institutions) to act or not to act in certain ways resulting into the built up of the negative situation . Together with this we also look at stakeholder (actor) influence and interests as they related to what people are suggesting should be done (the development initiative). Figure 4.2 presents a diagrammatic illustration of the relationship between the negative situation and underlying factors, and figure 4.3 presents a stakeholder influence and interest analysis²⁷

²⁷

The illustrated examples are from the Participatory Natural Resource Management and Governance Training and Networking Programme based at MS-Training Centre for Development Cooperation (MS-TCDC), Arusha, Tanzania. This is a programme as already stated earlier I have been involved in for the last five years, whose overall goal is to Enhanced impact of participatory natural resource management and governance on livelihoods and biodiversity conservation in East Africa

<p>Strength, Weaknesses, Opportunities, Threats (SWOT) analysis of stakeholders (Actors), and the social, legal, economic, ecological, political and technological (SLEEPT) factors</p>	<ul style="list-style-type: none"> ➤ Actor and SLEEPT characteristics that will constraint or strengthen the environmental resource conservation and poverty reduction process 	<p>Understanding actor and SLEEPT factor characteristics that need to be exploited or strengthened in the process</p>
<p>Field visits</p>	<ul style="list-style-type: none"> ➤ All necessary data and information in the planning process according to the Terms of Reference (TOR) of the field visit. ➤ Data and information on households, CBOs and other actors plus environmental resources and poverty reduction 	<p>Understanding actor characteristics and outcomes in relation to environmental resource conservation and poverty reduction.</p>
<p>On-site meetings and workshops</p>	<ul style="list-style-type: none"> ➤ In-depth analyses, grouping and relationship building between the key issues in play within the area as concerns environmental conservation and poverty reduction 	<p>In-depth understanding of the key issues in play within the area as concerns environmental conservation and poverty reduction</p>

Group discussions	<ul style="list-style-type: none"> ➤ In-depth analyses, grouping and relationship building between the key issues in play within the area as concerns environmental conservation and poverty reduction ➤ Comparing individual and household observations with community observations. 	In-depth understanding of the key issues in play within the area as concerns environmental conservation and poverty reduction
Site specific secondary data review	<ul style="list-style-type: none"> ➤ In-depth understanding of the past challenges, constraints and opportunities on environmental conservation and poverty reduction at the concerned site. ➤ Data and information gaps that need to be filled during data collection and analysis. 	Identification of site specific information gaps to fill during data collection and analysis
Site-specific SWOT analysis of actors and SLEEPT factors	<ul style="list-style-type: none"> ➤ Actor and SLEEPT factor characteristics that will constraint or strengthen the environmental and poverty reduction process within the selected site 	Understanding actor and SLEEPT factor characteristics that need to be exploited or strengthened in the process within the selected site

Analysis group discussions	<ul style="list-style-type: none"> ➤ Community associated information and data on specific check listed items as per the Term of Reference (TOR) for the group discussion ➤ Thematic expounding of the key issues with group and community perspective 	<p>Identification and isolation of community- related Data, information and analyses, outcomes/outputs to pursue in the environmental conservation and poverty reduction process</p> <p>Community generated Systems and methods of achieving participatory and sustainable environmental conservation and poverty reduction.</p>
Community environmental resource and poverty reduction mapping and analysis	<ul style="list-style-type: none"> ➤ General geographic and site specific pictorial and illustrative representation of environmental resource conservation and poverty reduction situation in the area 	<p>Clear understanding of the community, interpretation and extent of targeted environmental conservation and poverty reduction.</p>
Challenges and opportunity ranking and analysis	<ul style="list-style-type: none"> ➤ Information on challenges, their importance, their causes and root causes and the existing opportunities to exploit in changing the situation to achieve desired situations. 	<p>In the planning of solutions and processes to sustain desired solutions and the participatory process.</p>

<p>Key informant discussions and interviews</p>	<p>➤ Information on specialised areas of environmental conservation and poverty reduction</p> <p>The Indigenous and other local knowledge concerning environmental conservation and poverty reduction</p>	<p>In-depth understanding of the specialised areas of environmental conservation and poverty reduction.</p> <p>In-depth understanding of the Indigenous knowledge concerning environmental conservation and poverty reduction.</p>
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Sustainable Livelihood Analysis	<ul style="list-style-type: none"> ➤ Information on the vulnerability context of the community ➤ Information on the capital situation of the rural people ➤ Information on the desired sustainable livelihood outcomes within the community and the strategies they choose to achieve them ➤ Information on the prevailing policy and institutional context within the community. 	<p>In-depth understanding of the community's vulnerability context in relation to environmental conservation and poverty reduction</p> <p>In-depth understanding of how the community uses/allocates its available resources to achieve certain desired sustainable livelihood outcomes in the context of environmental conservation and poverty reduction</p> <p>In-depth understanding of the community strategies, policy and institutional support and weaknesses to environmental conservation and poverty reduction.</p>
Rapid Appraisal of Actor Knowledge Systems (RAAKS)	<ul style="list-style-type: none"> ➤ Information on how the actors come together to generate, activate and disseminate knowledge within their environmental conservation and poverty reduction in order to improve their integration and performance. 	<p>In-depth understanding of actor characteristics, knowledge gaps and the improvement processes within.</p>

<p>Participatory Poverty Assessment (Poverty ranking, prioritising and mapping).</p>	<ul style="list-style-type: none"> ➤ Information on the categorisation of the community into environmental conservation and poverty/wealth concerns groups. ➤ Information on the geographical spread of poverty/wealth and its relationship to the prevailing environmental conservation practices 	<p>In-depth understanding of poverty and wealth within the community, how it is categorised, how it is generated, how it is controlled, and maintained</p> <p>In-depth understanding of the growth or decline of poverty or wealth over time and the conditions that impact on it, in relation to environmental conservation.</p>
<p>Participatory Process Analysis</p>	<ul style="list-style-type: none"> ➤ Information on the analytical frameworks which frame actor perspectives in the area of environmental conservation and poverty reduction ➤ How the actor attribute meaning to what they are doing or happening around them; ➤ How knowledge is interpreted and used to influence actor interactions; ➤ How actors exercise power and authority to influence outcomes; -- - ➤ How actors form coalitions or networks to influence outcomes and improve their bargaining power in the whole process of environmental conservation and poverty reduction. 	<p>In-depth understanding of the workings and the sustainability of the participatory process within the community as far as environmental conservation and poverty reduction is concerned.</p>

Systematic participatory documentation	<ul style="list-style-type: none"> ➤ Organised information and thinking through process to inform and improve participation in the whole process of environmental conservation and poverty reduction 	An interactive way of organising acquisition of information, storing it, interpreting it and feedback in the process of environmental conservation and poverty reduction.
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Source: Adapted from: John Munyoli Musyoka, 2002. Actor-Oriented Situational Analysis and Vision-Based Planning. People-centred, Natural Resources-based development planning, pp 13-19. Nairobi, Kenya. ISBN 9966-803-09-2.

Figure 4.2: KIUNGA NATIONAL RESERVE: MARINE JOINT MANAGEMENT PROJECT - KENYA

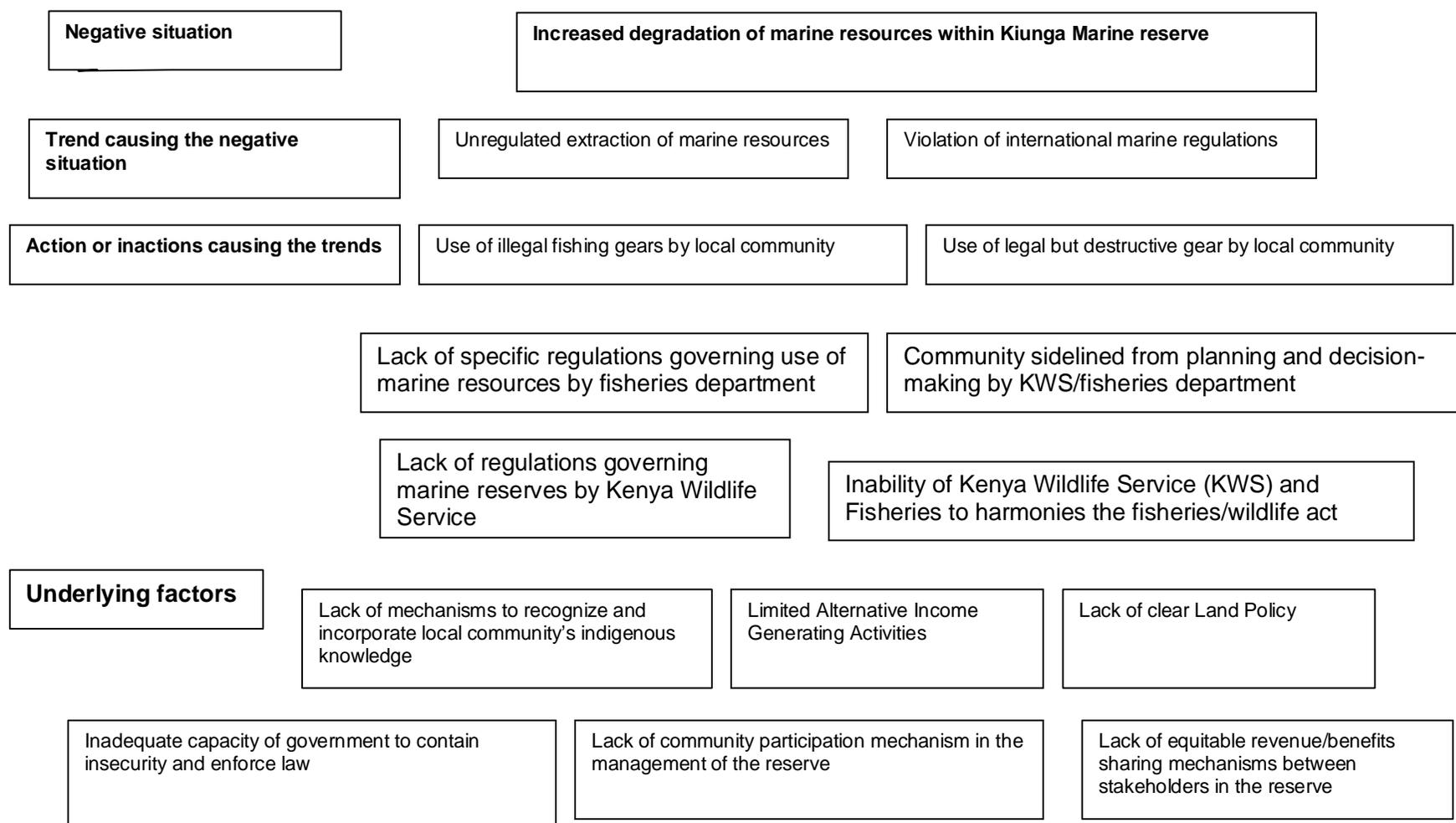


Figure 4.3: Stakeholder Influence and Interest Analysis of Kiunga Marine National Reserve - Kenya



In figure 4.3, the triangles represent stakeholder influence, and the circles represent the stakeholder interest²⁸. The sizes of the triangles and circles represent the extent of each for the concerned stakeholder. In table 4.1 below this analysis is taken further to understand the nature of influence and interest. The key concern here is those stakeholders with high influence and high interest; those with high interest and low influence; and those with low interest and high influence. The reason is that stakeholders with high influence and high interest require different engagement strategy from those with low influence and high interest, and these also require different strategy from those with high influence and low interest. Those with high influence and high interest require a strategy that exploits all their potential in support of the intervention focusing on environmental conservation and poverty reduction; those with low influence and high interest require a strategy that first builds their capacity to engaged at par with other stakeholders before it can focus more effectively and efficiently on environmental conservation and poverty reduction; those with high influence and low interest require a lobbying and advocacy strategy to ensure their support for the identified environmental conservation and poverty reduction intervention.

²⁸

Stakeholders are seen here as; Individuals, groups or institutions that are affected by (positively or negatively), or can affect (positively or negatively) the environmental conservation and poverty reduction process. Affected by; implies that the stakeholder has an "interest". Can affect; implies that the stakeholder has "influence".

Table 4.1: Characteristics of stakeholder interest and influence analysis in Kiunga Marine National Reserve - Kenya

Stakeholder Group	Positive		Negative	
	Impact expected from the initiative (Interest)	Contribution to the initiative (Influence)	Impact from expected from the initiative (Interest)	Contribution to the initiative (Influence)
High interest and high influence stakeholder: Kenya Wildlife Service	<ul style="list-style-type: none"> • Ease to enforce • Improved conservation of marine resources • Custodian of the resources 	<ul style="list-style-type: none"> • Contribute to conservation of fisheries resource: buy buoys, provide capacity, patrols • Influence policy direction 	<ul style="list-style-type: none"> • Negative attitude towards KWS (be the community) • Loss of revenue due to benefit sharing • Incur cost of demarcation 	<ul style="list-style-type: none"> • Loss of community interest to conserve due to KWS presence/poor management
High interest and low Influence stakeholder: Local Community	<ul style="list-style-type: none"> • Increase in fish catch • Access and participation in management. • Alternative livelihoods 	<ul style="list-style-type: none"> • Enforcement • Selection of site to place the buoys • Indigenous knowledge applied • Community mobilisation 	<ul style="list-style-type: none"> • Added responsibilities • Limited access to the resource 	<ul style="list-style-type: none"> • Cutting off the buoys/ acts of sabotage • Possibility of non-co-operation • Continued illegal fishing activities.
Low interest and High Influence stakeholder: Provincial Administration	<ul style="list-style-type: none"> • Prestige • Empowerment • Conservation awareness 	<ul style="list-style-type: none"> • Community mobilisation • Creating an enabling environment 	<ul style="list-style-type: none"> • High cost of maintaining law and order 	<ul style="list-style-type: none"> • Sabotage • Influence the community to oppose the initiative.

As seen from figure 4.2, defining and understanding present situation should involve among others defining and understanding the underlying factors that may act as obstacles to stakeholder participation and empowerment. These factors could be grouped as follows (Peter Oakley et al., 1991, p. 6-24). See also Lucy Emerton, 1998, p. 4; Jennifer Rietbergen-MacCracken et al, 1997, p. 21; and Abdulrahman S Issa and Anne Chege, eds., March 2000, pp 7-10.

Key underlying social factors

- Demography: number of people, their location, population density, age, and so on
- Social organisation: organisation and capacity at the household and community levels affecting participation in local-level institutions as well as access to services and information
- Needs and values: stakeholder attitudes and values determining whether development interventions are needed and wanted, appropriate incentives for change, and capacity of stakeholders to manage the process of change

Key underlying Legal factors

- Lack of legal provisions to back up the environmental conservation and poverty reduction process
- Absence of legal administration and coordination criteria
- Risk of conflict
- Competition over resources

Underlying economic factors for environmental resources degradation and loss

Institutional failures

- Poorly defined resource tenure
- Lack of property and use rights
- No involvement of stakeholders in decision-making and management

Policy failures

- Subsidies to other actors
- Inadequate biodiversity policy
- Under-funded and inefficient government departments

Local Pressures

- Land scarcity
- Inadequate income and subsistence
- Political and civil insecurity
- Lack of resource conservation benefits

Market failures

- Lack of resource products markets
- Un-priced or undervalued environmental goods and services
- Price distortions

Key underlying ecological factors

- Resources manageability
- Resources quality and quantity
- Resources significance: grassroots, national and international

Key underlying political factors

- Implementing groups, organisations and institutions development goals, priorities, commitment to intervention objectives, control over resources, experience, and relationship with other stakeholder groups
- Inadequate political will
- Decentralisation
- Linkage to national policy
- Good local governance and democracy

Key underlying technological factors

- Limited technical and management and/or administrative capacity to implement at grassroots, district and national levels
- Inadequate training and exposure in capacity building initiatives

In analysing the above factors, one needs to be conscious of the fact that you are dealing with a continuing and unfolding process that is affected and affects various levels of understanding, decision-making and implementation. There is therefore need to do a thorough analysis to understand at what level each of the issues raised can be addressed, by whom and how. Table 4.2 presents a matrix that can be used to do this analysis:

Table 4.2: Illustration of in-depth analysis matrix for the underlying factors

UNDERLYING FACTORS	Level at which the factor must be addressed, by whom and how		
Area of Concern	Local, by whom and how	National, by whom and how	International, by whom and how
Social e.g. - disempowerment related to gender, ethnicity, religion, economic status - changing social/cultural values - population growth - migration due to war, conflict, economic insecurity			
Legal e.g. - lack of enabling policy - perverse policies - failure to consider environmental values			
Economic e.g. - structural adjustment - controls on prices and/or markets - terms of trade			
<i>Ecological e.g.</i> - Resources manageability -Resources quality and quantity -Resources significance: grassroots, national and international			
Political will e.g. - to implement policy in an effective and equitable manner			
<i>Technological, e.g.,</i> -Limited technical and management and/or administrative capacity to implement at grassroots, district and national levels -Inadequate training and exposure in capacity building initiatives			

Dealing with alliance building, partnerships and coalitions, and addressing institutional consequences as required of step 3 and 5 of the suggested sequence of events from the Kajiado district example demands that we are aware of institution-making and institutionalisation needs as we define and understand the present situation in step 1. As discussed in Chapter 1, institutions are widely understood rules, norms, or strategy that creates incentives for behaviour in repetitive situations...norms, standard operating procedures, alone or in a set of related arrangements...mechanisms for adjusting behaviour in a situation that requires coordination between individuals or groups (Polski et al., 1999, p. 2). Together with other underlying factors, we need to unpack institutional factors that affect human behaviour across a large number of diverse settings within which we will be focusing our environmental conservation and poverty reduction efforts. These will be essential elements in generating necessary learning, and putting in place the appropriate value systems at each level. At the grassroots level or site-specific level, these factors would include among others:

- Specific rules in use for each resource or product in the local ecology, in terms of who can use, harvest, when, how and how much, and who has authority over what?
- What type of resource conservation or protection activities are encouraged and by what means?
- What types of incentives are provided related to the local economy?
- How resource use and investment practices are sanctioned, monitored, and reviewed?
- The level of understanding of the norms, values, rules, and regulations that are in use? And how these are monitored, sanctioned, and reviewed?
- Whether resource users are organised and what such organisation means in terms of institutionalisation, networking and individual drive to work with others

- What representatives of local, district, national and regional governance are involved in local activities?

At the district and national level. These would include among others:

- National legislation related to resource use and conservation; and issues related to use and administration of each resource type
- Types of resource tenure applicable, where and why
- Human resource administration and management policies and practice at district and national level and within relevant organisations
- Taxation laws on resources
- Availability of conflict management and dispute settlement systems related to resource use and management

To link this to the empirical analysis in chapter 5, we need to look at the CBO's or local NGO's visualisation of the future at its level of operation – whether grassroots, district or national level – and how it performs its strategic thinking and planning. Further we need to look for evidence that the concerned CBO or local NGO, networks and involves other stakeholders in this process at its level of operation, because we suggest in this study that this has bearing on how the CBO or local NGO is taken serious by other actors especially the government – and this in turn determines the CBO's or local NGO's capability to direct and influence institutionalisation of environmental conservation and poverty reduction at the concerned level.

4.3 Strategic planning based on the strengths and weaknesses of the SLEEPT circumstances

The analysis of underlying factors; that is the SLEEPT circumstances, will not result into effective and efficient environmental conservation and poverty reductions unless stakeholders (individuals, groups, organisations and institutions) – what we could also refer to as actors here- relate them to their vision, mission, and the strategies they need to apply to address environmental conservation and poverty reduction at the concerned sites. Yet a lot of individuals, groups, organisations and institutions stop at this level and develop environmental conservation and poverty reduction initiatives based on the necessary actions/activities needed to address the SLEEPT weaknesses as identified without in-depth analysis of how strengths, weaknesses, opportunities, and threats brought about by the existing SLEEPT circumstances impact on each other. In order to achieve effective institutionalisation there is need for actors to further understand their strengths, weaknesses, opportunities, and threats in their work in environmental conservation and poverty reduction²⁹ based on the existing SLEEPT circumstances of their intervention environment. This is useful in order to build stakeholder (actor) commitment to fulfilment of their stated missions and contribution to the joint vision in environmental conservation and poverty reduction.

This analysis can be done using a SWOT grid. As stated in Michael Allison, et al., 1997, p. 103, the SWOT grid analysis can help make visible some important dynamics that influence an organisation's strategic choices: the intersection of strengths, weaknesses, opportunities, and threats (see figure 4.4) can offer

²⁹

Strengths: Internal capacities/capabilities that we possess in relation to our area of intervention concerning our efficiency and effectiveness in dealing with environmental conservation and poverty Reduction. **Weaknesses:** Internal incapacity or incapability that affect the way we deal with environmental conservation and poverty reduction within our area of intervention. **Opportunities:** Changes that are taking place or will take place in our external environment that might allow us to better achieve our objectives in environmental conservation and poverty reduction. **Threats:** Changes that are taking place or will take place in our external environment, which threaten or hinder the achievement of our objectives in environmental conservation and poverty reduction.

suggestions about action(s) the group, organisation and/or institution should consider undertaking in its area of interest – in our case environmental conservation and poverty reduction.

Figure 4.4 The SWOT Grid

	<i>Opportunities</i>	<i>Threats</i>
Strengths	<p><i>Invest</i> This informs us how our internal strengths allow us to take advantage of external opportunities in environmental conservation and poverty reduction to enhance institutionalisation. Clear matches of strengths and opportunities lead to comparative advantage. Keep pushing forward by anchoring yourself well on these (investing in them).</p>	<p style="text-align: center;">Defend</p> This illustrates how external threats brought about by existing SLEEPT circumstances can damage our internal strengths as actors in environmental conservation and poverty reduction and undermine our capacity to enhance the institutionalisation process. Areas of threat matched by areas of strength indicate a need to mobilise resources either alone or with others. Think of partnerships, clear roles and responsibilities for stakeholders
Weaknesses	<p><i>Decide</i> This illustrates how our internal weaknesses due to the way we respond to existing SLEEPT circumstances keeps us from taking advantage of the external opportunities provided by the same SLEEPT circumstances. Areas of weakness require a judgement call: invest or collaborate, form networks and alliances to exploit opportunities</p>	<p style="text-align: center;">Damage Control</p> This illustrates how our internal weaknesses in organisations and processes promoting environmental conservation and poverty reduction make us more vulnerable to external threats within our SLEEPT circumstances. Areas of threats matched by areas of weaknesses indicate need for Damage control

Source: Adapted from: Michael Allison and Jude Kaye, 1997. Strategic Planning for Nonprofit Organisations. A Practical Guide and Workbook. Support Center for Nonprofit Management. John Wiley and Sons, Inc. p. 105. (Originally from Kevin P Kearns, "Comparative Advantage to Damage Control: Clarifying Strategic Issues using SWOT Analysis". Nonprofit Management and Leadership. San Francisco: Jossey-Bass, Vol. 3, No. 1, Fall 1992, pp 3-22.)

The SWOT matrix is used here to look at social, legal, economic, ecological, political and technological strengths, weaknesses, opportunities, and threats that exist in the focus area (site level, grassroots, district, regional and national), in order to analyse circumstances that may hinder effective environmental conservation and poverty reduction within the concerned area. According to the SWOT matrix analysis, the greatest challenges lie within the bottom-right quadrant, where weaknesses within the SLEEPT circumstances meet with the threats. This area shows how SLEEPT weaknesses make the work on environmental conservation and poverty reduction vulnerable to external influences that act as barriers to successful environmental conservation and poverty reduction at the particular area. This is the area that requires damage control measures, such as policy advocacy strategies, conflict management techniques, negotiation and consensus building methods. Here we need to invest a lot in the short-term research and analysis of the circumstances that pose threats to our interventions, awareness creation and conscientization to ensure as much support from those who are with us in order to reduce the damage of threats. In the long-term we have to put in place mechanisms to address the root-causes of these threats, which have to do with conflicting interests and influences of stakeholders, and power-relations between those who are for our interventions, and those who are against.

The challenge is to find out in good time who gains more in terms of well-being, awareness, participation, access, control, and ownership of the process, outcomes, and impact³⁰, and then to put in place mitigation measures to safeguard the poor and marginalized within our intervention or activities with beneficiaries. This is empowerment as also seen by the World Bank³¹, where empowerment is seen as dependent on actor's asset³² base (agency), actor's institutional context (opportunity structure) in which they operate and the actor's domain (whether the actor's influence and interest is expressed through the state, the market, or social apparatus).

To further analyse the relations in the SWOT matrix, you check the strengths of each of the SLEEPT underlying factor by comparing each strength of a SLEEPT factor with what opportunities exist in relation to it (Upper left quadrant). This will give you the best scenario for being effective in environmental conservation and poverty reduction. To understand how to use strengths of the SLEEPT factors to counter the threats you look at the upper-right quadrant.

³⁰ As explained in chapter 1, there are six dimensions of empowerment in environmental conservation and poverty reduction that most interventions seek when dealing with the poor. These are:

Well being: Enhancing poor people's possibilities of meeting their basic material needs, like food supply, income and health;

Awareness: Aiming at moving people towards self-esteem and dignity so that they are able to challenge the structural and institutional causes of poverty;

Participation in decision-making processes: civic education of the community in order to push for increased representation in decision-making bodies, which will lead to greater control as community members become active agents, and not passive recipients or beneficiaries;

Access: challenging systems, laws, customs and values that block poor people's access to resources, such as knowledge, land, water, wildlife, minerals, fish, labour, employment and capital;

Control: Enhancing communities' possibilities of gaining control of resources and initiatives concerning their own development;

Ownership: having a sense of self realisation, belonging, and increased self-esteem and self-reliance, being able seek and have what is necessary to make a sustainable livelihood. Being able to claim own identity and sense of oneness with the rest of creation.

³¹ See Ruth Alsop (ed), 2004. Power, Rights, and Poverty: Concepts and Connections. The International Bank for Reconstruction and Development/The World Bank and Department for International Development. P. 94-109

³² Assets are: Skills, information, organisational capacity, psychological resources – such as self confidence, financial and material resources. Institutional context is: the existence and operation of formal and informal rules, including laws, regulations, norms, and customs. Domain – within the domain context actors are seen to act as citizens, economic and social actors respectively.

Here you have to devise strategies to use the identified strengths to defend the environmental conservation and poverty reduction intervention from threats. The bottom-left quadrant helps to understand how to exploit the existing opportunities brought about by existing SLEEPT underlying factors, to counter the organisation's internal weaknesses. Here you need strategies that bring others who are supportive on board in order to deliver effectively on environmental conservation and poverty reduction and enhance institutionalisation. By looking at the most critical strengths, weaknesses, opportunities, and threats of the SLEEPT underlying factors using the SWOT matrix, it is possible to work out effective strategies to address environmental conservation and poverty reduction, that are focused on our vision of where we want to be, and the mission we have to accomplish to get there.

From the SWOT matrix analysis we need then to understand what values are critical in order to sustain our efforts, outcomes and impact in environmental conservation and poverty reduction. This is part of the internal cement or mortar that glues the strands together as they twine around each other to enhance institutionalisation capability and capacity of the organisation. The individual and collective values and beliefs of actors, stakeholders and organisations involved in environmental conservation and poverty reduction should align with the values and beliefs of institutions that actualise the processes of environmental conservation and poverty reduction within the larger society. There should be in place a process of ensuring stakeholder and actor commitment to certain moral and value standards that support sustainable environmental conservation and poverty reduction.

Together with the SWOT analysis a value-gap analysis is necessary to compare values and beliefs that are being modelled, and those we need to personify and institutionalise – institutionalisation implies to infuse with value beyond technical requirements -Poul Erik Rasmussen, 2000, pg 14³³. The strategic approach to value-gap analysis should be to bridge the gap between what is and what we need to have for a sustainable future.

The SWOT matrix analysis helps us to develop appreciation of the situation being addressed with various scenarios in mind and to develop strategies that force actions that are appropriate to the understandings thus obtained. In fact an approach that looks at the SLEEPT circumstances strengths, weaknesses, opportunities, and threats separately, without relating strengths to opportunities; strengths to threats; weaknesses to opportunities; and weaknesses to threats, will essentially fall short on successful institutionalisation, and long-term sustainability. This is because of the simple fact that we need to understand and deal with the “weakest” link(s) in our environmental conservation and poverty reduction process chain in order to maintain desired speed and direction. The weakest links are to be found in the area of interaction between weaknesses and threats as a result of existing SLEEPT circumstances. Understanding how our weaknesses expose us to external threats; and how strengths can be used to exploit opportunities and overcome threats is imperative to successful environmental conservation and poverty reduction.

The SWOT matrix analysis enables us to avoid interpreting situations we are facing from a fixed standpoint, and suggesting rigid and inflexible solutions. It provides an opportunity to develop well-formed and informed insights and new angles to make a varied range of actions possibilities in environmental conservation and poverty reduction.

³³ Poul Erik Rasmussen, 2000. Participatory Approaches to development. An introduction to theoretical frameworks and practical guidelines for sustainable development at local level (2nd Edition). MS Danish Association for International Co-operation.

The SWOT matrix analysis affords the space to address the peculiarities of each environmental conservation and poverty reduction initiative or intervention. It learns from the weaknesses of previous environmental conservation and poverty reduction projects and programmes and avoids being solitary, persistent, generic, automatic, ungrounded, inflexible and consonant, especially when it is done together with participatory situational analysis as described above, and supported by development of a results-based adaptive management and information system to help learning and its institutionalisation in environmental conservation and poverty reduction, based on continuous monitoring, timely evaluation and appropriate feedback as put down below. (Stuart P. Bate, 1994, pg. 213)³⁴. Linking participatory situational analysis to strategic planning based on SWOT matrix analysis focusing on addressing the weaknesses in the SLEEPT circumstances through relating them to the challenges and opportunities we face and using an adaptive management approach, which is oriented towards the desired results gives our intervention(s) a new way of thinking, acting and seeing, that enables us to shape the situations that we want to organise and manage.

³⁴

Stuart P. Bate, identifies seven characteristics that make most change programmes fail. These are:

Solitary: Each approach represents an independent province of meaning, structured in its own time and place (Schutz, 1967), and intolerant of promising, potentially complementary approaches. The chosen change method tends to occupy the users' whole field of attention, having its own immanent and self-sufficient logic and mode of justification. This is typical of the "either-or" mentality discussed earlier: people tend to go for one approach or another, rarely combination of approaches.

Persistent: Having adopted a particular approach people tend to stick to it from beginning to end. There is no criss-crossing from one approach to another and no conception of changing the approach as the change process unfolds. Alternative methods or a sequence of methods are "unthought of" (Wilkins and Dyer, 1988: 535) – out of sight and out of mind.

Generic: The chosen approach is the "Ma for all seasons" – invariant, applied uniformly in all situations regardless of events or circumstances; it is not interactive with its environment.

Automatic: Approaches to change are not so much conscious strategies as a manifestation of different management styles. People tend to use them spontaneously, unreflectively and uncritically without deep consideration of the point or appropriateness of their activities. As far as change is concerned they simply do what comes naturally to them.

Ungrounded: Approaches to change rarely take account of the culture (*environmental conservation and poverty reduction culture*) that is to be changed. They tend to be stock methods, probably the same ones that will be used when a change in technology, structure or systems is being implemented.

Inflexible: People tend to get locked into a particular style and become incapable of responding to the changing needs of the cultural (*environmental conservation and poverty reduction cultural*) development process. A strong commitment to one approach reduces versatility and prevents exploration of the full range of options available.

Consonant: The approach to change is itself culture-bound – people tend to adopt a method of change that avoids dissonance with the existing culturally preferred method. "Conciliative" – type cultures (*environmental conservation and poverty reduction cultures*) tend to adopt conciliative change methods, and "aggressive" – type cultures (*environmental conservation and poverty reduction cultures*) aggressive ones. The result is that the existing culture is actually reinforced and sustained. The method becomes not so much a method of change as a method of order.

This type of analysis realises that environmental conservation and poverty reduction is a journey rather than a destination. In such a journey each step must be in support of the whole, in order to proceed as planned, with desired speed, and intended direction. By identifying and strategically planning to deal with the weakest moments of that journey, we are in effect assuring that the speed and momentum is consistently and appropriately accelerating in the right direction.

In practice however this is a big challenge, as the development of the strategic forest management plan 2002 to 2027 of Arabuko-Sokoke Forest Kenya³⁵ shows – box 4.1. Whereas the plan development process and expected outcomes are inclusive and participatory, and whereas there will be monitoring and research component, the process and its suggested implementation fails to recognise and include the following:

- A thorough strategic SWOT analysis of the social, legal, economic, ecological, political, and technological circumstances that do exist and how the implementation will deal with them to address observed and inherent weaknesses and threats through exploitation of existing strengths and opportunities;

³⁵

Ministry of Environment and Natural Resources; Forest Department, Kenya, February 2002. Arabuko-Sokoke Strategic Forest Management Plan 2002-2027. Arabuko-Sokoke Forest Mangement Team. Pp vii and viii.

Box 4.1 Arabuko-Sokoke strategic forest management plan 2002-2007**4 ARABUKO-SOKOKE STRATEGIC FOREST MANAGEMENT PLAN 2002-2027 (pp. viii+56)****Introduction (pp 1-6)**

Arabuko-Sokoke Forest covers 41,600 ha. and is the largest block of coastal forest remaining in East Africa. It is the only forest reserve where the Forest Department has invited three partners to jointly manage the forest. The three partners are the Kenya Wildlife Service, Kenya Forestry Research Institute and National Museums of Kenya. Surrounding the forest are 54 villages, whose inhabitants depend on the forest for their subsistence uses.

Administrative framework (p.7)

Day-to-day activities are co-ordinated through four working groups overseen by a Senior Management Committee (SMC). The combined membership of four working groups, plus SMC, forms the Arabuko-Sokoke Forest Management Team (ASFMT). The working groups are the:

- Forest management working group
- Rural development working group
- Tourism and education working group, and
- Research and monitoring working group.

The four concerned departments are co-ordinated at national level by various memoranda of understanding (MoUs) and there is a Secretariat in Nairobi for this purpose. The MoUs have been instrumental in guiding the project and partners on the ground. At present (*year 2002*), the ASFMT does not have legal status. However much has been achieved through the goodwill and co-operation of team members

The planning process (p.9)

The Arabuko-Sokoke Forest Management Team, other stakeholders and the local community, with financial and technical support from European Union and BirdLife International, came together to develop a Strategic Forest Management Plan (SFMP). This plan will guide forest management operations for the next 25 years. The plan was developed in a participatory way, with wide consultation among the stakeholders. The strategies will focus on forest zonation, ecotourism, environmental education, problem animal management, subsistence use of the forest, biodiversity conservation, commercial use of the forest, infrastructure development, human resource development, and monitoring and research.

Focus on poverty (pp 43-50)

The forest has contributed to the poverty of the adjacent communities, by harbouring animals such as elephants and baboons that damage crops and may cause injury and death to human beings. Some income-generating activities have been introduced to reduce poverty levels; the most successful have been butterfly-farming and bee-keeping. These activities aim to reduce unsustainable use of the forest and to provide an alternative land use that is not vulnerable to animal damage.

Proposed changes in administration within the plan (Governance, p. 32)

The plan proposes retention of the existing administrative framework at Arabuko-Sokoke Forest. The four government departments should continue to work together, with local community incorporated in the team through the Forest-Adjacent Dwellers' Association. It proposes establishment of an Arabuko-Sokoke Forum, in which other stakeholders not represented in the management team, will participate. This will be supported through establishment of an Arabuko-Sokoke Forest Trust, which will solicit for support for conservation of the forest.

Source: Ministry of Environment and Natural Resources, Nairobi, Kenya, February 2002. *Arabuko-Sokoke Strategic Forest Management Plan 2002-2027*. Arabuko-Sokoke Forest Management Team. Pp viii+56

- A clear results-based management system that will focus on generating data, information and use of adaptive management to effectively address the complex issues of environmental conservation and poverty reduction. This is critical in order to provide the management with facts and figures to convince themselves and other stakeholders that it pays to continue with their efforts; and
- A clear system to ensure that the lessons from the planning, implementation, monitoring and evaluation of the work at Arabuko-Sokoke will help local decision-makers and others to focus more effectively on environmental conservation and poverty reduction at the local, district, and national level. For example, how will the local government and district authorities gain from Arabuko-Sokoke in decision-making and additional understanding of the circumstances that keep their communities so poor. In other words how will the lessons of Arabuko-Sokoke influence decision-making and policy in environmental conservation and poverty reduction at local, district and national levels, which are critical decision-making levels in Kenya.

It should be clear from the strategic plan how do local structures at Arabuko-Sokoke Forest, link or will link with government and private sectors at the corresponding levels (grassroots, district, and national) to promote effective and efficient environmental conservation and poverty reduction – We should be able to witness more participation, increased mutual understanding and values, inclusive solutions, and increased shared responsibilities in environmental conservation and poverty reduction at all levels (beginning with the grassroots) as a result of Arabuko-Sokoke's interventions. To link this to empirical analysis, we try to understand the CBO's and local NGO's institutionalisation and learning management approach to environmental conservation and poverty reduction that we believe promotes institutionalisation.

We feel this gives the organisation – CBO or local NGO – increased capability to influence others and to ensure proper institutionalisation does take place at the level the organisation is operating at.

As if to vindicate the three pronged approach discussed in this study, James Mayers, et. al³⁶., while talking about forestry policy and linking the corridors of power to local reality- states, “ a premium is placed not on one-shot “planners’ dreams” but on step-wise approaches that notch up shared experience – making visible progress and building momentum for broader change”. They enlist seven desirable processes to achieve good policy³⁷.

³⁶ James Mayers and Stephen Bass (eds), 2004. Policy that Works for Forests and People. Real prospects for governance and livelihoods. International Institute for Environment and Development (IIED). Earthscan, Sterling, Virginia, VA. Pp. xix-xxiii.

³⁷ These processes are:
A forum and participation process: to understand multiple perspectives and needs to negotiate and cut “deals” between the needs of the wider society and local actors, and to initiate partnerships.
National definition of, and goals for sustainable forest (resource) management: focusing on the forest (*environmental*) goods and services needed by stakeholders, and on broader sustainable development objectives
Agreement on ways to set priorities: in terms of e.g. equity, efficiency, and sustainability, as well as timeliness, practicality, public “visibility” and multiplier effect. This will require methodologies such as forest valuation and organised debate.
Engagement with extra-sectoral influences on forests (resources) and people: using strategic planning approaches, impact assessment and valuation, but also emphasising the active use of information and advocacy to influence broader political and market processes.
Better monitoring and strategic information on forest (resource) assets demand and use: as the “hidden wiring” which allows a continuously-improving policy process.
Devolution of decision-making power to where potential contributions for sustainability is greatest: decisions are best made and implemented at the level where the trade-offs are well-understood and there is capacity to act and monitor.
Democracy of knowledge and access to resource-conserving technology: openness to information from all sources, and communication of both information used in policy-making and information on policy impacts, are vital processes for empowering effective forest (*resource*) stewardship.

4.4 Development of a results-based adaptive management and information system

In order to improve management effectiveness and accountability, and continue the process of involving stakeholders in defining the process and progress in environmental conservation and poverty reduction, and in integrating lessons learned into management decisions and reporting on performance, we need a results-based adaptive management and information system. This is a system of capturing, storing, and using information on the resources, reach and results (CIDA, 1996)³⁸ of our environmental conservation and poverty reduction interventions. This kind of system requires that, within organisations and institutions dealing with environmental conservation and poverty reduction there is:

- Continuous and targeted research to establish baseline, understand the situation well and develop indicators of change: questions that need to be answered during research are among others; What pressures are encouraging the need for environmental conservation and poverty reduction within the government, civil society, the private sector, and communities; Who are the owners, supporters and empathisers of the environmental conservation and poverty reduction process within the target area; What is the socio-political and economic motivation for environmental conservation and poverty reduction within the target area; How will environmental conservation and poverty reduction directly and indirectly support better resource allocation;

³⁸

The Canadian International Development Agency (CIDA's) corporate RBM policy, identifies resources, reach and results as follows – environmental conservation and poverty reduction in the discussion is our own addition
 - Resources are the human, organisational, intellectual and physical inputs that are invested by organisations dealing with environmental conservation and poverty reduction in the process, institutional development and institutionalisation;

Reach refers to the breadth and depth of influence over which the organisation wishes to spread its resources. This affects alliance building, networking, institutional development, institutionalisation;

Results are describable or measurable changes in state of environmental conservation and poverty reduction that is derived from a cause and effect relationship between what an intervention does and what are its immediate outcomes and long-term impacts

What capacity exists to support results-based intervention in environmental conservation and poverty reduction; and What systems are in place to link results-based interventions at project, program, and sector level, and also to ensure that lessons learned are used in decision-making, resource allocation at local, district and national levels.

- **Effective monitoring:** This is necessary to follow up implementation of planned activities and objectives. Monitoring aims at ensuring that environmental conservation and poverty reduction owners, supporters and empathisers develop a common understanding of actions and activities, identify with the initiatives being undertaken and coordinate their implementation and learning processes. It also ensures that management structures and functions are clear to all, maintenance of the process, outcomes and impacts is continuously followed up, and that there is increasing credibility to what is happening in environmental conservation and poverty reduction. Monitoring aims to assure timeliness of actions, validity of results and creation of reliability criteria. This gives consistence and stability to interventions across time and space. Furthermore a monitoring framework that generates knowledge, promotes learning and guides action is in its right, an important means of capacity development in results-based management.
- **Periodic review, assessment and evaluation:** For results-based management to work well there is need to generate timely information to manage, guide and assist in the allocation of resources in environmental conservation and poverty reduction interventions/initiatives. For periodic review, assessment and evaluation to be profitable to management it needs to assist management in the following ways (Adapted from Jody Zall Kusek et. al., 2004, pp 115-116)³⁹

³⁹

Kusek, Jody Zall et al, 2004. Ten steps to results-based monitoring and evaluation system. The international Bank for Reconstruction and Development/The World Bank.

1. Help make resource allocation decisions
2. Help rethink the causes of the environmental conservation and poverty reduction negative situation being addressed
3. Identify emerging related trends contributing to the negative situation
4. Support decision-making on competing best alternatives
5. Support relevant policy reform and innovation; and
6. Build consensus on the cause of the negative situation, and the underlying factors, and how to respond.

Review, assessment and evaluation provides information on strategy (are the right things being done); operations (are things being done right); and learning (are there better ways of doing things). This ensures that social fabric and environmental concerns are not torn apart.

- Lessons are ploughed back through adaptive management approach: In order to demonstrate accountability, convince others, educate them, promote understanding, gain support and improve on clear and precise thinking we have to ensure that lessons learned from our work in environmental conservation and poverty reduction are fed-back and improve the way we do things. Often we forget that value of information decreases rapidly over time, so findings should be communicated as quickly as possible (Valadez, et. al., 1994, p. 437)⁴⁰ So in order to get maximum benefits from the information we generate we need to adopt an adaptive approach to our results-based management of environmental conservation and poverty reduction interventions or initiatives. Adaptive management incorporates research into conservation action.

⁴⁰

Valadez, Joseph, and Michael Bamberger, 1994. Monitoring and evaluating social programmes in Development Countries: A Handbook for Policymakers, Managers, and Researchers. Washington, D.C, The World Bank.

- Specifically, it is the integration of design, management and monitoring to systematically test assumptions in order to adapt and learn (World Wildlife Fund –WWF- 2001, p. 12)⁴¹ Adaptive management approach advocates that we zone the environmental resources we want to conserve into

⁴¹ World Wildlife Fund (WWF), 2001. Adaptive management: A tool for conservation practitioners. Biodiversity Support Program, Washington D.C. In this publication, adaptive management is described as having the following steps:

Start: Establish a clear and common purpose: Appraise the Resource Management situation and problems

- Create benchmark for measuring success
- Promote informed collaboration

Step A: Design an explicit model of your system: design Resource Management activities

- Collect relevant information and compare alternative courses of action
- Create a framework for learning
- Synthesize different perspectives

Step B: Develop a management plan that maximizes results and learning:

- Maximize leverage
- Treat your actions as experiments
- Balance the risks of action and inaction

Step C: Develop a monitoring plan to test your assumptions:

Monitoring the achievement of the expected results on the basis of indicators drawn up for the expected changes

- Make your assumptions explicit
- Collect only the information you need

Step D: Implement your management and monitoring plans:

Implement Resource Management activities closely following the chosen plan

- Do it
- Set up a data management system that fits into everyday work

Step E: Analyse data and communicate results: evaluate the results to test the effectiveness of activities implemented

- Analyse your data
- Document and communicate key lessons

Iterate: Use results to adapt and learn:

Adjusting activities in line with lessons learned; this may include re-formulation of the problems, the Resource Management objectives, the activities and indicators etc

management zones corresponding to our strategic management objectives. Like the case of Arabuko-Sokoke Forest, the strategic forest management plan proposes four zones – Box 4.2. These zones are:

Box 4.2 Arabuko-Sokoke Forest Zones

<p>ARABUKO-SOKOKE FOREST ZONES: <i>Pages 11 and 12 of the strategic forest management plan document</i></p>	
1.	<p>Non-extractive zone Areas of forest lying furthest from villages and which are most important for biodiversity conservation. There will be no extraction of forest products from this zone. Subdivided into:</p> <p>1.1 <i>Biodiversity conservation sub-zone</i>: consisting of the most sensitive and important biodiversity areas where restricted access will be allowed only for research and study purposes.</p> <p>1.2 <i>Eco-tourism sub-zone</i>: where greater access for eco-tourism and awareness-raising will be permitted.</p>
2.	<p>Subsistence Zone Forest areas lying closest to villages and most heavily used by the villagers for their subsistence forest product needs. Subdivided into:</p> <p>2.1 <i>Community us sub-zone</i>: from which the collection of a range of locally required forest products will be permitted.</p> <p>2.2 <i>NTFP sub-zone</i>: from which a more limited range of products only can be utilised by local communities (particularly non-timber forest products, such as medicinal plants).</p>
3.	<p>Commercial Zone A very small zone consisting of the established plantations within the forest. These will continue to be managed only for timber, pole and fuel wood production, and will not be extended further.</p>
4.	<p>Intervention Zone An area lying entirely outside the forest boundary and consisting mostly of private land. Communities in this area will be supported in carrying out activities which give livelihood benefits as well as contributing to forest conservation</p>

However, there are two challenges related to environmental conservation and poverty reduction that are not adequately addressed within the zoning of Arabuko-Sokoke forest as concerns effective adaptive management.

-
- Incorporate adaptation into decision-making structures
 - Use results to learn
 - Keep going through the cycle

One is that; the zoning for adaptive management in this case does not clearly link the social, economic, ecological, political, and technological (SLEEPT) circumstances that determine our management system and strategies for actors and how the management system will influence the SLEEPT circumstances through addressing weaknesses and threats as they relate to opportunities and strengths. The other is that; the zoning has not extended to include all areas of concern as far as environmental conservation and poverty reduction is concerned. These areas should include all community areas whether used for forestry, agriculture, or fisheries as they relate to community livelihoods and poverty reduction. This is because how the people relate to the forest resources is determined to a large extent by what happens outside the forest and to other environment resources outside the forest.

- *Actualisation of learning organisation's culture:* In order to generate inter-generational and spatial equity in environmental conservation and poverty reduction work, it is very useful to harness the accumulated knowledge pool of the past, build on it in a flexible manner, and develop ways to ensure that acquired information and knowledge is not lost to those who need it most. It is a waste of resources for environmental conservation and poverty reduction to keep "re-inventing the wheel". Systems need to be put in place to ensure that we learn as we grow and develop. Organisations working in and promoting institutionalisation of environmental conservation and poverty reduction have to actualise a learning organisation's culture in structure and deed. Learning organisations (Morgan Gareth, 1997, p. 90⁴²) must develop capacities that allow them to do the following:

⁴²

Morgan Gareth, 2nd Edition, 1997. *Images of organisation*. Sage publications, inc, Thousand Oaks, California 91320. p. 90.

Scan and anticipate change in wider environment to detect significant variations;

Develop an ability to question, challenge, and change operating norms and assumptions; and

Allow an appropriate strategic direction and pattern of organisation to emerge.

The above will allow these organisations to promote an effective results-based management system of processes and initiatives in environmental conservation and poverty reduction.

- *Institutionalisation of tested, accepted and respected values and beliefs at key decision-making levels:* Environmental conservation and poverty reduction is a complex and long-term undertaking. In order to align stakeholders' values, norms and beliefs to ensure success and sustainability, an institutionalisation process as discussed earlier needs to be in place. This will enable actors and stakeholders to avoid rigidity in approach (adhering to inclusiveness and sensitivity), minimising bureaucracy in the practice of policy (adopting participatory processes and methods), avoiding and removing weak partnerships (entrenching the need to be visionary, committed, and dedicated), removing unequal distribution of benefits (thus promoting spatial, generational, and social equity) and avoiding poor institutional design of partnerships (that is promoting integrity, honesty, respect and trust amongst actors and stakeholders).

CHAPTER 5: EMPIRICAL ANALYSIS

5.1 Introduction

In the previous chapters we have seen how environmental conservation and poverty reduction processes and efforts proceeded as influenced by the current situational aspects mainly in the form of prevailing social, legal, economic, ecological, political and technological factors. The existing environmental conservation and poverty reduction initiatives as implemented by a range of actors, including local and international NGOs, local and national government agencies and supported by bilateral and other donors, collectively demonstrated the viability of engaging communities in environmental conservation and poverty reduction. These initiatives also demonstrated the weaknesses inherent in situations that seek to bring about full participation, mutual understanding, inclusive solutions, and joint responsibility in environmental conservation and poverty reduction without being clear and precise about accountability, transparency, ownership, and security issues as relates to sustainability and institutionalization of environmental conservation and poverty reduction endeavours.

However within East Africa, it can be said, and as discussed in earlier chapters that the review of environmental conservation policy, the increased focus on poverty reduction through application of poverty reduction strategies supported by increased resources from bilateral donors and government, and the continuous decentralization process to bring about good local governance from the mid 1990s to-date have contributed to a favourable social, legal, economic, ecological, political, and technological circumstances for advancing people and demand-driven environmental conservation and poverty reduction. New and legally bidding levels of decision-making, service provision, and implementation have been added for instance in Kenya and Tanzania in the form of Constituency

Development Fund (CDF)⁴³ and Opportunities and Obstacles to Development (OOD)⁴⁴ in Kenya and Tanzania respectively. These mechanisms have increased the impetus for participatory development at the grassroots, and district levels respectively.

For organizations and institutions in environmental conservation and poverty reduction to succeed in harnessing these new opportunities and improved social, legal, economic, ecological, political and technological circumstances, they must on their own part develop a focused, strategic and results-based approach that specializes in effective delivery of goods and services at their respective levels of interest and influence be it at grassroots, district or national levels.

⁴³ From: **Mwangi S. Kimenyi, April 2005:** Efficiency and Efficacy of Kenya's Constituency Development Fund: Theory and Evidence. University of Connecticut, Department of Economics, Working Papers Series. Working Paper 2005-42 – RePEc, <http://repec.org/>. The Constituency Development Fund (CDF) Kenya has the **Vision:** To be the most effective and efficient institution in the delivery and utilization of public resources. **Mission:** To ensure that a specific proportion of the annual Government ordinary revenue is devoted to the constituencies for the purpose of development and in particular the creation of wealth (= *poverty reduction*) at the grassroots level is spent prudently and in a transparent and accountable manner. **The Core Values:** To enhanced transparency, accountability, equity in resource distribution and participatory approaches by all stakeholders.

The fund was established through the Constituency Development Fund Act of 2003. It is one of the ingenious innovations of the National Rainbow Coalition (NARC) Government of Kenya. CDF is an annual budgetary allocation by the Central Government to each of the country's parliamentary jurisdictions – the constituencies. Unlike other development funds that filter from the central government through larger and more layers of administrative organs and bureaucracies, the funds under this program go directly to local levels. In essence the CDF provides individuals at the grassroots the opportunity to make expenditure choices that maximize their welfare in line with their needs and preferences. The CDF can therefore be considered a decentralization scheme that provides communities with the opportunity to make spending decisions that maximize social welfare. The CDF is an example of what is generally referred to as Community Driven Development (CDD) initiatives that empower local communities by providing fungible funds (often from the central government but some times from donor sources).

As a result of providing information, involvement of communities in decision-making and monitoring resource use, theory predicts that programs such as CDF would result in high levels of efficiency and that the selection of the projects would vary across jurisdictions in line with development priorities. These efficiency outcomes largely arise from the role that communities play in decision making and monitoring the use of funds.

⁴⁴ **From:** Prime Minister's Office; the United Republic of Tanzania; Regional Administration and Local Government, October 2005. The Government of Tanzania, through restructuring the Regional Administration by Act No. 19 of 1997, and the empowerment of the Local Government Authorities by the Miscellaneous Amendments Act No. 6 of 1999, has provided a National Framework on Participatory Planning and Budgeting at District Level. The Framework emphasizes the need for participatory planning from the village to the District Level. Based on the framework and on the need to harmonize the various participatory approaches and tools being used by different development supporters in different districts and at different times, the opportunities and obstacles to development (O&OD) methodology was developed.

The O&OD is a methodology for harmonizing the different participatory approaches and facilitates the bottom-up approach to planning. It has been piloted in different rural and urban settings and proved valuable and acceptable to the people. The O&OD methodology is an extensive consultative process that uses participatory tools to come up with the village (*grassroots*) and district plans. It is the vehicle which carries the Tanzania Development Vision 2025 (TDV) and hence forming the basis for implementing poverty reduction efforts. It has been developed to institutionalize the local government reforms in line with the government aspirations to devolve decision-making powers to the communities.

They need attributes, characteristics, and practice that make them stand-out as leaders at their respective levels on issues that promote: participation, good local governance, increased democracy, accountability, ownership and security of environmental conservation and poverty reduction processes, methodologies and outcomes.

This chapter looks at a sample of CBOs and local NGOs as key actors in environmental conservation and poverty reduction within East Africa and how they are dealing with the inherent challenges of their own vocation. The chapter seeks to offer understanding of emerging directions, and possible ways forward based on the field findings on these organizations on their institutionalization of environmental conservation and poverty reduction within East Africa. The chapter aims to achieve these through summarizing and discussing the nature, actions and experiences of these organizations, and the use of these summaries to make estimates or predictions about what is likely to be the case in the foreseeable future in the operationalization of environmental conservation and poverty reduction initiatives and processes in line with the basic hypothesis of this study.

5.2 Sample synthesis

In order to be representative of the various environmental conservation and poverty reduction initiatives within East Africa, the study sampled community-based organizations (CBOs), local NGOs and regional/national environmental conservation associations focusing on poverty reduction operating within key environmental conservation sites within East Africa. These are the coastal forests, and marine areas; - the so-called Eastern Arc and Coastal Forests Zone – in Kenya and Tanzania; the Highland World heritage sites around Mount Kilimanjaro (Tanzania) and Mount Kenya (Kenya); the Serengeti- Mara Ecosystem, and the Albertine Nile area (Uganda).

The distribution within the sample of 65 organizations was 18 community-based organizations, 38 local NGOs, and 9 regional/national associations. In terms of distribution within the countries we have 20 organizations from Kenya, 30 organizations from Tanzania, and 15 organizations from Uganda. This agrees very favorably with the ration of geographical sizes of the three country – approximately Uganda:Kenya:Tanzania as 1:2:3.

In terms of distributions within the three levels of decision-making, that is grassroots, district/regional, and national: we have 26 grassroots level organizations, these are either CBOs or local NGOs; 22 district or regional level organizations, these are either local NGOs or Associations; and 17 national level organizations, these are either local NGOs or regional/national associations. This is a fair distribution given that there should generally be more grassroots level organizations than district/regional and a few national level associations for a stable and sustainable institutional dispensation to exist. When you compare the level of operation and the type of organization – 18 community-based organizations (CBOs), 38 local NGOs, and 9 national associations, it appears that some local NGOs are operating at all three levels. This situation seems to support the hypothesis that some local NGOs are not well focused and may be diluting their efforts and effects by operating in a diffused manner, and doing all sorts of things; some of which are best done by associations and others by community-based organizations. We shall see the implications of this later in the type of activities organizations are engaged in.

It is important to note that respondents were interviewed as representatives of organizations and thus they were expressing organizational thought and process. The composition of respondents was 30 chairpersons or directors of organizations, 9 secretaries of organizations, 2 treasurers, and 24 management committee members. It is clear from this distribution that all the respondents interviewed understood their organizations very well, because the choice of any director, secretary, treasurer and management committee members in the organization is based on their understanding of the organization. There were 11 females and 54 men interviewed perhaps reflecting the fact that there are more men than women in the management positions as far as environmental conservation and poverty initiatives are concerned within East Africa.

5.3 Understanding the underlying factors, and the success of environmental conservation and poverty reduction

In this section the key variables in the analysis are: the type of organization, as reflected in question 4 in the questionnaire; the level of operation of the organization as reflected in question 5 in the questionnaire and combined with responses to question 17 on the level of decision-making of the organization; whether the organization has a vision or not as reflected in question 7; whether the organization has values as reflected under question 8; and the availability of strategic plan and strategic area of focus as reflected in question 11a and 11b in the questionnaire.

One of the basic challenges in understanding the underlying factors is the organization's focus on a clearly defined and value-added level of operation. For instance it will be a skewed way of doing things if all organizations focused at one level leaving the other key decision-making levels out. In East Africa, as already discussed the key decision-making levels are grassroots (herein referred to also as local), district/regional and national.

Out of the sampled of organizations it is clear that there are organizations focusing on environmental conservation and poverty reduction at all three decision-making levels. This means that in way of aligning themselves, organizations have fitted into the decision-making patterns within East Africa. As earlier indicated and as table 5.1 presents, there are 26 organizations working at the grassroots, 22 working at the district/regional level, and 17 organizations working at national level out of the 65 organizations sampled. It is also important to note that out of the 17 national level organizations, 9 are associations or network organizations.

This goes to show that the organizations have recognized the need for networking and collaboration at the district/regional and national levels.

Table 5.1 Types and levels of operation of organizations

Type of organization	Number	Percentage out of the total	Level of operation	Number	Percentage out of the total
Community-Based Organization (CBO)	18	27.7%	Grassroots	26	40%
Local Non-Governmental Organization (NGO)	38	58.5%	District or regional	22	33.8%
Association or Network	9	13.8%	National	17	26.2%
Total	65	100%	Total	65	100%

Another aspect of ensuring that an organization understands the underlying factors is whether it has set for itself a vision, has internalized certain values and has a strategic plan. As Dorothea Hilhorst 2003: 106⁴⁵ observes; “the room for manoeuvre of actors to fulfill their projects is restricted by circumstantial, material and institutional limitations. How these confine actors depends partly on how actors perceive and act upon them. An actor orientation emphasizes that, regardless of the nature of the constraints, actors socially construct their room for manoeuvre through their responses to constraints”

⁴⁵ Dorothea Hilhorst, 2003. The real world of NGOs: - Discourses, diversity and development. Zed Books Ltd. London. New York. Pp. xiv + 257.

Also most importantly is whether the organization has put down for itself a clear mandate (that is the strategic area of its focus). All the organizations sampled (65 in all) indicated that they have a vision. That means that they see environmental conservation and poverty reduction as an inclusive and a long-term undertaking. This is given strength by the observation that out of the 65 sampled organizations, 54 of them indicated that their interest in environmental conservation and poverty reduction is medium to long term (5 and more years).

What this implies from the perspective of the organizations is that they are in environmental conservation and poverty reduction to address the underlying social, legal, economic, political and technological factors, and also to address the long term desires of communities to deal in a sustainable manner the issues surrounding environmental conservation and poverty reduction.

In terms of values 62 organizations out of the 65 organizations sampled said that they had values. This in itself is important because institutionalization requires that an organization is capable of internalizing, exemplifying certain values and also ensuring that other organizations within its institutional network are in agreement with these values. Samuel Assembe Mvondo, 2006: 68⁴⁶, relating the importance of values in social discourse, says “Local governance (read environmental conservation and poverty reduction in our case) that is based on democratic values can facilitate the fight against poverty by mobilizing all sections of the community and its resources towards achieving this aim, conversely, poor (read poor environmental conservation and poverty reduction in our case) local governance perpetuates the impoverishment of rural populations.

⁴⁶

Samuel Assembe Mvondo in: Development in Practice Journal of February 2006. Forestry income management and poverty reduction: empirical findings from Kongo and Cameroon. Development in Practice Journal of February 2006, Vol. 16, number 1, Oxfam.

In terms of the areas of focus for the organization, table 5.2 presents the findings.

Table 5.2 Areas of focus during the last strategic planning session

No.	Strategic area of focus	Percentage of organizations who focused on it
1	The root-cause social, legal, economic, ecological, political and technological weaknesses related to environmental conservation and poverty reduction	47.7%
2	The strengths, weaknesses, opportunities and threats of the organization in environmental conservation and poverty reduction	63.1%
3	The vision and mission of the organization in relation environmental conservation and poverty reduction	64.7%
4	Results-based planning, monitoring and evaluation aspects of the organization	30.5%
5	Coordination, cooperation and networking aspects of the organization in relation to other stakeholders in environmental conservation and poverty reduction	70.7%

From the table 5.2 we can see that 47.7 % of the organizations focused on the root-cause social, legal, economic, ecological, political and technological weaknesses of environmental conservation and poverty reduction in their last strategic planning session. 63.1% focused on the strengths, weaknesses, opportunities, and threats of the organization in environmental conservation and poverty reduction; and 66.1% focused on both root-cause weaknesses, and the organizational strengths, weaknesses, opportunities and threats. This essentially implies that understanding the underlying factors is a key consideration of all organizations and at all levels.

However the fact that there are more organizations that focused on strengths, weaknesses, opportunities, and threats, that is 63.1%; and more that focused on vision and mission, that is 64.7%; may imply that for a significant number of organizations the agenda for environmental conservation and poverty reduction may be coming from external influences and other external influences rather than from clear understanding of the underlying factors affecting environmental conservation and poverty reduction, for example donors, government and other actors that have more influence. This finding coupled with the fact that 70.7% of the organizations focused on coordination, cooperation and networking aspects, thus giving a skewed proportionality to aspects of coordination that a better done by associations and networks, might mean that some organizations are being pushed by the need to be relevant to external influence and seem to be doing all and everything instead of specializing at their level of operation and decision-making where they will have maximum impact. This might eventually reduce the capacity of the concerned organizations to be effective at institutionalization of environmental conservation and poverty reduction at their levels, given all other arguments that have been raised in this study.

If we look at the level of operation of the organization against the area of strategic planning we get what is presented in table 5.3.

Table 5.3 Area of focus for strategic planning versus the level of operation of the organization

No	Area of focus for strategic planning	National	District/ Regional	Grassroots
1	The root-cause social, legal, economic, ecological, political and technological weaknesses related to environmental conservation and poverty reduction	6	8	5
2	The strengths, weaknesses, opportunities and threats of the organization in environmental conservation and poverty reduction	5	7	14
3	The vision and mission of the organization in relation to environmental conservation and poverty reduction	14	12	12
4	Results-based planning, monitoring and evaluation aspects of the organization	5	5	8
5	Coordination, cooperation and networking aspects of the organization in relation to stakeholders in environmental conservation and poverty reduction	5	16	18

The results in table 5.3 above indicate that there are weaknesses at the national level in terms of coordination, cooperation and networking aspects of the organization in relation to stakeholders in environmental conservation and poverty reduction, because only 5 of the 17 national level organizations are involved in this, and yet this is a critical activity at the national level, thus although 70.7% of the organizations in all are involved in this activity – see table 5.2. As seen in table 5.3, the majority are at grassroots (18 organizations) and district (16 organizations) levels respectively. This will definitely have a bearing on the influence national organizations dealing with environmental conservation and poverty reduction have at this level, and could be an indicator of the high level of external influence from international organizations and the government as key powerful actors on decision-making on environmental conservation and poverty reduction at this level. It also implies that institutionalization of national beliefs, norms, rules, regulations, standards and values in environmental conservation and poverty reduction is essentially weak in East Africa, and could actually be biased towards a few powerful actors/stakeholders at the national level in the three East African countries.

Another issue is that although organizations at grassroots (18) and district/regional (16) are so keen on coordination, cooperation and networking aspects in relation to stakeholders in environmental conservation and poverty reduction, they are very weak in understanding the root-cause social, legal, economic, ecological, political and technological weaknesses related to environmental conservation and poverty reduction – (grassroots – 5 out of 26 organizations; and district/regional – 8 out of 22 organizations). This is despite the fact that this is a critical activity at these two levels, especially if institutionalization is to be effective.

It very difficult for organizations at this level to be effective in institutionalization of environmental conservation and poverty reduction, if they do not understand the root-cause social, legal, economic, ecological, political and technological weaknesses related to environmental conservation and poverty reduction at the grassroots level very well.

This is also an indication of external influence because the organizations at this level are so concerned about putting down their vision and mission in relation to environmental conservation and poverty reduction - 64.7%; and addressing their strengths, weaknesses, opportunities and threats in relation to environmental conservation and poverty reduction - 63.1% and yet they are poor at first understanding the root-cause social, legal, economic, ecological, political and technological weaknesses related to environmental conservation and poverty reduction at grassroots and district levels, which are key decision-making levels in East Africa.

Another challenge has to do with the number of organizations at each level that focus on results-based planning, monitoring and evaluation aspects of the organization – (grassroots – 8 out of 26 organizations; District/regional – 5 out of 22 organizations; and national – 5 out of 17 organizations). This as discussed earlier is a weakness that will affect the institutionalization of environmental conservation and poverty reduction in that, with a weak results-based planning, monitoring and evaluation stakeholders may not clearly understand and explain to others in a convincing way the benefits of institutionalization.

5.4 Interactive analysis, and strategic planning, creating a vision and how to achieve it

The variables that are important here are: how long the organization has been in operation as given in question 9; the interests the organization has in environmental conservation and poverty reduction, as is in question 10; whether the organization has strategic plan as is in question 11a; the processes and actions the organization is taking to improve its operations and impacts at grassroots level – this is the ultimate level at which beneficiaries are found as in question 12 in the questionnaire; and the presence and type of institutional arrangements in place for interactions of organizations at the organization's level of operation, as in question 13a and 14 respectively.

The focus period of the organization is a clear indication whether it considers itself as part of the environmental conservation and poverty reduction process, and whether it has moved from the project-tied mentality to long-term planning and implementation. Environmental conservation and poverty reduction is a long-term undertaking, so any organization seeing its work as five years or less is not essentially keen on any substantial work in environmental conservation and poverty reduction. As table 5.4 presents most organizations see their work as long term – that is more than 5 years – this is 83% of the organizations. This is a good indicator that organizations are aware that environmental conservation and poverty reduction is a long term engagement – this is much so given that quite a significant number of the organizations, that is 31.0% - see table 5.5 are less than 5 years old, and yet majority are clear they will be in it for a long time. As Else Oyen et al, 2002:23⁴⁷ notes, "Poverty-reduction interventions need to change their goals and organizational structure as they reach their original goals. This is another of the many paradoxes built into poverty reduction.

⁴⁷

Else Oyen et al (eds), 2002. Best Practices in poverty reduction. An analytical framework. Comparative Research Programme on Poverty (CROP). International Social Service Council. Zed Books. London – New York. Pp ix + 144.

On the one hand an organization needs stability and predictability in order to be effective and to create trust among the beneficiaries and surroundings – this needs time (italics ours). On the other hand the organization needs sufficient manoeuvring space to meet the complexity of problems inherent in poverty and the ability to move on when one kind of poverty has been sufficiently reduced or even eliminated – this also needs time (italics ours). Much of the resistance to poverty-reducing practices is due not only too the antagonists’ self-interest and potential loss they may have from redistributive measures; much of their hostility stems from lack of concrete knowledge about poor people and the causes and consequences of poverty”

Table 5.4 Organization’s interest in environmental conservation and poverty reduction

Focus period for organization’s interest in environmental conservation and poverty reduction	Number	Percentage out of the total sixty five
Short-term (1-5 years) to address current burning issues in environmental conservation and poverty reduction, such as awareness raising and sensitization and then move on	11	16.9%
Medium-term (5-10 years) to address some key underlying social, legal, economic, political and technological factors that are causing imbalance, tension and conflict in environmental conservation and poverty reduction	15	23.1%
Long-term (beyond 10 years) to address the underlying social, legal, economic, political and technological factors that are causing imbalance, tension and conflict in environmental conservation and poverty reduction, and also be part and parcel of the long-term desires of communities we are working with, and society at large	39	60.0%
Total	65	100%

Table 5.5 Length of time the organization has been in operation

Length of time in years	Number	Percentage out of the total sixty five
Less than five years	20	30.8%
Five to ten years	28	43.0%
Ten to fifteen years	10	15.4%
Fifteen to twenty years	4	6.2%
More than twenty years	3	4.6%
Total	65	100%

In analyzing the length of the time the organization has been in operation, compared to whether the organization is a community-based organization (CBO), a local NGO, or an association or networking organization the results are as presented in table 5.6.

Table 5.6 Type of organization versus length of time in operation

No.	Type of organization	Less than 5 years	Five to ten years	Ten to fifteen years	Fifteen to Twenty Years	More than Twenty years
1	CBO	11	6	1	0	0
2	Local NGO	9	20	6	3	0
3	Association or Network	0	2	3	1	3

The results illustrate the already suspected transition from CBO to local NGO and eventually association or network organization as organizations mature in time. This transition will be very healthy if issues that hinder institutionalization are addressed. The transition will be able to address the necessary balance between the number of CBOs, local NGOs and association/networking organizations within East Africa.

The presence of a strategic plan and institutional arrangement indicates that the organization is afforded the opportunity to do interactive analysis and strategic planning. It is noteworthy to see that almost the same number of organizations say have strategic plan as the number which indicates the presence of an institutional arrangement between the organization and other actors at its level of operation to address environmental conservation and poverty reduction – see table 5.7.

Table 5.7 Presence of strategic plan and institutional arrangement

Presence of strategic plan			Presence of institutional arrangement		
Response	Number	Percentage out of total	Response	Number	Percentage of the total
Yes	61	93.8%	Yes	61	95.3%
No	4	6.2%	No	3	4.7%
Total	65	100%	Total	64	100%

The presence of a strategic plan together with an institutional arrangement is a clear indication that organizations see the value of working together and thinking strategically in environmental conservation and poverty reduction, because as Dorothea Hilhorst 2003:104⁴⁸ observes, “ intervention processes in the villages do not happen in a linear fashion, but have all kinds of directions, ruptures, closures and fanning-out”.

The issue of the processes or actions an organization is involved in to improve its operations and impact at grassroots level on environmental conservation and poverty reduction has a bearing on the extent to which an organization is integrating environmental conservation and poverty reduction. Table 5.8 presents the types of processes or actions organizations are involved in.

Table 5.8 Types of processes or actions organizations are involved in

No.	Type of processes or actions	Percentage of organizations involved
1	Enhancement of resource users organization and cohesion	49.3%
2	Improving resource management	63.1%
3	Promoting shared responsibility, inclusive decision-making and implementation	67.8%
4	Creation of better communication and greater awareness on environmental conservation and poverty reduction	75.3%
5	Improving product distribution for better marketing and resource sharing	27.6%
6	Focusing more on gender and equity considerations	42.6%
7	Promoting economic development through conservation and poverty reduction	65.6%
8	Focusing on livelihood support and community development	63.8%
9	Enhancing conflict management mechanisms to improve conservation and poverty reduction	24.3%
10	Focusing on linkages and network development between various levels	30.2%
11	Others specify	1.5%

⁴⁸

Dorothea Hilhorst, 2003. The real world of NGOs: - Discourses, diversity and development. Zed Books Ltd. London. New York. Pp. xiv + 257.

From table 5.8 above we can see that 75.3% of the organizations are focusing on creation of better communication and greater awareness on environmental conservation and poverty reduction. This is critical in institutionalization of environmental conservation and poverty reduction because communication, awareness and sensitization are important in getting organizations and the institutions they operate in to internalize and create a critical mass within their target beneficiaries on the key principles, values, rules, regulations, norms and beliefs related to environmental conservation and poverty reduction.

Organizations working together and focusing on this will go a long way to ensure that environmental conservation and poverty reduction takes a centre stage in their areas of focus. In Dharam Ghai and Jessica M. Vivian 1995:304, philippe Egger and Jean Majeres⁴⁹ observes that, “a successful and sustainable environmental conservaton and poverty reduction strategy is likely to encompass:

- Resource management which is area-specific in order to account for the characteristics of local ecosystems;
- Allowance for full participation of local populations relying on its (traditional) forms of organization and area-specific know-how;
- Making the best use of the local resource base: human, natural, institutional, technological; and
- The adaptation of all elements of any outside intervention (rules, technology, advice to the local situation)”

And looking at the organizations that are: involved in improving resource management – 63.1%; working in promoting shared responsibility, inclusive decision-making and implementation – 67.8%; promoting economic development through conservation and poverty reduction – 65.6%; and focusing on livelihood support and community development – 63.8%.

⁴⁹ Philippe Egger and Jean Majeres in Dharam Ghai and Jessica M. Vivian (Eds), 1995. Grassroots Environmental Action. People's participation in sustainable development. Local Resource Mangement and Development: strategic dimensions of people's Participation. Paper Back Edition. Routledge, London. Pp xiv + 351.

We can see that the question of environmental conservation and poverty reduction is high on most organizations agenda because resource mobilization; shared responsibility and decision-making; economic development and livelihood support are central to environmental conservation and poverty reduction and their institutionalization.

What may fail the organizations or reduce their impact on environmental conservation and poverty reduction plus their institutionalization is the low focus on: improving product distribution for better marketing and resource sharing – 27.6%; gender and equity considerations – 42.6%, given that women are 52% of the population in East Africa, and most of the community work, including the major part of environmental conservation activities is done by women; and enhancing conflict management mechanisms to improve environmental conservation and poverty reduction – 24.3%, it is noteworthy to state here that most ethnic confrontations in East Africa in recent times (the last 10 years) have a bearing on environmental resource utilization, control and management as their link to sustainable livelihoods of the concerned communities. These aspects need to be looked at more critically and closely for they affect environmental conservation and poverty reduction in a big way.

The aspects of resource users organization and cohesion – 49.3%; and linkages and networks development between various levels – 30.2% seem to be receiving fairly adequate attention, given that the percentages involved correspond very well with the percentage of organizations working at national level within the sample, as earlier discussed – 26.2%.

An analysis of the type of organization: whether community-based organization (CBO), local non-governmental organization (local NGO), or national association or networking organization and the types processes/actions the organization is involved in to improve its operations and impacts at grassroots gives the results as presented in table 5.9.

Table 5.9 Type of organization versus the processes and actions it is involved in to improve operations and impacts at grassroots level

No.	Processes and actions the organization is involved in	Association/ Network	Local NGO	CBO
1	Enhancement of resource users organization and cohesion	6	17	9
2	Improving resource management	5	25	9
3	Promoting shared responsibility, inclusive decision-making and implementation	7	22	14
4	Creation of better communication and greater awareness on environmental conservation and poverty reduction	8	27	16
5	Improving product distribution for better marketing and resource sharing	4	10	3
6	Focusing more on gender and equity considerations	4	15	5
7	Promoting economic development through conservation and poverty reduction	8	15	14
8	Focusing on livelihood support and community development	8	19	13
9	Enhancing conflict management mechanisms to improve conservation and poverty reduction	5	6	5
10	Focusing on linkages and network development between various levels	2	13	4
11	Others specify	0	1	0

The urge to link and network either vertically or horizontally is highest at district/regional level (13 out of 38 organizations) and weakest at national (2 out of 9) and community – grassroots level (4 out of 18 organizations). In essence it should be high at all levels to ensure effective institutionalization of environmental conservation and poverty reduction. This is a weakness in the way organizations work within East Africa, and their focus at the three key decision-making levels, that is: national, district/regional, and grassroots.

Diana Mitlin in Samuel Hickey and Giles Mohan (eds), 2004: 188⁵⁰ observes that, “...federating has added considerably to the opportunities and choices open to the poor and disempowered. Unlike isolated participatory events, federations provide an institutional form for the poor themselves to learn, strategize, consolidate to address their own needs, secure their rights of citizenship and press for greater government responsiveness. As such federations constitute a key strategy in securing the objectives of participatory development and governance, particularly in the contexts where significant shifts in the field of power relations between state and its citizens are underway”.

Adding to the importance of federating, collaboration and networking, and quoting lessons from Bangladesh on building grassroots movements, John Clark 1991: 102-119⁵¹, states observes that, “the following ingredients seem essential (italics ours):

- Start with an activity which the people readily relate to (understanding the underlying factors);
- Build awareness raising and empowerment into the process (Creation of better communication and greater awareness on environmental conservation and poverty reduction);
- Foster strong local leadership (Promoting shared responsibility, inclusive decision-making and implementation);
- Tackle national as well as external injustices;
- Encourage groups to chart their own course
- Develop action research;
- Forge alliances of local groups (Focusing on linkages and network development between various levels);
- Avoid early failure;

⁵⁰ Diana Mitlin in Samuel Hickey and Giles Mohan (eds), 2004. Participation: from tyranny to transformation? Exploring new approaches to participation in development. Securing voice and transforming practice in local government: the role of federating in grassroots development. Zed Books. London – New York. Pp x + 292.

⁵¹ John Clark, 1991. Democratizing Development. Earthscan Publications Ltd. London. Pp 259.

- Build up strong communication skills;
- Seek influential allies;
- Explore the use of state instruments;
- Develop a political strategy;
- Balance external and internal contributions;
- Expect threats and be prepared to respond (Enhancing conflict management mechanisms to improve conservation and poverty reduction); and
- Develop international support where necessary.”

The low attention at community – grassroots level - given to improving product distribution for better marketing and resource sharing – 3 out of 18 organizations; focusing more on gender and equity considerations – 5 out of 18 organizations; and enhancing conflict management mechanisms to improve conservation and poverty reduction – 5 out of 18 organizations, may be indication of weaknesses in addressing key underlying economic, social and legal factors at this level and unless measures to improve on this are taken, there is every probability that institutionalization of environmental conservation and poverty reduction will be negatively impacted. Also at the local NGO level which corresponds with either grassroots decision-making or district/regional decision-making levels, enhancing conflict management mechanisms to improve conservation and poverty reduction – 6 out of 38 organizations; and improving product distribution for better marketing and resource sharing – 10 out of 38 organizations, are given low priority. The direct consequence is that environmental conservation and poverty reduction efforts may not work well at grassroots and district levels, and eventually institutionalization of environmental conservation and poverty reduction at these levels will remain a pipe-dream in the foreseeable future in East Africa.

At the national level together with ensuring that issues related to linkage, collaboration and networking are addressed urgently at this level as discussed earlier, there is need to address improvement of product distribution for better marketing and resource sharing (4 out of 9 organizations) and focusing more on gender and equity considerations (4 out of 9 organizations). This is because for reasons already discussed it will be a tall order to expect to deal adequately with environmental conservation and poverty reduction while leaving the key actors – women who make up 52% of the population in East Africa, out of the key decision-making roles and responsibilities. And without proper product distribution and marketing, pricing will be adversely affected and thus returns to environmental conservation and poverty reduction endeavors.

When we look at the presence of an institutional arrangement to deal with environmental conservation and poverty reduction, we see that 95.3% of the organizations reported some form of institutional arrangement. However the type and reasons for institutional arrangement are very important in ensuring that there is effective institutionalization of environmental conservation and poverty reduction. Table 5.10 presents the results of type of institutional arrangement/mechanisms.

Table 5.10 Type of institutional arrangement/mechanisms

No.	Type of institutional arrangement/mechanism	Percentage
1	Joint consultative meetings/workshops/sessions	86.1%
2	Joint strategic and other planning sessions	41.4%
3	Joint appraisal and review sessions	23.1%
4	Joint fundraising and resource mobilization sessions	33.8%
5	Awareness raising, exchange of information and feedback sessions	81.6%

In table 5.10 above it can be seen that most institutional arrangements/mechanisms are about consultation – 86.1%; and awareness raising, exchange of information and feedback – 81.6%. Whereas this is very critical at the initial stages of environmental conservation and poverty reduction development dialogue, institutional relationships need to get deeper in order to address in a sustainable manner environmental conservation and poverty reduction. More attention is needed for joint institutional processes and actions, than just acknowledging that others are there and they may have useful information to assist, if we are to ensure institutionalization of environmental conservation and poverty reduction.

Looking at the types of institutional arrangements/mechanisms and the level of operation of the organization, we have the results presented in table 5.11.

Table 5.11 Type of institutional arrangement versus the level of operation of the organization

No.	Type of institutional arrangement	Grassroots	District/Regional	National
1	Joint consultative meetings/workshops/sessions	23	18	15
2	Joint strategic and other planning sessions	11	9	7
3	Joint appraisal and review sessions	4	4	6
4	Joint fundraising and resource mobilization sessions	8	9	5
5	Awareness raising, exchange of information and feedback sessions	21	17	15

The low priority given to joint appraisal and review sessions (grassroots 4 out of 26 organizations; district/regional 4 out of 22 organizations; and national 6 out of 17 organizations) and joint fundraising and resource mobilization (grassroots 8 out of 26 organizations; district/regional 9 out of 22 organizations; and national 5 out of 17 organizations), indicates that institutionalization of environmental conservation and poverty reduction may face serious challenges despite the fact that organizations are putting up institutions to work together.

This is because organizations that work together at resource mobilization, appraisal and review are more transparent and accountable to each other and their target beneficiaries in the way they do things. If organizations worked together very well in these aspects, institutionalization of environmental conservation and poverty reduction would be an easier task and more fulfilling at the three levels of decision-making: that is; national, district/regional and grassroots.

The aspect of reasons for institutional arrangements/mechanisms which is also related to the type of institutional arrangements/mechanisms in place is presented in table 5.12.

Table 5.12 Reasons for the start of the institutional arrangement

No.	Reasons for starting institutional arrangement/mechanism	Percentage
1	To promote knowledge and respect of values related to environmental conservation and poverty reduction	75.3%
2	To promote self-help and self-reliance (social security, social networks, accumulation of wealth, traditional kinship and organizational patterns)	41.5%
3	To address issues related to marketing of environmental conservation goods and services to improve returns to participating individuals, groups and organizations and reduce poverty	49.3%
4	To promote or develop local community leadership and decision-making in environmental conservation and poverty reduction	64.6%
5	Others	6.1%

The reasons for institutional arrangement/mechanisms seem to agree with the type of institutional arrangements/mechanisms in place. It can be seen that the key reasons for putting in place institutional arrangements/mechanisms are: To promote knowledge and respect of values related to environmental conservation and poverty reduction – 75.3%; and to promote or develop local community leadership and decision-making in environmental conservation and poverty reduction – 64.6%. However it is doubtful whether the necessary impact on institutionalization of environmental conservation and poverty reduction will be felt.

This is because the institutional focus on: promotion of self-help and self-reliance (social security, social networks, accumulation of wealth, traditional kinship and organizational patterns) – 41.5% and addressing issues related to marketing of environmental conservation goods and services to improve returns to participating individuals, groups and organizations and reduce poverty is low, and these things influence a lot of beliefs, norms, regulations, rules, standards and values in environmental conservation and poverty reduction, which are necessary for effective institutionalization of environmental conservation and poverty reduction.

Further look at the reasons for institutional arrangement/mechanisms against the level of operation for the organization gives the results presented in table 5.13.

Table 5.13 Reasons for institutional arrangements/mechanisms versus level of operation of the organization

No.	Reasons for institutional arrangements/mechanisms	National	District/Regional	Grassroots
1	To promote knowledge and respect of values related to environmental conservation and poverty reduction	13	14	20
2	To promote self-help and self-reliance (social security, social networks, accumulation of wealth, traditional kinship and organizational patterns)	6	11	10
3	To address issues related to marketing of environmental conservation goods and services to improve returns to participating individuals, groups and organizations and reduce poverty	11	9	13
4	To promote or develop local community leadership and decision-making in environmental conservation and poverty reduction	9	14	18
5	Others	0	2	2

The results in table 5.13 above illustrates the need for more focus on: promotion of self-help and self-reliance (social security, social networks, accumulation of wealth, traditional kinship and organizational patterns); and addressing of issues related to marketing of environmental conservation goods and services to improve returns to participating individuals, groups and organizations and reduce poverty at grassroots and district levels. This is important because of the need to promote self-reliance through effective marketing and distribution of benefits if institutionalization of environmental conservation and poverty reduction is to work well. Actors will be more supportive of beliefs, norms, regulations, rules, standards, and values if they feel more secure through self-reliance, and better marketing to continually guarantee better returns.

5.5 Results-based adaptive management for effective environmental conservation and poverty reduction

The variables considered here are: whether there is an institutional arrangement between the organization and other actors at its level of operation as in question 13a in the questionnaire; the practices the organization is working with as in question 15 in the questionnaire; organization's awareness of millennium development goals (MDGs) and how it uses them to inform its operations and those of partners and collaborators, as in question 16a and 16b in the questionnaire; and the type of advice and help the organization gives at its level of operation as in question 18 in the questionnaire.

The issue of institutional arrangement just as discussed under 5.4 above is a key aspect in measuring the organizations commitment to strategic interactive long term planning and engagement in environmental conservation and poverty reduction. It is also an indication of the desire to influence others and to seek real outcomes because effective working with others implies essentially the demonstration of results to convince others of the benefits of working together.

As already presented under 5.4 above, there are 61 organizations out of 64 organizations that answered the question on presence of institutional arrangement – that is 95.3% who said they were operating within some kind of institutional arrangement with other actors to address environmental conservation and poverty reduction. This in itself shows that majority of organizations are committed to achieve results in their processes and operations. In other words we can say they are results-oriented. Else Oyen 2002:22⁵² states, “no practice can be considered best unless it is accompanied by a trustworthy monitoring and evaluation system that gives reliable picture of how much poverty reduction has been obtained through certain interventions”.

When we look at the types of practices the organization is working with in environmental conservation and poverty reduction, the results are as presented in table 5.14.

Table 5.14 Types of practices the organization is working with at its level of operation

No.	Type of practices the organization is working with	Percentage
1	Using a learning process management approach (adaptive management) to adjust to issues based on current learning and prevailing conditions	78.5%
2	Using blueprint approach to environmental conservation and poverty reduction	16.9%
3	Entirely relying on economic incentives to participants to support environmental conservation and poverty reduction	17.3%
4	Using an open approach to environmental conservation and poverty reduction and being flexible	84.6%
5	Others	3%

From the table it can be seen that most organizations use an open approach to environmental conservation and poverty reduction plus being flexible – 84.6%. In addition 78.5% of the organizations use a learning process management approach (adaptive management) to adjust to issues based on current learning and prevailing conditions.

⁵²

Else Oyen et al (eds), 2002. Best Practices in Poverty Reduction. An analytical Framework. Comparative Research Program on Poverty (CROP). International Social Service Council. Zed Books. London – New York. Pp ix + 144.

This indicates that most organizations are leaning towards results-based adaptive management approach. However the 16.9% who seem to rely on blueprint, and the 17.3% who seem to rely on economic incentives, need to concern us because this is a limited way of dealing with environmental conservation and poverty reduction especially if we are interested in institutionalization. There is a danger when poverty is defined purely on economic terms, and/or when conservation is based on monetary gains. Unless we see poverty in its totality, that is: as inequality (differentiated distribution of economic, social, cultural, political resources - power to initiate change); as vulnerability (social disadvantages, insecurity and exposure to risk, lack of economic resources to protect people from sudden contingencies); as discrimination (several dimensions based on for example, sex, social norms, social structure, e.g gender roles); and as social exclusion (individual and collective, denied access to work and individual rights, and denied access to citizenship rights - goods, services, activities and resources); we will not be able to make a significant positive impact on environmental conservation and poverty reduction. It will therefore be an uphill task to effectively institutionalise them, without demonstrating what difference it makes. Anuradha Doshi and Mick More in Else Oyen, 2002: 30-35⁵³, state that, “we argue that anti-poverty programs may, and should, be designed and managed such that they either (i) positively stimulate among the intended recipients the collective action that is needed to make the program more effective or (ii) less ambitious, at least do not discourage and frustrate collective action.

⁵³ Else Oyen, et al (eds), 2002. Best practices in Poverty Reduction. An Analytical Framework. Chapter 2: Enabling Environments and Effective Anti-Poverty Programs – pp 30-35

Poverty reducing programmes (anti-poverty programmes) need to be predictable⁵⁴ (the relationship between the poor and public agencies that is implicit in the design and management of anti-poverty interventions. In what circumstances can that relationship encourage the mobilisation that will in turn enable the poor to obtain greater benefits from those interventions?).”

In analysing the relationship between the type of practices the organisation is working with in environmental conservation and poverty reduction and its level of operation we get results as presented in table 5.15.

Table 5.15 Type of practices the organisation is working with versus its level of operation

No.	Type of practice the organisation is working with	National	District/Regional	Grassroots
1	Using a learning process management approach (adaptive management) to adjust to issues based on current learning and prevailing conditions	15	16	20
2	Using blueprint approach to environmental conservation and poverty reduction	3	4	4
3	Entirely relying on economic incentives to participants to support environmental conservation and poverty reduction	6	2	3
4	Using an open approach to environmental conservation and poverty reduction and being flexible	14	19	22
5	Others	2	0	1

⁵⁴ Predictability in this sense has three dimensions: credibility, program stability, and formal entitlement:

Credibility: This refers to the behavior of public officials in relation to the poor: the extent to which officials implementing anti-poverty interventions can be relied on to behave like good partners in an enterprise, i.e. do their job correctly and to behave predictably;

Program stability: This refers to the extent to which anti-poverty programs are stable over time in content, form, procedural requirements and so on; and

Formal entitlement: This relates to the legal and normative status of benefits from anti-poverty programs: the extent to which intended beneficiaries are entitled to appeal to alternative, formal channels if anti-poverty programs fail to deliver appropriate services.

The analysis in table 5.15 above agrees favourably with the earlier analysis and confirms that majority of organisations at all levels use: an open approach to environmental conservation and poverty reduction and being flexible (national 14 out of 17 organisations; district/regional 19 out of 22 organisations; and grassroots 22 out of 25 organisations) and a learning process management approach (adaptive management) to adjust to issues based on current learning and prevailing conditions (national 15 out of 17 organisations; district/regional 16 out of 22 organisations; and grassroots 20 out of 22 organisations). However as earlier indicated the few number of organisations dealing with blueprint approach to environmental conservation and poverty reduction (national 3 out of 17 organisations; district/regional 4 out of 22 organisations; and grassroots 4 out of 25 organisations) and those entirely relying on economic incentives to participants to support environmental conservation and poverty reduction (national 6 out of 17 organisations; district/regional 2 out of 22 organisations; and grassroots 3 out of 25 organisations) should be our concern if we have to ensure institutionalisation of environmental conservation and poverty reduction at the three key decision-making levels in East Africa.

Looking at awareness of the millennium development goals (MDGs) as an indication of the organisations awareness of current development and its exposure to the collective world of environmental conservation and poverty reduction, we can see that 55 organisations out of the 64 organisations that answered the question – that is 86.0% of the organisations are aware of the millennium goals. This is a significant percentage of organisations given that 40.0% of the organisations operate at the community (grassroots) level. In addition table 5.16 presents the results of how the organisations use their understanding of millennium development goals.

Table 5.16 How the organisation uses the millennium development goals to inform its operations and those of partners

No.	How the organization uses millennium development goals (MDGs)	Percentage
1	Link environmental conservation and poverty reduction issues	56.9%
2	Separate environmental conservation and poverty reduction issues	12.3%
3	Link some aspects of environmental conservation and poverty reduction	32.3%
4	Others	1.5%

Table 5.16 above presents that 56.9% of the organizations link environmental conservation and poverty reduction, and 32.3% of the organizations at least link some aspects of environmental conservation and poverty reduction. If we pool them together we get 89.2% of the organizations are addressing at least some aspect of environmental conservation and poverty reduction using their exposure and awareness of current development issues like millennium development goals. This argument combined with the fact that organizations are willing to learn, they are open and more flexible as discussed above, implies that organizations are more apt to results-based adaptive management approach.

Another aspect we need to look at is the type of advice or capacity building responsibilities – help and assistance – the organization gives at its level of operation. Table 5.17 presents this aspect.

Table 5.17 Type of advice or capacity building responsibilities of the organization at its level of operation

No.	Type of advice or capacity building responsibilities of the organization at its level of operation	Percentage
1	To deal with environmental conservation and poverty reduction issues on behalf of other actors	53.9%
2	Set standards, regulation, rules of engagement in environmental conservation and poverty reduction on behalf of other actors	18.5%
3	Coordinate activities related to environmental conservation and poverty reduction	75.4%
4	Manage the institutional arrangements of working together in environmental conservation and poverty reduction	58.4%
5	Others	1.5%

Coordinating activities related to environmental conservation and poverty reduction is the main pre-occupation of organizations – 75.4%. Dealing with environmental conservation and poverty reduction issues on behalf of other – 53.9%, and managing the institutional arrangements of working together in environmental conservation and poverty reduction – 58.4% are also important issues to organizations. However the fact that very few of the organizations – 18.5% while dealing with institutional issues and aspects of helping others out, are involved in setting standards, regulation, rules of engagement in environmental conservation and poverty reduction on behalf of other actors; indicates a low priority in institutionalization of environmental conservation and poverty reduction. This is because without beliefs, norms, regulations, rules, standards, and values governing how organizations work together and aim to address environmental conservation and poverty reduction, institutionalization cannot and will not be effective.

If we analyze the type of advice or capacity building responsibilities of the organization at its level of operation and whether the organization is at grassroots, district/regional or national level, we get results as presented in table 5.18.

Table 5.18 Type of advice or capacity building versus the level of operation of the organization

No.	Type of advice or capacity building responsibilities	National	District/Regional	Grassroots
1	To deal with environmental conservation and poverty reduction issues on behalf of other actors	9	11	15
2	Set standards, regulation, rules of engagement in environmental conservation and poverty reduction on behalf of other actors	4	0	7
3	Coordinate activities related to environmental conservation and poverty reduction	12	18	18
4	Manage the institutional arrangements of working together in environmental conservation and poverty reduction	12	14	12

The results in table 5.18 show that there is a need to have strong focus on setting standards, regulation, rules of engagement in environmental conservation and poverty reduction on behalf of other actors at all levels of decision-making: that is; national, district/regional and grassroots. There also a very high probability that most beliefs, norms, regulations, rules, standards, and values are being transmitted from outside – that is – there is a very high degree of external influence in environmental conservation and poverty reduction in East Africa. This external influence is creating serious weaknesses at key decision-making levels in East Africa. This should be an area of concern if we have to ensure environmental conservation and poverty reduction within East Africa.

5.6 Conclusion

The analysis in this chapter has demonstrated that organizations within East Africa have gone a long way in ensuring that the three key pillars of the methodology of environmental conservation and poverty reduction institutionalisation have been adopted in the way they operate both as organizations and within institutions; that is;

- Strategic planning based on how environmental conservation and poverty reduction is affected by social, legal, ecological, economic, political, and technological underlying factors to inform short and long-term goals in environmental conservation and development;

- Well-structured, functionally relevant management system and style to guarantee continued focus on identified objectives, strategies and tactics in environmental conservation and poverty reduction; and
- Result based planning, monitoring, evaluation and information management system so that current and future needs, opportunities, problems and solutions in environmental conservation and poverty reduction are addressed proactively and shared at the three key decision-making levels: grassroots, district, and national.

However key deficits still do exist in some areas. Examples are:

- The low priority still afforded results-based planning, monitoring and evaluation aspects of the organization when doing organizational strategic planning;
- The poor involvement of organizations and the institutions they work-in in improvement of product distribution for better marketing and resource sharing plus weak focus on gender and other equity issues ;
- The poor involvement of organizations and the institutions they work-in in enhancing conflict management mechanisms to improve environmental conservation and poverty reduction, and weak focus on linkages and network development between various levels in environmental conservation and poverty reduction;
- The little organizational and institutional involvement in joint appraisal, fundraising, review and resource mobilization to ensure environmental conservation and poverty reduction;

- The weak focus of organizations and institutions on marketing of environmental conservation and poverty reduction goods and services, self-help, and self-reliance, and a high dependence on external influence as compared to thoroughly understanding the underlying social, legal, economic, ecological, political and technological factors that impede effective and efficient environmental conservation and poverty reduction at the three critical decision-making levels in East Africa;
- The significant reliance on economic incentives to participants to support environmental conservation and poverty reduction; and
- The weakness in developing and using the appropriate and relevant capacity to set norms, regulations, rules, standards and values of engagement in environmental conservation and poverty reduction.

In chapter 6, we will derive the key conclusions and recommendations from the whole study in relation to the basic hypothesis of the study.

CHAPTER 6: CONCLUSIONS AND RECOMMENDATIONS

6.1 Introduction

We have seen from the main arguments in this study that the current challenges of environmental conservation and poverty reduction are rooted in the past and the way we choose to respond to that past. We have also become aware of the possibility(ies) that the real opportunities for environmental conservation and poverty reduction are or will be found in the way we use the lessons of the past, how we take full responsibility of the present, and how brave we are in accepting and being pro-active in ensuring that our vision of the future is realizable and our dedication and commitment to it are total.

From the study we have been able to trace the failures of our efforts in environmental conservation and poverty reduction in East Africa to the forceful acquisition and alienation of natural resources and excommunication of the people from playing a pivotal role in deciding on how to address their own environmental conservation and poverty reduction issues by the colonialists. This total disregard of existing systems of environmental conservation and poverty reduction and the introduction of half-baked poorly-informed alien ways of doing things produced a situation where the peoples' belief systems, norms, regulations, rules, standards and values became subservient to foreign ideologies and eventually they started dying out. This adversely affected the subsequent development of institutions and the institutionalization of environmental conservation and poverty reduction.

We noted that the independence era did not help matters much, because the post-colonial administrations within East Africa faced with unpopular and unfriendly environmental conservation and poverty reduction regime and the daunting task of realizing post colonial dreams of a disgruntled citizenry, in a situation of inadequate human and other resources had to look for quick fixes in advancing environmental conservation and poverty reduction. They resulted to a populist approach to environmental conservation and poverty reduction. This was an approach to environmental conservation and poverty reduction guided by: politically motivated state sanctioned activism in social-economic development; use of poorly researched and inappropriate technologies, top-down victimizing decision-making processes, unsustainable exploitative environmental conservation methods, and the false believe in virtuous, rational and community-minded institutions and trickle-down poverty reduction economics of the early 1960s. It was done in total disregard or without prior analysis of the key underlying factors that affected the existing environmental conservation and poverty reduction situation. Inevitably this led to further marginalization and alienation of the people from their natural resources. This went on up to the late 1970s when the governments of East Africa were forced to admit that with dwindling external support and without the people environmental conservation and poverty reduction efforts were headed the wrong direction.

By the time poorly informed and essentially externally-driven neo-liberal approaches of the late 1980s and 1990s came to address environmental conservation and poverty reduction too many bridges had been crossed and broken, and a lot of mistrust and lack of faith between the key actors in environmental conservation and poverty reduction had taken place. Vested interests and influence stood on the way to effective and efficient environmental conservation and poverty reduction.

So much short-termism had entered into the environmental conservation and poverty reduction arena through donor-driven externally supported projects/programs without clear understanding and appreciation of the historical injustices and prejudices that constraint the way to genuine transformative change in environmental conservation and poverty reduction. But the faith has not been totally lost, the struggle to find people-centered, genuine ways of doing environmental conservation and poverty reduction is still on. The examples given in this study and the opportunities and challenges they offer give us that hope - that we shall overcome someday. Then what kind of conclusions and recommendations can we draw from this study, that could assist us to shape the future we so desire – what directions do emerge here.

The general conclusion from the study is that over time as organizations have internalized certain behavioral patterns, norms, regulations, rules, standards and values and institutionalized them in the ways they work with each other in environmental conservation and poverty reduction (systemic and systematic institutionalization): This has helped the organizations to improve their efficiency and effectiveness in environmental conservation and poverty reduction. This agrees with the hypothesis of this study that: Systemic and systematic institutionalization enhances the efficiency and effectiveness of organizations in addressing environmental conservation and poverty reduction.

It has been shown that systemic organizational changes are critically necessary in the way organizations be they CBOs, local NGOs and/or governmental agencies or even private sector operate in the institutionalization of environmental conservation and poverty reduction. They need to begin with participatory two-way engagement with target beneficiaries in the way institutions are created and institutionalization of certain beliefs, norms, regulations, rules, standards, values and practice in environmental conservation and poverty reduction.

This can only be possible if we have a methodology to ensure appropriate understanding of the situations we operate in, a strategic approach to current issues and the future, and a systematic and objective approach to information management that guides our present actions and moderates our future expectations in line with ground realities. This methodology is three-pronged and begins with a participatory orientation to actor and stakeholder involvement. The key conclusions and recommendations from the experience and observations of this study could be summarized under the three prongs as in 6.2 below.

6.2 Conclusions and Recommendations

6.2.1 Participatory actor-oriented situation analysis

With regard to participatory actor-oriented situational analysis before environmental conservation and poverty reduction interventions are put in place. The following conclusions and recommendations seem appropriate from the experiences and observations of this study:

6.2. 1.1 There is great need to understand the distinction between adding more and more institutions in environmental conservation and poverty reduction and ensuring that there is institutionalization of certain beliefs, norms, regulations, rules, standards and values

Institutionalization of environmental conservation and poverty reduction is more than building institutions for environmental conservation and poverty reduction. It means the actualization of the learning organization's culture and development of institutional behavioral patterns, norms, regulations, rules, standards and values that are consistent with a changing world view and an adaptive approach to conservation and socio-economic development that addresses poverty reduction or livelihood support to the people. This is an emerging challenge to organizations dealing with environmental conservation and poverty reduction in East Africa.

An institutional framework for environmental conservation and poverty reduction should be broad and strong in its adherence to set beliefs, norms, regulations, rules, standards, practices and values in order to support innovations in environmental conservation and poverty reduction at the three key decision-making levels. A consultative process and system of coordination in the form of a partnership between civil society organizations, government and private sector at each level should be established to:

- Provide a forum for the formulation of long term environmental conservation and poverty reduction strategy;
- Facilitate relevant institutional coordination, cooperation, development and institutionalization at each level; and
- Provide attitudinal, knowledge and skills support for development of innovative forms of environmental conservation and poverty reduction

Flexibility in the institutional arrangements and institutionalization process should be ensured because of the varying degree of involvement of civil society organizations, government, and private sector depending on local conditions.

6.2.1.2 With clear understanding of institutions and institutionalization then it is important to understand and manage environmental conservation and poverty reduction process dynamics

Even when we are clear about institutions and institutionalization, there are process challenges in institutionalization of environmental conservation and poverty reduction, because the beginning of the process is dominated by unequal relationships between actors and stakeholders. The first thing to understand in the process during the participatory actor-oriented situational analysis is who gives meaning to the process (meaning is essentially in social processes such as struggle for power, authority and legitimacy and it can not be fully understood and appreciated unless processes are made participatory, transparent, and accountable).

Second aspect of the process to be clear about is how knowledge about environmental conservation and poverty reduction is constructed (it is important to appreciate that knowledge is a mental and social construction that is influenced by the underlying social processes, actor strategies, and their logic). The construction of knowledge can not be well understood unless strategic analysis is done, which appreciates that the marginal position of the poor in turn marginalizes the value of the inquiries they make about themselves, their surroundings and how to intervene to improve their livelihoods. Third aspect to grasp is the exercise of power in environmental conservation and poverty reduction. Power needs to be seen as coming from and also as a result of the interplay between actor position in the institutional arrangement, the effect of actor networks, and the prevailing domination and liberation related to actor relationships. In this respect whoever has the capacity to validate knowledge applied and generated through the existing process of environmental conservation and poverty reduction, consequently has the power over other actors in the same process. Fourth aspect of the process to come to terms with during participatory situational analysis is how alliances, coalitions, and other social capital aspects operate in the process. This is especially important in ensuring that the appropriate behavioral patterns, norms, regulations, rules, standards and values related to environmental conservation and poverty reduction are institutionalized. The make-up, logic and dynamics of social alliances, coalitions and networks in environmental conservation and poverty reduction have to be understood clearly for institutionalization to work.

It is necessary that CBOs, local NGOs and other actors in institutionalization of environmental conservation and poverty reduction to understand and appreciate that for people to be effective and efficient in environmental conservation and poverty reduction, they need to see that their own meaning of things, the way they construct knowledge, the way they exercise power, and build alliances, coalitions and networks in environmental conservation and poverty reduction are appreciated and taken into consideration in the institutionalization process especially at the three critical levels in decision-making.

There is need to note that:

- (a) People are not blank pages of a book waiting to be filled with text. They are different and unique as individuals and groups of individuals. Thus there is need to disaggregate rural people and identify discrete socio-economic and ecological target categories as basic units of development in environmental conservation and poverty reduction work;
- (b) Most interventions do not find people at level zero (with nothing or doing nothing). Thus most successful ideas or innovations are additive. They add to what the people already know and practice in a challenging way. Requiring that people explore and take advantage of new ways of effectively and efficiently achieving results. There is need to reduce dependence based on dependence in environmental conservation and poverty reduction; and
- (c) People's quality involvement is critical for the initial as well as subsequent sustainability of benefits, goods and services from interventions in environmental conservation and poverty reduction. This involvement needs to see participation as a continuum in which different people or groups of people, even within the same community might be at different stages and moving towards different directions.

This implies that there is constant and continuous conflict between different elements of society in the way they define involvement and seek to achieve it. Conflict management and resolution is thus part of a successful environmental conservation and poverty reduction process and action.

In East Africa CBOs, local NGOs, and/or governmental agencies dealing with environmental conservation and poverty reduction are still poor at dealing with these things during participatory situational analysis. However as seen in this study, these issues need critical examination and inclusion during participatory actor-oriented situational analysis

6.2.1.3 When we are clear about process dynamics and we are ready for action, we need to start by identifying strategic and functional needs of organizations to enhance institutionalization of environmental conservation and poverty reduction

As part of the situational analysis and understanding of what is needed in institutionalization of environmental conservation and poverty reduction, we need to understand, appreciate and deal with what our organizations need to succeed in their operations. Organizations dealing with environmental conservation and poverty reduction just like any other CBOs or local NGOs have to be able to deal with their strategic and functional needs. Strategic organizational needs deal with being clear about the organizational identity in the form of organizational direction and values; addressing effective relationships with others to deal with environmental conservation and poverty reduction through appropriate structural changes, and redesigning institutional approaches to influence others if need be. Then being more coherent and strongly clear about issues related to environmental conservation and poverty reduction; developing wider relations at key decision-making levels to develop the necessary legal frameworks, community and national development policies and social positioning to influence policy and practice in environmental conservation and poverty reduction.

The functional needs of an organization deal with pressure to improve operations through participatory, results-oriented and strategic working style with others in the area of environmental conservation and poverty reduction, and to appreciate and put into consideration as the organization operates the fact that institutional development affects its organizational development and the improvement of people's material circumstances including dealing with environmental conservation and poverty reduction.

Given the above scenario it is recommended that for most CBOs, local NGOs and/or governmental agencies, the institutionalization of environmental conservation and poverty reduction be accompanied by building their capacities based on their functional and strategic needs in:

- a. Addressing their own identity: Vision, Mission, Values, Ownership, Leadership, legitimacy and accountability focusing on environmental conservation and poverty reduction
- b. Relationships in which they will participate: be they information networking, alliances, consortia, coalitions or coordinating bodies, especially with government, private sector and other civil society organizations
- c. Performance (effectiveness, impact and quality): need for strategic planning that influences own identity, and results-based management, monitoring, evaluation and information feedback for decision-making and further action in environmental conservation and poverty reduction.

6.2.1.4 When organizations are clear about themselves and the work they need to do then before any interventions in institutionalization of environmental conservation and poverty reduction they need to conduct actor-oriented situational analysis for vision-based planning as a pre-requisite to understanding the underlying factors

We noted that there is a past and reasons why, in the way actors and stakeholders behave in institutionalization of environmental conservation and poverty reduction. The understanding and addressing of the underlying circumstances in the form of social, legal, economic, ecological, political and technological (SLEEPT) factors is critical to the success of any environmental conservation and poverty reduction intervention. The levels and influence of these factors indicate to a greater degree how actor interests have been promoted or undermined in the past and the present, and how influence has been used or peddled in the past and the present.

It is the way the process of participatory actor-oriented situational analysis is done, and its focus and emphasis that make it stand out from other ways of doing participatory process and action.

Using ACOSA and VBA combines both reactive and proactive ways of addressing development linked environmental resource conservation. It aims to address multiple actors, at different resource endowment levels and capacities. It seeks to exploit, take advantage, and build on the existing levels of actor knowledge, skill and attitudes. It recognizes the multiplicity and sometimes-conflicting needs of actors in the field of environmental resource conservation and development. It aims to concretize a common vision for all stakeholders, jointly developed, jointly held, and embodied within the discernible actions that actualize common resolve to aspire, aim and move towards the joint vision.

Taking the joint desired vision as the ultimate target future of all stakeholders, it appreciates the fact that there are many paths to that future, which if properly and adequately synchronized and synergized can assure the achievement of that future in a faster, resource efficient and results-oriented participatory way. It appreciates that there is no static situation and thus the future is also not static. Therefore it promotes a planning-action-reflection-reaction participatory approach. It is a way of analysis and planning that can ensure proper institutionalization of environmental conservation and poverty reduction in East Africa.

As a matter of principle, policy and practice it is recommended that organizations and actors dealing with environmental conservation and poverty reduction make ACOSA a pre-requisite to the design and planning of any interventions or projects in environmental conservation and poverty reduction.

This is because environmental conservation and poverty reduction projects have often failed in achieving concrete results due to lack of focus and set priorities based on well-defined criteria and good insights of the past and the present in order to zero more clearly on the future. Actor Oriented Situational Analysis and Vision Based Action provides inputs to participatory strategic policy development and planning, where the impact of existing environmental conservation and poverty reduction negative situations have to simultaneously be ameliorated and at the same time strategies to remove underlying undesirable contributing social, legal, economic, ecological, political and technological factors to these situations put in place.

The outputs of Actor Oriented Situational Analysis are:

- Clear linkage between existing environmental conservation and poverty reduction negative situation, actor role and responsibilities and existing contributing social, economic, ecological, political and technological weaknesses or inadequacies;
- Inputs for integrated strategy development for actor collaboration and action;
- Initiating a learning process of increasing insights on the relations between socio-economic development and sustainable environmental conservation and poverty reduction for the participating actors;
- Increased possibilities of participants (actors) to implement the resulting strategic policy, plan, and to improve on follow-up action; and
- Providing inputs to the logical framework of strategic plans, which will form the basis to formulate concrete programs and/or projects in environmental conservation and poverty reduction.

Actor oriented situational analysis is at the forefront of a variety of integrated and participatory analyses to cover the sustainable development dimensions, to coordinate and intertwine actions into a set of integrated results.

They improve on the efficiency of the analyses by way of sharing expertise and focusing on key crosscutting issues in environmental conservation and poverty reduction.

A successful actor oriented situational analysis requires that strong integration between sectoral analyses are achieved from the start of the whole process of continuous inventory, data collection, analysis and synthesis. This ensures that there is attuning and priority setting towards areas of overlap in planning, implementation and follow-up of environmental conservation and poverty reduction and their institutionalization.

6.2.1.5 Two of the key underlying factors that affect institutionalization of environmental conservation and poverty reduction are policy and legislation. The analysis and consideration of these two related issues is a key element to the success of environmental conservation and poverty reduction efforts

The following principles need to guide policies for environmental conservation and poverty reduction:

- Policy initiatives should be home-grown out of broad-based consensus – strategies need to be designed to fit country or site-specific circumstances;
- Need to know more about environmental conservation and the poor – how different policies can affect different groups of the poor; to collect more and better data, and in the form that can be analyzed in relevant groupings, e.g., men and women during the participatory actor-oriented situational analysis;
- Need for a comprehensive approach, since undue focus on one element of an environmental conservation and poverty-reduction strategy will not work; and
- Need to work in partnership in institutionalization of environmental conservation and poverty reduction because government institutional capacity to design and implement programs is often too weak to seriously tackle the causes of environmental degradation and poverty. Thus the support of civil society and private sector in form of development partnerships in environmental conservation and poverty reduction is advantageous to all.

It is recommended that the CBOs, local NGOs and other actors in environmental conservation and poverty reduction should ensure that policy focus, analysis and formulation in institutionalization of environmental conservation and poverty reduction include three sets of actions:

- General measures to address environmental conservation and poverty reduction at all levels of society. Changes must happen at a number of levels:
 - The social, economic and political support systems for environmental conservation and poverty reduction;
 - The resource allocation for environmental conservation and poverty reduction;
 - The human and other support services available to and for environmental conservation and poverty reduction at grassroots, district and national levels; and
 - The returns to individuals, groups, organizations and institutions, not necessarily in monetary terms for and from environmental conservation and poverty reduction work at the three critical levels

- Measures to address relationships and relational imbalances as concerns environmental conservation and poverty reduction at grassroots, district and national levels. These concern:
 - Situation of institutionalization of environmental conservation and poverty reduction in environmental policies;
 - Poor and marginalized peoples engagement criteria in environmental conservation and poverty reduction endeavors at the three critical levels;
 - Poor and marginalized people's control over their own production and productivity in dealing with environmental conservation and poverty reduction;
 - The situation and position of environmental conservation and poverty reduction within the whole realm of development planning within the community, society and state; and

- Removal of inequitable access to, control and ownership of resources for the poor and marginalized, and also for environmental conservation and poverty reduction; and
- Specific measures for the poor and marginalized addressing their environmental conservation and poverty reduction needs and challenges.

This will include among others:

- Environmental education, awareness, and conscientization for the poor and marginalized;
- Productive and rewarding engagement in environmental conservation and poverty reduction;
- Environmental conservation and poverty reduction services;
- Environmental conservation and poverty reduction initiatives targeting the poor and marginalized; and
- Organizational and institutional support for environmental conservation and poverty reduction to avoid dependency and powerlessness, and to enhance institutionalization.

6.2.1.6 In ensuring that there is no disconnect between policy formulation and implementation the role of target beneficiaries in both policy formulation and implementation need to be made clear and not dichotomous

The key question is what extent are the interests of the poor better represented in the design and implementation of policies relevant to institutionalization of environmental conservation and poverty reduction. A major element in understanding this concerns the ways in which community participation in their own governance processes can occur and can thus serve the interests of poor people who themselves are usually far from being homogenous. Effective participation concerns policy design as well as implementation.

Both policy formulation and implementation need to be seen to go hand-in-hand, and not to be separated into decision-making about policy and its implementation, as in – we make decisions on the policy, they implement them dichotomy - (them versus us scenario). Institutionalization of environmental conservation and poverty reduction helps this because it in-builds the behavioral patterns, norms, regulations, rules, standards and values, and ensures accountability, ownership and security in a sustainable manner.

The process followed in policy formulation and implementation should depend on local circumstances especially the social, legal, economic, ecological and technological factors. Structures and structured approaches should be built to enable people especially the poor and marginalized to participate more actively in the policy process. Emerging lessons from projects and programs that are piloting policy in environmental conservation and poverty reduction should be used to guide policy and decision-making at the three key decision-making levels. Administrative, legislative and management space should be provided to enhance devolution and further enhance the administrative, legal and management foundation for environmental conservation and poverty reduction.

6.2.2 Strategic analysis and planning as basis for effective and efficient environmental conservation and poverty reduction

6.2.2.1 In order to be very clear about our strategic future in institutionalization of environmental conservation and poverty reduction we need to understand and take into consideration the transition between project/program and CBO, local NGO and/or governmental agencies

There is evident transition of projects or program into either CBO, local NGO and/or government agency when environmental conservation and poverty reduction projects or programs have to legitimize their work within their target beneficiaries in order to continue getting necessary support after external support has stopped or been withdrawn. This means that when projects or programs are finished or terminated their lessons should not remain in office shelves un-utilized and unavailable to others, they should be captured by these CBOs and local NGOs. The emerging CBOs and local NGOs are slowly and consistently putting in place systems to ensure that lessons captured lead to organizational and institutional learning.

In this regard the recommendation here will be among other things to consider the following before and during the transition from project or program into a CBO, local NGO and/or governmental agency. Projects and programs need to be people-centered and driven in order to ensure sustainable effects and impacts. There should be a criteria established at the inception of the project or program on how phasing out and phasing into a CBO, local NGO and/or governmental agency will be done. This is an exit strategy for the project or program. Some of the things that need sorting out are:

- Identification of relevant and willing target groups as either geographical areas and/or beneficiaries that will take over the responsibility of the project or program into a CBO, local NGO and/or governmental agency;

- Accurate assessment of the requirements and potentials of various target groups, and willingness to participate and learn in a participatory manner from each other and other actors in environmental conservation and poverty reduction;
- The importance of popular participation by local target groups within the project or program logic and management;
- The prior acceptance and planning to ensure that target groups develop into grassroots organizations to ascertain a fair chance degree of sustainability after the end of the project or program;
- The possibility of addressing all elements of the environmental conservation and poverty reduction knowledge utilization system without leaving major limiting factors un-catered for – the continued support and commitment of the governments at respective level of the CBO, local NGO and/or governmental agency operation to develop a partnership approach to environmental conservation and poverty reduction;
- The possibility of emerging environmental conservation and poverty reduction CBO, local NGO and/or governmental agency having access to an arsenal of appropriate solution-building capacities through collaboration and networking, so as to be able to cope with the great variety of problems which may be generated by expansion and the need to maintain effectiveness and efficiency; and
- The capacity to reach the poor, marginalized, and disadvantaged target groups especially women and youth if we are to tackle environmental conservation and poverty reduction more effectively.

6.2.2.2 *The use of the SWOT Matrix during strategic planning in institutionalization of environmental conservation and poverty reduction enhances and entrenches interactive analysis and planning*

From the SWOT matrix analysis it is possible to understand what values are critical in order to sustain our efforts, outcomes and impact in institutionalization of environmental conservation and poverty reduction. This is part of the internal cement or mortar that glues the three-pronged strands in environmental conservation and poverty reduction described in this study. The individual and collective behavioral patterns, norms, regulations, rules, standards and values of actors, stakeholders and organizations involved in environmental conservation and poverty reduction should align with the behavioral patterns, norms, regulations, rules, standards and values of institutions that actualize the processes of environmental conservation and poverty reduction within the larger society. There should be in place a process of ensuring stakeholder and actor commitment to certain moral and value standards that support sustainable environmental conservation and poverty reduction. Together with the SWOT analysis a value-gap analysis is necessary to compare behavioral patterns, norms, regulations, rules, standards and values that are being modeled, and those we need to personify and institutionalize. It is recommended that organizations and actors dealing with environmental conservation and poverty reduction make the SWOT analysis a standard way of doing business, because the SWOT analysis summarizes in short lists the important factors affecting an organization during planning and re-planning both from within and without.

In theory a SWOT analysis is quite simple:

- The top two boxes cover the key factors within the organization. On the strengths side one lists the areas of excellence which are known to be features of the environmental conservation and poverty reduction organization; on the weaknesses side, those areas which do not measure up to common standards in environmental conservation and poverty reduction;
- The bottom two boxes look outside of the environmental conservation and poverty reduction organization to determine over the medium and long-term which new opportunities and foreseeable challenges (threats) are likely to affect the way the environmental conservation and poverty reduction organization performs

One test of whether one's organizational SWOT is going to be helpful or not is whether the results of the process are well focused, clearly identified environmental conservation and poverty reduction vision and mission in the foreground with relatively clear valleys and mountains in the mid-distance. The use of interactive matrix during SWOT analysis is critical in identifying which strengths would influence the organization's opportunities and which weaknesses would make it most vulnerable to the future challenges (threats) in institutionalization of environmental conservation and poverty reduction.

6.2.2.3 Thorough strategic analysis before and during implementation of institutionalization of environmental conservation and poverty reduction will inevitably deal with some of the identified deficits in the surveyed CBOs and local NGOs

These deficits as enumerated in chapter 5 are:

- The low priority still afforded results-based planning, monitoring and evaluation aspects of the organization when doing organizational strategic planning – 30.5% of the organizations;

- The poor involvement of organizations and the institutions they work-in in improvement of product distribution for better marketing and resource sharing plus weak focus on gender and other equity issues – 27.6% of the organizations;
- The poor involvement of organizations and the institutions they work-in in enhancing conflict management mechanisms to improve environmental conservation and poverty reduction, and weak focus on linkages and network development between various levels in environmental conservation and poverty reduction – 24.3% of the organizations ;
- The little organizational and institutional involvement in joint appraisal, fundraising, review and resource mobilization to ensure environmental conservation and poverty reduction – 23.1% of the organizations;
- The weak focus of organizations and institutions on marketing of environmental conservation and poverty reduction goods and services, self-help, and self-reliance, and a high dependence on external influence as compared to thoroughly understanding the underlying social, legal, economic, ecological, political and technological factors that impede effective and efficient environmental conservation and poverty reduction at the three critical decision-making levels in East Africa – 41.5% of the organizations;
- The significant reliance on economic incentives to participants to support environmental conservation and poverty reduction – 17.3% of the organizations; and
- The weakness in developing and using the appropriate and relevant capacity to set norms, regulations, rules, standards and values of engagement in environmental conservation and poverty reduction – 18.5% of the organizations.

To effectively deal with the identified deficits within CBOs, local NGOs, and associations/networks dealing with environmental conservation and poverty reduction, it is recommended here to ensure that while developing or phasing projects or programs into CBOs, or local NGOs the following is well taken care of:

- Phase in activities (inter-face management activities) between projects or programs and CBOs or local NGOs in each situation are identified at least two years before the end of the project or program - the two years period is supposed to give collaborators and partners enough time to take up key responsibilities and establish links with new development partners and facilitators. That the various stakeholders and actors are brought together for discussion, dialogue and direction mapping in brainstorming workshops in each situation. Reflection workshops, transfer workshops and on-site activities are held with the various governmental, non-governmental and private sector platforms and groups concerned at the relevant levels. During these interactive and consultative encounters, memoranda of understanding (MOUs) are signed and follow up schedules developed with a phasing in plan of action and transfer process in each specific case.
- In the joint phasing in fora, the achievements of the projects or programs at each intervention site, level and its surroundings should be presented by the concerned project or program staff in the form of handouts, group discussion case studies, plenary presentations, and discussions.

These reports should formed the basis for the discussion of the joint future vision of the partners on the activities and benefits of the project, identifying partner strengths and weaknesses, reconsidering alignments and re-aligning partners and partnerships, and constructing strategies to achieve the joint vision through participatory action planning and decision-making, when project or program becomes CBO or local NGO or part of CBO or local NGO.

During the phase in process, decisions have to be made on:

- What is the joint overall vision of the future;
- What outcomes and benefits from the project and/or program need sustaining;
- What activities from project and/or program need to continue;
- Who is necessary in terms of personnel demand, alliances and partnerships;
- Which project or program sites need more attention and which ones need phasing out;
- Who has what mandate over what? and
- The plans of operation for the future.

In addition to the above questions, the following logistical and process issues may need discussion, and the way forward agreed upon:

- The use of the project or program monitoring and evaluation data and information in order to help the newly established partnerships to consolidate progress and appropriately re-direct services of delivery agencies;
- The need for areas of expansion of project or program activities by the partnerships – this will make clear – facilitation, cooperation, networking and collaboration requirements among the existing and potential project participants, service agencies, and trained community development promoters within the target beneficiaries. This would also accelerate training of new groups, formation of beneficiary associations, and effective spreading out and sharing of improved technology;

- The need to constantly and consistently establish fruitful linkages with existing public organizations, peoples' organizations, NGOs, Researchers, and other development agencies to continue collective learning, joint action and reflection to promote community development; and
- The need to use already available data and information, so that optimal effectiveness and efficiency is attained without unnecessary expenses in data collection. This will mitigate against the delaying effect, new data collection may have on the spreading out process.

6.2.2.4 *During strategic analysis in institutionalization of environmental conservation and poverty reduction it is important to give due attention to the duality of protected areas and surrounding areas*

The existence of protected areas alongside non-protected areas which are however inter-linked in relation to environmental conservation and poverty reduction is a big challenge to institutionalization of environmental conservation and poverty reduction. The two parallel systems that are currently in place: one dealing with protected areas and reserves; and the other dealing with resources outside protected areas and reserves creates sources of conflict in institutionalization of environmental conservation and poverty reduction. This duality creates a lot of problems, because both systems operate as if they are independent of each other, and thus lack common vision. Matters are made worse by the fact that subsistence use of protected areas is also controlled, in the form of licenses and permits which not only discriminate against but also marginalize the local communities living around the resources.

It is recommended that CBOs, local NGOs and other actors in environmental conservation and poverty reduction adopt a systems management approach to ensure balance, self-sustaining system, and effective institutionalization of environmental conservation and poverty reduction. The systems management approach should have the following roles⁵⁵

- Co-ordination of the timing and interaction of the mobilizing, training, organizing and resource-providing components between the protected areas and the surrounding areas;
- Mediating conflicting interests and aligning the routine procedures of departmental bureaucracies, NGOs, local organizations, and others responsible for the system components between the protected areas and the surrounding areas in environmental conservation and poverty reduction;
- Ensuring adequate supply capacity within the resource-providing approaches within the protected areas as well as the surrounding areas;
- Building consensus and commitment among system components and between the system and other political and powerful interests within the protected areas and surrounding areas;
- Providing an umbrella of protection for the goals of the system combining protected areas and surrounding areas as it develops and assumes institutional form;
- Developing linkages between local organizations and markets, higher level representative bodies, organizations operating on a wider geographical scale;
- Holding the ring between organizational ambitions of system components within the protected areas and surrounding areas; and
- Monitoring access procedures and reality in order to pick up blockages quickly and devise suitable accountability loops.

⁵⁵

See also: Jiggins, J.L.S. (1983). "Poverty-oriented rural development: participation and management." *Development Policy Review*, 1, 219-30.

6.2.3 Results-based adaptive management and information system, a key to learning from the past and informing current practice and the future

6.2.3.1 *It is going to be difficult to ensure that information is utilized adequately for learning and practice unless we promote the learning organization culture*

Entrenching organizational and institutional learning in environmental conservation and poverty reduction continues to be addressed ad hoc, and without the benefit of hindsight. This continues to reduce the capacity of the newly formed organizations and the institutional arrangements they get into, to take full advantage of improving local, national and international policy environment; especially the emergency of decentralization, increased democratic space, the formulation and application of Poverty Reduction Strategy Papers (PRSPs) and the focus on environment and poverty reduction in the Millennium Development Goals. It is clear from the study experience and observations that with more adaptive results-based management systems being adopted there is improvement in the effectiveness and efficiency of organizations in institutionalization of environmental conservation and poverty reduction.

It is recommended that organizations implementing environmental conservation and poverty reduction should ensure that lessons are captured, certain behavioral patterns, norms, regulations, rules, standards, and values are documented and fed into the communities and state social development mechanisms to ensure sustainable environmental conservation and subsequently poverty reduction at key decision-making levels in East Africa. These are grassroots, district, and national levels. It has been noted in the study that organizations accomplish tasks beyond the abilities of their members as individuals, or even as aggregates, because of their coordination, working in institutions and institutionalization.

It then can be argued that the challenges to any institutional dispensation is to know what is expected of the target situation and to work towards it while gathering, analyzing and documenting the key issues that need consideration and how the institutional arrangement plans to deal with them in a systematic and systemic way.

6.2.3.2 *To avoid a situation where information and results are manipulated to deliver certain pre-ordained expectations or explanations it is imperative in institutionalization of environmental conservation and poverty reduction to try and avoid social-cultural, political and technological manipulation*

Looking at the organizational structures, strategies, and capacity in environmental conservation and poverty reduction it is sometimes difficult to say: Who controls the institutional learning? Who controls screening and approval systems? And who controls monitoring and quality management. This is because, the organizational mechanics of development planning especially in areas as complex and diverse as environmental conservation and poverty reduction are vulnerable to socio-cultural and political pressure at various points during execution.

Although manipulation is a hard to eliminate vice, it is recommended that the CBOs and local NGOs dealing with environmental conservation and poverty reduction in-built the following into their own development:

- Choosing appropriate geographical or administrative areas and contact with target categories of stakeholders, actors and or participants at that level and ensure that they become part of the decision-making apparatus at that level;
- Organization and formation of target actors into services utilizer groups in environmental conservation and poverty reduction;
- Mobilization of actors and initialization of actions and activities with them through awareness, sensitization, and policy advocacy;

- Development of linking and collaborative mechanisms for the utilizer groups to current and future service providers and other development assistance in environmental conservation and poverty; and
- Phasing out (winding-down) and spreading or expanding to other areas in a systematic way so as to ensure that there is sustainable: planning and goal setting; conflict management or transformation; resource management; provision of services; integration of services; control over bureaucracy, and claim making in the old as well as the new areas/levels they will be working in or at.

6.2.3.3 It is common knowledge that convincing evidence is performing evidence. The supremacy of ensuring performance in institutionalization of environmental conservation and poverty reduction can not be over-emphasized

Controlling performance means the power, ability, or authority of an individual, group, organization or institution to direct, influence, regulate, streamline, and keep in check ensuring actions according to laid down criteria to achieve set targets and expectations in an efficient (resource use optimization) and effective (results-oriented) way. For this to happen in the appropriate manner, the individual, group, organization, and institution should have three key abilities: an ability to maintain actor/stakeholder/institution's specific identity, values and mission; an ability to achieve individual/stakeholder satisfaction; and an ability to manage external interactions while valuing own identity and mission. A results-based adaptive management and information system is necessary in order to improve management effectiveness and accountability, and continue the process of involving stakeholders in defining the process and progress in environmental conservation and poverty reduction, and in integrating lessons learned into management decisions and reporting on performance. This is a system of capturing, storing, and using information on the resources, reach and results of our environmental conservation and poverty reduction interventions.

A predominant theme in development is the importance of sound intervention design in establishing a solid foundation for its implementation, measuring success, and learning from the inevitable mistakes and surprises, and making the necessary adaptations.

There is need to replace anecdotal accounts of environmental conservation and poverty reduction initiatives results with hard data by establishing results-based management information systems. It is recommended that results-based monitoring, evaluation and management should be a top priority for environmental conservation and poverty reduction organizations. Environmental conservation and poverty reduction initiatives and interventions will be more likely to carry out more rigorous design, monitoring and adaptive management if the necessary resources are budgeted for and provided on time. The culture of evaluating initiatives and projects in terms of success and failure must be replaced by one of “learning from experience” in which environmental conservation and poverty reduction initiatives are implemented and assessed as pilot efforts to test policy and practice.

6.2.3.4 It is important that we continue to pilot policy to influence practice in the new millennium in institutionalization of environmental conservation and poverty reduction in order to enhance our capacity to learn from new directions

The Kajiado and Narok Districts - Kenya case studies illustrate attempts to address some of the challenges experienced during the independence era as discussed in the previous chapters. Some of these challenges are: establishing environmental conservation and poverty reduction goals and values; putting in place effective institutional arrangements to deal with environmental conservation and poverty reduction;

effective partnership for environmental conservation and poverty reduction; and effective and efficient monitoring and information management systems.

We need to focus on the new challenges that are up-coming. There is need for democratic decentralization to ensure accountability, ownership and security in environmental conservation and poverty reduction. We need to be keener on improving effectiveness and efficiency. Effectiveness refers to the ability to meet environmental conservation and poverty reduction goals, objectives or needs. Efficiency refers to the way in which goals are met – it implies that this is done at as low a cost as is possible without having negative impact or with as little negative impact as is possible. The diversity and complexity of people's livelihoods means that efforts to alleviate poverty and promote sustainable environmental conservation will have to be multi-faceted and holistic. The challenge is for organizations and institutions in institutionalization of environmental conservation and poverty reduction to adapt as fast as possible to the social, legal, economic, ecological, political and technological circumstances they are working in. There is need to seek more responsive institutional structures through democratic decentralization and de-concentration and to form partnerships with other actors who may have a better record of success and may offer key lessons on the way forward.

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APPENDIX: THE QUESTIONNAIRE

QUESTIONNAIRE FOR COMMUNITY-BASED ORGANISATION (CBOs) AND LOCAL NGO MANAGEMENT DEALING WITH ENVIRONMENTAL CONSERVATION AND POVERTY REDUCTION

(Either chairman/director, secretary, treasurer, co-ordinators, management committee member can fill this questionnaire)

*(Please note, you can tick - ✓, circle or make a line crossing ~~Local~~
NGO your chosen answer)*

Please note also that you are answering the questionnaire on-behalf of your organisation and as part and parcel of its management, not as yourself or the way you see things personally.

Background

1. Name of the respondent.....Date:.....
2. Sex of respondent (1) Female (2) Male
3. Title of the respondent (1) Chairman/director (2) Secretary
(3) Treasurer (4) Management Committee member
4. Type of organisation (1) CBO (2) Local NGO (3) Association or Network

5. What level is your organisation operating at (1) Local (Village, Location/Ward) (2) District or Regional (3) National
6. Country of operation within East Africa (1) Kenya (2) Tanzania (3) Uganda

Strategic thinking and planning on environmental conservation and poverty reduction

7. Does your organisation have any vision of environmental conservation and poverty reduction in your geographical area of focus? (1) Yes (2) No
8. Does your organisation have any values, behavioural norms to guide its environmental conservation and poverty reduction work and associates? (1) Yes (2) No
9. How long has your organisation been in active operation
 - Less than five years
 - 5 to 10 years
 - 10 to 15 years
 - 15 to 20 years
 - More than 20 years

10. How do you view the interest of your organisation in environmental conservation and poverty reduction:

- (1) Short-term (1-5 years) to address current burning issues in environmental conservation and poverty reduction, such as awareness raising and sensitisation, and then move on
- (2) Medium-term (5 to 10 years) to address some key underlying social, legal, economic, political and technological factors that are causing imbalance, tension and conflict in environmental conservation and poverty reduction
- (3) Long-term (beyond 10 years) to address the underlying factors as in 2 above and also be part and parcel of the long-term desires of the communities you are working with and society at large

11. Has your organisation had any strategic planning related to environment and poverty reduction (1) Yes (2) No

If yes, which areas did you consider during your last strategic planning session - (***you can pick one or more of the options given***)

- (1) The root-cause social, legal, economic, ecological, political and technological weaknesses related to environmental conservation and poverty reduction
- (2) The strengths, weaknesses, opportunities and threats of your organisation in environmental conservation and poverty reduction
- (3) The vision and mission of your organisation in relation to environmental conservation and poverty reduction
- (4) Results-based planning, monitoring and evaluation aspects of your organisation

- (5) Coordination, cooperation and networking aspects of your organisation in relation to other stakeholders in environmental conservation and poverty reduction at your level of operation
 - (6) Other, specify.....
12. Which of the following processes/actions is your organisation taking to improve its operations and impacts at grassroots level (grassroots is level at which ultimate beneficiaries are found). ***Please note that in this question you can have more than one option, so choose as many as are applicable to your organisation.***
- (1) Enhancement of resource users' organisation and cohesion
 - (2) Improving resource management
 - (3) Promoting shared responsibility, inclusive decision-making and implementation
 - (4) Creation of better communication and greater awareness on environmental conservation and poverty reduction
 - (5) Improving product distribution for better marketing and resource sharing
 - (6) Focusing more on gender and equity considerations
 - (7) Promoting economic development through conservation and poverty reduction
 - (8) Focusing on livelihood support and community development
 - (9) Enhancing conflict management mechanisms to improve conservation and poverty reduction
 - (10) Focusing on linkages and network development between various levels
 - (11) Other specify

Institutionalisation and a learning management approach to environmental conservation and poverty reduction

13. Is there any institutional arrangement between your organisation and other actors at your level of operation to address environmental conservation and poverty reduction? (1) Yes (2) No

If yes, why was the institutional arrangement started? – (***You can pick more than one option here***)

- (1) To promote knowledge and respect of values related to environmental conservation and poverty reduction
- (2) To promote self-help and self-reliance (social security, social networks, accumulation of wealth, traditional kinship and organisational patterns)
- (3) To address issues related to marketing of environmental conservation goods and services to improve returns to participating individuals, groups and organisations and reduce poverty
- (4) To promote or develop local community leadership and decision-making in environmental conservation and poverty reduction
- (5) Other, specify.....

- 14 What institutional mechanisms are in place for interaction between organisations at your level of operation (***You can pick more than one option here***)
- (1) Joint consultative meetings/workshops/sessions
 - (2) Joint strategic and other planning sessions
 - (3) Joint appraisal and review sessions
 - (4) Joint fundraising and resource mobilisation sessions
 - (5) Awareness raising, exchange of information and feedback sessions
 - (6) Other, specify.....
- 15 Which of the following practices is your organisation working with in environmental conservation and poverty reduction at your level of operation (***You can pick more than one option here***)
- (1) Using a learning process management approach (adaptive management) to adjust to issues based on current learning and prevailing circumstances
 - (2) Using blueprint approach to environmental conservation and poverty reduction
 - (3) Entirely relying on economic incentives to participants to support environmental conservation and poverty reduction
 - (4) Using an open approach to environmental conservation and poverty reduction and being flexible
 - (5) Other, specify.....

Environmental conservation and poverty reduction Information gathering, management and use system within your organisation

16. Is your organisation aware of the Millennium Development Goals (MDGs) and what they say about environmental conservation and poverty reduction
- (1) Yes (2) No
- If yes, how has it used the MDGs to inform its operations and those of partners and collaborators at your level of operation?
- (1) Link environmental conservation and poverty reduction issues
 (2) Separate environmental conservation and poverty reduction issues
 (3) Link some aspects of environmental conservation and poverty reduction
 (4) Other, specify.....
17. What level of decision making is your organisation represented in society
(You can pick more than one option here)
- (1) Village (2) District (3) National
18. What type of advice or capacity building responsibility(ies) -help and assistance does your organisation give at your level of operation **(you can pick more than one option here)**
- (1) To deal with environmental conservation and poverty reduction issues on behalf of other actors
 (2) Set standards, regulation, rules of engage in environmental conservation and poverty reduction on behalf of other actors
 (3) Coordinate activities related to environmental conservation and poverty reduction
 (4) Manage the institutional arrangements of working together in environmental conservation and poverty reduction.