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**APPENDIX 6**

**Building Partnerships: The Participatory Planning Process at the  
Golden Milestone Workshop**

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### **Building Partnerships: The Participatory Planning Process at the Golden Milestone Workshop**

#### **1. Context and Aims**

1.1 The project's mid-term review (Howe and Underwood, February 2003) highlighted a number of areas that required strengthening as a basis for improving the quality of the project's deliverables, and to enhance the likelihood of dissemination and uptake. The relationship between the project's primary stakeholders was found to be largely contractual in nature, and thus it was suggested that the project would benefit from defining and developing a more coherent approach to partnerships.

1.2 The *innovation systems* approach outlined by DFID CPHP (CPHP Starter Pack, 2002) recognises the complexity of the research and development (R&D) process, stressing that it is the way in which actors relate to one another in the wider environment that determines the direction, practice and outcomes of R&D systems. This reflects a shift from an insular and linear process of knowledge transfer passed down from R&D institutions to passive recipients, towards a recognition that all those involved or affected by the R&D process have roles to play, based on their interests and expectations that may change over time. This not only emphasises the needs for clear primary partnerships (i.e. those directly involved and affected by a particular initiative), but also for broader partnerships with those who may influence or be influenced by it. It is these broader partnerships that may represent the best opportunity to effectively disseminate and adapt the products and practices of the project, enabling change at a significant scale.

1.3 Recognising this need to strengthen both the 'internal' and 'external' partnerships of the project, half of the three day Golden Milestone Workshop (2-4<sup>th</sup> July, 2003) was dedicated to the following processes: clarifying the project's aims, identifying and classifying partners and stakeholders, considering their contributions, clarifying roles and responsibilities and defining their inter-relationships.

#### **2. Process and Immediate Results**

2.1 *Clarifying the project's aims.* Consequently, a brief time was spent at the beginning of the workshop clarifying the major aims of the project as a basis for identifying partners roles and responsibilities in contribution to these aims. The following two aims were agreed upon:

1. To select and validate appropriate choices of Intermediate Means of Transportation

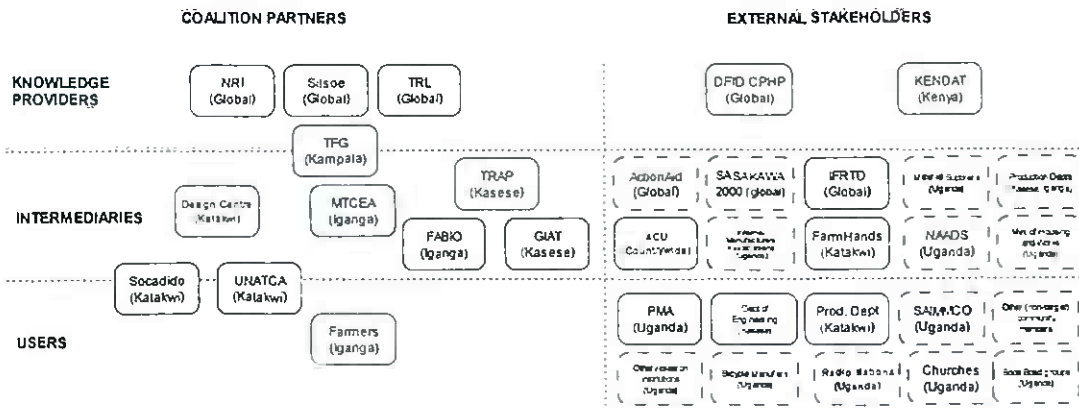
2. To plan and prepare for promotion and uptake through appropriate means

These two aims reflect what were felt to be realistic expectations in view of the changes proposed to the project's management and implementation structure, and the limited time left for project implementation (EOP late 2004/ early 2005). The first aim reflects the direct expected achievements of the 'bounded' project, the second refers to the need for a clear strategy to enable the results of the first to be effectively disseminated.

2.2 *Identifying and classifying partners and stakeholders.* The workshop was well attended, with virtually all those directly involved in the project represented, joined by a number of external, interested parties. An exercise was conducted in plenary through which a list of all engaged and interested parties, or stakeholders, was generated, including those not represented at the workshop. This list was then divided into two, separating those directly involved in the project's implementation, the project's *coalition of partners*, and those not directly involved, the *external stakeholders*. The external stakeholders were defined more closely as those interested in the project, who are likely to affect, or be affected by its process and/or results.

Having divided the stakeholders into two groups: coalition partners and external stakeholders, an attempt was made to define the primary function of each: knowledge providers (those responsible for gathering and sharing information of relevance to the project, and/ or generated by it); users (those who will ultimately apply the knowledge generated), and intermediaries (those who represent a link between the providers and users). Whilst it was recognised that these three categories are somewhat arbitrary, and that each stakeholder may have several functions, it was felt to be of use as a basis for primary categorisation. Consequently, all coalition members and external stakeholders were grouped.

CLASSIFICATION OF PROJECT PARTNERS AND STAKEHOLDERS



KEY: NRI - Natural Resources Institute; TRL - Transport Research Laboratory; TFG - Transport Forum Group; MTCEA - Multi-purpose Training and Community Employment Association; TRAP - Technology for Rural Animal Power; GIAT - Gender in Animal Tractor; SOCADIDO - Sacred Catholic Diocese Development Organisation; UNATCA - Uganda Network for Animal Tractor and Conservation Agriculture; DFD CPHP - UK Department for International Development Crop Post Harvest Programme; NAAADS - National Agricultural Advisory Service; KENDAT - Kenya Network for Draft Animal Technology; ACU - Agricultural Commercial Union; IFRTD - International Forum for Rural Transport and Development; PMA - Programme for the Modernisation of Agriculture



2.3 **Considering Partners and Stakeholders contributions.** Having defined the members of the coalition partnership responsible for the project’s implementation, and identified the range of stakeholders with whom the project partners may relate, an exercise was conducted to consider their contributions. Each of the partners and stakeholders present at the workshop were asked to note down what they felt they could contribute to the two project aims. The purpose of the exercise was to enable each partner/stakeholder to consider, on an individual basis, their role in both the project’s delivery (Aim 1) and the dissemination strategy (Aim 2). The results of this exercise were fed back in plenary to enable all participants to begin to get a sense of the project as a whole (see Annex 2. for details).

2.4 **Defining Roles and Responsibilities: Coalition Partners.** Based on the preliminary identification of potential contributions (section 2.3), each coalition partner was then asked to define more clearly their role in the project, in view of the project’s two aims. They were asked to define one or more clear role statements, describing what they aim to have *achieved* by the end of the project (i.e. defined as an outcome). Annex 3. outlines the process followed.

Whilst the emphasis was on defining roles, as the process began it was clear that a number of partners felt it easier to clarify their responsibilities, or activities, as a basis for determining their roles. Thus, in most cases, each partner also developed a list of activities based on their potential contributions previously determined.

A matrix was formed on the basis of this exercise, detailing each partner’s role statement(s) and the activities outlined to achieve this role. This matrix (Annex 4.) was then discussed in plenary, including the external stakeholders, to assess the likelihood of the project achieving its two aims on the basis of the

roles defined, and activities outlined. There was general agreement that all the core elements were there, but refinement of activities was required (action point).

- 2.5 *Considering partners and stakeholders inter-relationships.* Having identified the partners and stakeholders, defined roles and responsibilities, the final planning exercise aimed to look at the strength and nature of existing and potential relationships between the actors. To achieve this, the coalition partners and external stakeholders carried out separate exercises.

*The coalition partners* were asked two questions:

- (a) Within the context of your role within this project, how important is your direct relationship to this other stakeholder? 1= very important, 2= quite important, 3= reasonably important, 4= not important
- (b) If you consider your relationship to this stakeholder to be very or quite important, please describe the nature of this relationship.

Each partner filled in a table (Annex 5) with responses to the two questions in relation to each other partner and all of the external stakeholders identified in the first exercise (2.2).

*The external stakeholders* were asked two sets of questions, those relating specifically to the project, followed by the relationship to the coalition partners.

Regarding the project:

- (a) Consider what, if any, effect you (the group or organisation you represent) currently have on the project, in views of its two aims
- (b) Consider what, if any, ways you (the group or organisation you represent) may be able to utilise (or be affected by) findings from the project in view of its two aims

Regarding the coalition partners:

Having thought about (a) and (b), put this within the context of the individual coalition partners:

- (c) Consider what, if any, relationship you (the group or organisation you represent) currently have with any/ each of the coalition partners. What is the nature of this relationship?
- (d) Consider what, if any, relationship you (the group or organisation you represent) may have after the life of the project with any/ each of the coalition partners. What do you anticipate being the nature of this relationship?

Each external stakeholder filled in a table (Annex 6) with responses to these questions. The result of both the partners and the stakeholders exercises were a full set of tables presenting the perceptions of each group of actors (of those present at the workshop) about the strength and nature of their existing and potential future relationships with each other. A brief time was spent towards the end of the workshop discussing the results of these exercises in plenary. The example of MTCEA (a coalition partner, intermediary) was used, reviewing its perceptions of its linkages with other partners and external stakeholders, receiving the responding views of those present as a basis for negotiation.

A copy of all tables were circulated to each participant at the end of the workshop for consideration. No time was available to take this further during the workshop, but an action point was agreed upon to follow up and clarify these relationships between the end of workshop and the next coalition partnership meeting.

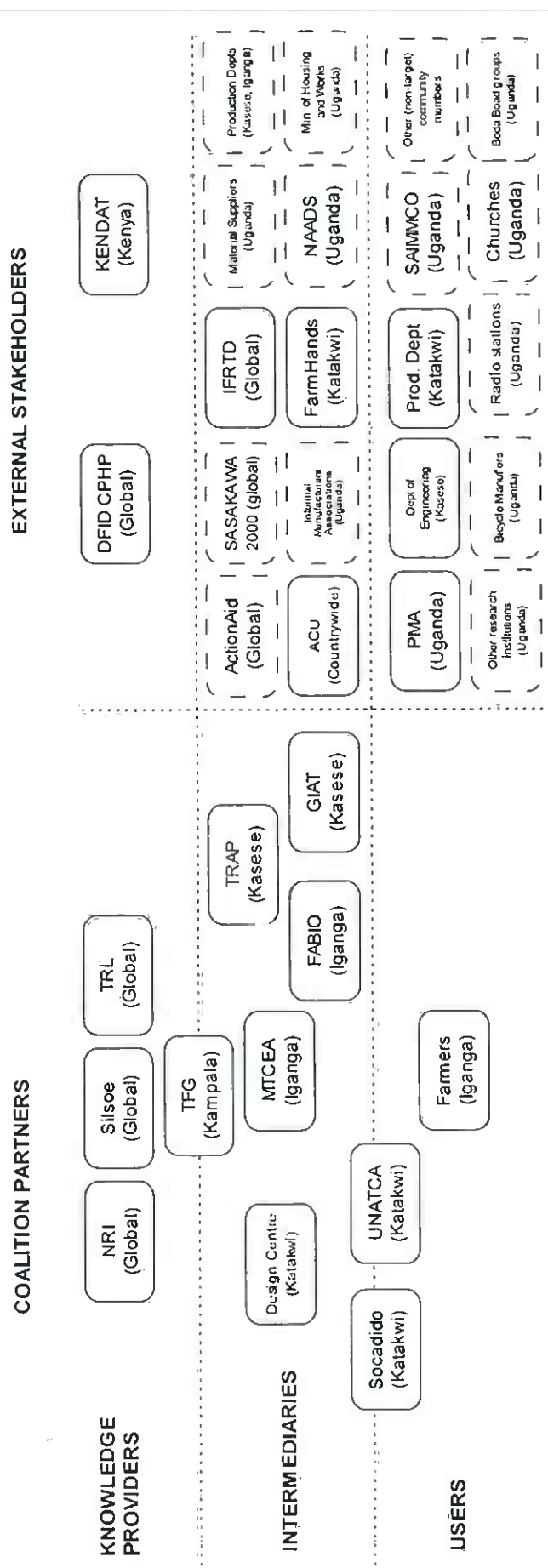
### **3. Conclusions and Proposed Actions**

- 3.1 The five exercises carried out during one-and-a-half days of the three day workshop represented the initiation of a participatory planning process. The process aimed to clarify the aims of the project amongst all key groups (to gain a sense of a shared vision), followed by the defining of clear roles and responsibilities of each and the mapping of internal and external relationships.
- 3.2 The group of principal stakeholders who have carried the project through its first year have been brought together as a coalition partnership, aware of their own and each others mandates, and with a clearer understanding of how they expect to relate to one another to achieve the project's aims.
- 3.3 The external stakeholders have been exposed to the project's aims and the partnership tasked to carry it out, identifying and clarifying possible entry points and effects as a basis for disseminating and uptaking the lessons and products that the project produces.
- 3.4 To build on the process followed in the workshop, the following action points were outlined to be achieved by the next meeting of coalition partners:
  - (a) Each partner's representative(s) at the workshop to return to their organisation or group to share and discuss the process and findings as a basis for negotiation and fine-tuning.
  - (b) Update of the project's logical framework to include the details of each partners roles and activities (who has taken responsibility for this action?)
  - (c) Establishment of the modalities for communication amongst the partners, and between the partners and external stakeholders

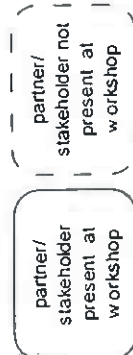
3.5 The Golden Milestone workshop was followed by a two-day coalition partnership workshop on participatory monitoring and evaluation. The details of the aims, process and results of this workshop are outlined in a further memo.

# Annex 1. Identification and Classification of Partners and Stakeholders

## CLASSIFICATION OF PROJECT PARTNERS AND STAKEHOLDERS



**KEY:** NRI- Natural Resources Institute; TRL - Transport Research Laboratory; TFG - Transport Forum Group; MTCEA - Multi-purpose Training and Community Empowerment Association; TRAP - Technology for Rural Animal Power; GIAT - Gender in Animal Traction; SOCADIDO - Soroti Catholic Diocese Development Organisation; UNATCA - Uganda Network for Animal Traction and Conservation Agriculture; DFID CPHP - UK Department for International Development Crop Post Harvest Programme; NAADS - National Agricultural Advisory Service; KENDAT - Kenya Network for Draft Animal Technology; ACU - Agricultural Commercial Union; IFRTD - International Forum for Rural Transport and Development; PMA - Programme for the Modernisation of Agriculture







## Annex 2. Considering Partners and Stakeholders Contributions

		What can you or your group/ organisation contribute to:	
<i>See Code List</i>	<b>GROUP/ ORGANISATION</b>	<b>Project Aim 1: To select and validate appropriate choices of IMTs</b>	<b>Project Aim 2: To plan and prepare for promotion and uptake through appropriate means</b>
<b>I-EN</b>	<b>FARMERS (Iganga)</b>	<ol style="list-style-type: none"> <li>1. We shall select and validate appropriate choices of IMT by sensitization and training through demo's, on-farm trainings, field visits and field days</li> </ol>	As per Aim 1.
<b>I-EN/ IM</b>	<b>SOCADIDO KATWAKI (NGO/ farmer representatives)</b>	<ol style="list-style-type: none"> <li>1. To sensitize the partners about the values of good transport network in the area</li> <li>2. They should be aware of distance from the main road to the farms</li> </ol>	<ol style="list-style-type: none"> <li>1. Educating partners on modern methods of farming e.g. use of good quality seeds, agro-forestry e.t.c.</li> <li>2. Elimination of illiteracy through adult education.</li> </ol>
<b>I-IM/ EN</b>	<b>UNATCA KATAKWI</b>	<ol style="list-style-type: none"> <li>1. UNATCA forms groups of different customers in the district for testing the equipment.</li> </ol>	<ol style="list-style-type: none"> <li>1. The field days exchange visits and forays that UNATCA is planning to run will serve to promote equipment.</li> <li>2. Devise radio programmes for promotion and invite local newspaper reporters to field days</li> </ol>
<b>I-IM</b>	<b>MTCEA IGANGA</b>	<ol style="list-style-type: none"> <li>1. Conduct sensitisation meetings</li> <li>2. Feasibility analysis</li> <li>3. Demonstration of the appropriate IMTs</li> <li>4. Conducting initial training on the use and practicality of IMTs</li> <li>5. Conduct performance monitoring and evaluation to access the impact</li> <li>6. Encourage the farmers to buy</li> </ol>	<ol style="list-style-type: none"> <li>1. Involve the Local leaders in planning and promotion</li> <li>2. Strengthening the publicity strategy through partnerships.</li> <li>3. Improve on networking and collaboration strategy to have long term credit schemes</li> </ol>

		<b>What can you or your group/ organisation contribute to:</b>	
<i>See Code List</i>	<b>GROUP/ ORGANISATION</b>	<b>Project Aim 1: To select and validate appropriate choices of IMTs</b>	<b>Project Aim 2: To plan and prepare for promotion and uptake through appropriate means</b>
<b>I-KP</b>	<b>NRI</b>	<ol style="list-style-type: none"> <li>1. Project management</li> <li>2. Coverage of agricultural marketing economics</li> <li>3. Assist in design of participatory monitoring and evaluation system</li> <li>4. Training of project partners in PM&amp;E</li> </ol>	<ol style="list-style-type: none"> <li>1. Analysis of results</li> <li>2. Preparation of outputs (papers and policy)</li> <li>3. Lobby with government and development partners</li> <li>4. Dissemination of outputs</li> </ol>
<b>E-User</b>	<b>PMA</b>	Steven's notes..	...
<b>E-EN</b>	<b>FARM HANDS A.T.E.M.A</b>	<ol style="list-style-type: none"> <li>1. To assist in engineering "do-ability"</li> <li>2. To assist in marketing "Update info"</li> <li>3. To assist with training of USE</li> <li>4. To assist market requirements</li> </ol>	As per Aim 1.
<b>E-User</b>	<b>ENGINEERING DEPARTMENT, DDA</b>	<ol style="list-style-type: none"> <li>1. To make a feasibility study for the infrastructure</li> <li>2. To have the technical staff in place</li> <li>3. To mobilize the community by using the local councils</li> <li>4. To make priority areas of the project</li> <li>5. To make the work plan of the project.</li> <li>6. To identify the funding agency</li> <li>7. To advertise the work to be done</li> </ol>	<ol style="list-style-type: none"> <li>1. Supervision and monitoring of the project</li> <li>2. Maintenance of access roads</li> <li>3. Sensitization of the communities on the importance of the project</li> <li>4. Mobilization of stakeholders on the project</li> <li>5. Structural flow of information and instruction</li> </ol>
<b>E-IM</b>	<b>ACU</b>	<ol style="list-style-type: none"> <li>1. ACU will get the target group to: <ol style="list-style-type: none"> <li>a) Form groups/ associations</li> <li>b) Sensitize them on a number of IMT's i.e. the pros and cons of each under the current status</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1. Get in touch with the producer/manufacturer of the selected IMT's to plan for demonstration and subsequent uptake if it met the expected target of the group</li> </ol>

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		What can you or your group/ organisation contribute to:	
<i>See Code List</i>	<b>GROUP/ ORGANISATION</b>	<b>Project Aim 1: To select and validate appropriate choices of IMTs</b>	<b>Project Aim 2: To plan and prepare for promotion and uptake through appropriate means</b>
<b>E-IM</b>	<b>IFRTD</b>	1. Provide a global perspective on use and performance of different IMT's	1. Use of project information to develop policy briefs for upstream dissemination
<b>E-KP</b>	<b>DFID CPHP</b>	1. Link project to other projects, organizations that can use project outputs	1. Assist in dissemination of project outputs
<b>E-KP</b>	<b>KENDAT</b>	1. Training of trainers on: General draft animal power utilization; harnessing/ cart-making	1. Facilitation of exchange visits between farmers and end users

I= Internal/ Coalition Partner E= External Stakeholder ACU= agricultural Commercial Unions KP= Knowledge Provider IM= Intermediary  
EU= End User

NB. A distinction was made between a user, someone who may use the information, adapt it and pass it on, and an end-user who is the final 'beneficiary' of the knowledge.

### Annex 3. Exercise - Defining your role within the project

#### A. What are the aims of the project?

1. To select and validate appropriate choices of Intermediate Means of Transportation
2. To plan and prepare for promotion and uptake through appropriate means

#### B. How do you define your role statement(s) in contributing to these aims?

To define your role or role statements in the project, ask yourself two questions:

1. What can we contribute towards the achievement of one or both aims?
2. How can we define this contribution in a way that is clear and concise?

Guidance material:

#### Defining your role statement(s)

- ❖ *Each role statement should be expressed as an outcome.* In other words, the result of the actions, not the actions or processes themselves.
- ❖ *Clear and measurable.* Each role statement should be stated clearly and precisely and in a way that can be objectively measured. For example, the statement "increased ability of farmers to respond to an improved technology environment" is both ambiguous and subjective. How one defines or measures "ability to respond" to a changing technology environment is unclear and open to different interpretations. A more precise and measurable role statement in this case is "increased level of utilisation of technologies"
- ❖ *Unidimensional.* A role statement ideally consists of only one outcome. Singular role statements help clarify management questions, improve the targeting of resources, and permit a more straightforward assessment of performance.
- ❖ *Timebound.* Role statements should be achievable within a clear time frame.

Note: it is common for people to consider activities as roles, they are not the same things. A role, or role statement, is an objective to which activities contribute.

For example:

Role statement of MTCEA: Targeted user (farmer) groups in Iganga District are utilising the IMTs that they have selected by March 2004.

Activity of MTCEA: Providing 10 training sessions to targeted user (farmer) groups in Iganga district on animal care.

#### C. Process

1. Gather together in your partner group. The group should have a copy of their earlier contribution to the stakeholder analysis, paper and a pen.
2. Consider the two project aims, and your contribution to the stakeholder analysis (answer to the question: what can you contribute to the project's

aims). Consider the two questions which help you clarify your role statement(s) in the project, and the guidance material above.

3. Generate role statements. Each member of the team should write down one or more sentences defining the role or roles they feel that their organisation/ group should play in the project (each role statement should be no longer than 15 words, outcome orientated, clear and timebound). Take 10 minutes to do this.
4. Accumulate thoughts. One member of the group should write a list of the role statements that each member has generated, grouping them into whether they refer to Aim 1. or Aim 2. Of the project.
5. Determine the best statements. Rank the statements in the group, and select the best one, two or three (depending on the number of project aims covered)
6. Test each of the role statements: Use the following three tests to consider the strength of each role statement. If it passes, it can be used. If not, consider how it might be changed to pass the test.

ROLE	DOES IT MEET THE TEST?					
	T1?		T2?		T3?	
	YES	NO	YES	NO	YES	NO
1.						
2.						
3. etc...						

Test 1 (T1): Is it reasonable to believe that the group/ organisation can influence the role in a meaningful way?

Test 2 (T2): Would measurement of the role help identify group/ organisation successes and help pinpoint and address problems or shortcomings?

Test 3 (T3): Will the group/ organisation's various stakeholders accept this as a valid objective?

**Annex 4. Coalition Partners Roles and Responsibilities**

COALITION STAKEHOLDER:	ROLE STATEMENT (S) – contribution to the aims: * To select and validate appropriate choices of Intermediate Means of Transportation * To plan and prepare for promotion and uptake through appropriate means	ACTIVITIES TO ACHIEVE THIS ROLE
<b>Coalition Knowledge Providers</b>		
NRI	<p>Management &amp; Facilitation</p> <p>To have successfully managed the project by 2005</p> <p>To have successfully designed and operationalised the PM&amp;E System by July 2003</p> <p>Knowledge Provision</p> <p>To have successfully generated knowledge on agricultural marketing and transport by December 2004</p> <p>To have successfully disseminated the research findings by mid-2005</p>	N/A
TRL & Silsoe	<p>Successfully provided advisory support to the project</p> <p>To have successfully disseminated the research findings by mid-2005</p>	N/A
<b>Coalition Intermediaries</b>		
Gender in Animal Traction	<p>User farmer groups in 5 sub-counties in Kasese District utilizing IMTs and planning together</p> <p>Farmer training successfully conducted to groups and individuals in two locations, central and western, on IMT use and management</p> <p>100 farmers/ groups in the 5 sub-counties, by the end of the project, will be in a position to train each other and pass on a donkey to the next group to ensure sustainability</p>	<p>Participate in the selection of donkeys/ purchase and supply to user farmers groups</p> <p>Acquire the IMTs on a risk-sharing basis and sensitize the farmers regarding adoption</p> <p>On-farm training and follow up on a monthly basis to farmers using the IMTs</p> <p>See the welfare of the animals and the management of the IMTs for sustainability and making reports</p> <p>Ensuring the security of the IMTs by involving government leaders by inviting them to training</p> <p>Select farmers for exchange visits to see appropriate IMTs used by other farmers/ first priority will be women</p> <p>Have of the above number will be women and have access and ownership of IMTs within 2 years of the project life</p>

COALITION STAKEHOLDER:	ROLE STATEMENT (S)	ACTIVITIES TO ACHIEVE THIS ROLE
MTCEA	By the end of the project, the prize award strategy shall have established to ensure competence and sustainability within the groups and individuals	<p>By the end of 2004, 43 farmer families from 20 groups in three sub-counties will acquire skills and use of IMTs</p> <p>By Nov 2003, we shall have conducted 20 sensitisation meetings to 20 groups in three sub-counties</p> <p>By Feb 2004, we shall have conducted 4 training and planning sessions in animal management in the three sub-counties</p> <p>By end 2004, all local leaders in the 3 sub-counties will be actively involved in the project promotion and dissemination</p> <p>Within one year of operation, we shall have established direct networking with local authorities, sister NGOs/CBOs, departments and partners in development in Iganga District</p> <p>By the end of the project, we will have expanded the work into 2 other sub-counties</p> <p>By the end of the project, 3 exchange visits will have been conducted</p>
Transport Forum Group	Selected IMTs successfully distributed to other intermediaries in the sub-counties by September 2003 Successful M&E of the project outputs by March 2004 Successful dissemination of the project's good practices by March 2004	<p>Determine the demand by Aug 2003</p> <p>Purchase and distribute by Aug 03</p> <p>Monitor the activity by Aug 03</p> <p>2.1 Training TTG and intermediaries in M&amp;E in July 2003</p> <p>2.2 Monitor and Evaluate Aug 03-Mar 04</p> <p>2.3 Report writing and dissemination</p> <p>2.4 Participate in the annual report preparation</p> <p>Collect data through M&amp;E</p> <p>Report preparation</p> <p>Publication</p>



COALITION STAKEHOLDER:	ROLE STATEMENT (S)	ACTIVITIES TO ACHIEVE THIS ROLE
Design Centre and UNATCA	<p>8 farmers groups and 8 individuals are encouraged to grow and bring more crops to market because of less transport constraints by July 2004</p> <p>10 Artisans in manufacturing businesses that are viable by July 2004</p> <p>6 km of community road made suitable for easy cart use by July 2004</p> <p>Public appreciation of DAP transport raised by 6 field days which are covered by public media</p>	N/A
TRAP	<p>Ensuring that workshops are facilitated by TFG to produce IMTs selected: 5 donkey carts and 5 ox-carts by the 4<sup>th</sup> quarter of 2004 installed in 10 farmers groups</p> <p>Ensure that farmers are trained in the technologies of IMT usage and tested by the 4<sup>th</sup> quarter of 2004 (10 farmers groups)</p> <p>Ensure that farmers acquire/ own IMTs and put to use by the end of 2004 (10 farmers groups)</p>	<p>Procure machinery to manufacture IMTs by end of Dec 03</p> <p>Start production of IMTs Feb-June 2004</p> <p>2.1 Training farmers groups June-Dec 2004</p> <p>3.1 Supply IMTs June-December 2004</p>
FABIO	<p>Targeted IMT users (men and women) are aware of the potential different usages of the bicycle technology as an IMT</p> <p>Targeted IMT users and implementers of the project are exposed to the different technologies that validate the bicycle</p> <p>Targeted farmers acquire bicycles under the FABIO facility integrated in the project area</p> <p>Effective monitoring and evaluation and follow-up systems established.</p>	<p>Sensitize the target IMT users through demonstrations in the different bicycle technologies under the different contexts between Nov 03 and August 04</p> <p>Provide information and knowledge in the effective utilisation of the bicycle technology during the life of the project</p> <p>2.1 Design and supply (at cost) bicycle related technologies to the target users (Jan 04-)</p> <p>2.2 Provide technical training in bicycle technology usage and maintenance (Jan 04-)</p> <p>Provide 100 bicycles to each in the target district under the FABIO bicycle cost-sharing and credit facilities for the project life (Dec 03-</p>

		) Help in the monitoring and follow-up of the different bicycle beneficiaries (Jan 04-)
COALITION STAKEHOLDER:	ROLE STATEMENT (S)	ACTIVITIES TO ACHIEVE THIS ROLE
Coalition Users FARMER'S GROUPS (Iganga)	Test and confirm the IMTs in our areas, use them and report back Increased food security, income and decrease heavy work load in the communities especially for women Adopt appropriate technology of the IMTs	Management Feeding animals Treatment of animals Maintenance and repair of the implements Use oxen in ploughing and transportation Be creative Have bylaws and use them M&E  Group formation and strengthening Meetings and sensitisation Membership Bylaws, aims and objectives Implementation
SOCADIDO (Katakwi)	The women's groups in the targeted area should be able to utilize IMTs such as ox-carts, donkeys etc for transportation of their produce	The women's groups are given one week's training on how to use and manage IMTs Women's groups are encouraged to clean the local paths within their localities for easy use of IMTs M&E

**Annex 5. Exercise**

**Coalition Partners – Strength and Nature of Relationships.**

(NB. Details of each partner’s responses can be found in Appendix 1.)

STAKEHOLDER:  E.G. UNATCA  <i>(Users)</i>	Within the context of <u>your</u> <u>role</u> within this project, how important is your <u>direct</u> relationship to this other stakeholder? 1= very important 2= quite important 3= reasonably important 4= not important	If you consider your relationship to this stakeholder to be <u>very</u> or <u>quite</u> important, please describe the nature of this relationship.
<b>Coalition Knowledge Providers</b>		
NRI		
TRL		
Silsoe		
<b>Coalition Intermediaries</b>		
Gender in Animal Traction (GIAT)		
MTCEA		
Transport Forum Group		
FABIO		
TRAP		
Design Centre		

STAKEHOLDER:  UNATCA  (Users)	Within the context of <u>your</u> <u>role</u> within this project, how important is your <u>direct</u> relationship to this other stakeholder? 1= very important 2= quite important 3= reasonably important 4= not important	If you consider your relationship to this stakeholder to be <u>very</u> or <u>quite</u> important, please describe the nature of this relationship.
Coalition Users		
SOCADIDO- Katakwi		
Farmers – Iganga		
External Knowledge Providers		
DFID CPHP		
KENDAT		
External intermediaries		
SASAKAWA 2000		
Action Aid		
Informal Manufacturers Associations		
Material Suppliers		
NAADS		
Production Department		

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STAKEHOLDER:  UNATCA  (Users)	Within the context of <u>your role</u> within this project, how important is your <u>direct</u> relationship to this other stakeholder? 1= very important 2= quite important 3= reasonably important 4= not important	If you consider your relationship to this stakeholder to be <u>very</u> or <u>quite</u> important, please describe the nature of this relationship.
Ministry of Housing and Works		
ACU		
International Forum for Rural Transport and Development (IFRTD)		
Farmhands		
External Users		
Saimmco		
Other (non-target) community members/ communities		
Other research institutions under NARO		
Bicycle Manufacturers		

Radio Stations		
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STAKEHOLDER:  UNATCA  <i>(Users)</i>	Within the context of <u>your role</u> within this project, how important is your <u>direct</u> relationship to this other stakeholder? 1= very important 2= quite important 3= reasonably important 4= not important	If you consider your relationship to this stakeholder to be <u>very</u> or <u>quite</u> important, please describe the nature of this relationship.
Churches		
Boda-Boda Groups		
PMA		

## **Annex 6. External Stakeholders Exercise**

### **Defining your Relationship to the Project and the Coalition Partners (NB. Details of each stakeholder's responses can be found in Appendix 2.)**

What are the aims of the project?

To select and validate appropriate choices of Intermediate Means of Transportation

To plan and prepare for promotion and uptake through appropriate means

Who are the Project's Coalition Partners?

#### **Coalition Knowledge Providers**

NRI

TRL

Silsoe

#### **Coalition Intermediaries**

Gender in Animal Traction (GIAT)

MTCEA

Transport Forum Group

TRAP

Design Centre

FABIO

#### **Coalition Users**

UNATCA

SOCADIDO- Katakwi

Farmers – Iganga

How can you define your relationships with....?

The Project:

Consider what, if any, effect you (the group or organisation you represent) currently have on the project, in views of its two aims

Consider what, if any, ways you (the group or organisation you represent) may be able to utilise (or be affected by) findings from the project in view of its two aims

The Coalition Partners:

Having thought about (a) and (b), put this within the context of the individual coalition partners:

Consider what, if any, relationship you (the group or organisation you represent) currently have with any/ each of the coalition partners. What is the nature of this relationship?

Consider what, if any, relationship you (the group or organisation you represent) may have after the life of the project with any/ each of the coalition partners. What do you anticipate being the nature of this relationship?

4. TABLE TO FILL IN:

<b>EXTERNAL STAKEHOLDER:</b>	<b>E.G. Production Department, Katakwi</b>	
Current effect you have on the project		
Ways in which you may be able to utilise (or be affected by) findings from the project in the future		
	<b>CURRENT NATURE OF RELATIONSHIP</b>	<b>ANTICIPATED POST-PROJECT RELATIONSHIP</b>
<b>Coalition Knowledge Providers</b>		
NRI		
TRL		
Silsoe		
<b>Coalition Intermediaries</b>		
Gender in Animal Traction (GIAT)		
MTCEA		
Transport Forum Group		
TRAP		
Design Centre		
<b>Coalition Users</b>		
UNATCA		
SOCADIDO- Katakwi		
Farmers – Iganga		





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**APPENDIX 7**

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**Improved Agricultural Transport for Kenya: Results from Baseline  
study, Presentation by Dr J. Mutua, KENDAT**

## **Improved Agricultural Transport for Kenya: Results from Baseline study**

Prepared for presentation at "The Golden Workshop On  
Improved Food Marketing Through Appropriate Transport  
for Poor Farmers in Uganda"

*By Joseph Mutua*  
KENDAT

### **Project components**

- Comprised of three components referred to after supporting donors:
  - Sida component (Emphasis on logistics, gender and environmental interface in RTS Research & Development)
  - IUDD component (Emphasis on livelihoods scoping studies especially in relation to IMT mainstreaming and policy implications)
  - NRIL component (Strong focus on identifying the role played by RTS interventions in Enhancement of Smallholder Agricultural Sector (SAS) production through smoother, easier transport in post harvest operations)

## Outputs for the NRIL component

- Socio-economic aspects of transport services for smallholder agricultural sector (SAS) assessed
- Options for provision and utilization of appropriate motorized and non-motorized transport services for improved SAS performance investigated
- Factors that determine successful partnerships in delivery of intermediate RTS identified

## Major activities under NRIL component

- **To assess density of demand for rural transport services, life cycle costs and capacity to satisfy needs of SAS**
- **To quantify role and potential of various intermediate RTS and importance of infrastructure (foot-bridges, footpaths, etc) including transport avoidance measures,**
- **To conduct report on dissemination of RTS (user/supplier gaps/links) and ways of promoting appropriate transport means in private sector driven SAS,**
- **To conduct a survey of existing intermediate RTS and means and report on technological and infrastructural qualities for utilization by SAS,**

## Major activities continued...

- To user-test appropriate exotic intermediate RTS and means and assess local industry capacity and user environment to sustain them,
- To evaluate socio-economic impact of intermediate RTS and means on the performance of SAS with special regard for agricultural production and marketing
- To conduct a comprehensive who is who in rural transport development and a stakeholders purpose, work outputs and activities survey for Kenya and beyond
- To receive recommendations on participatory involvement of parties in voicing and sharing fir RTS advancement,
- To report on best practice of building individual and institutional partnerships (roles of planners, implementers, service providers and users in intermediate RTS)

## Activities in first year

- Building the research teams
- Kick-off workshop (Oct. 2001)
- Preliminary field data collection and definition of boundaries
- Merger workshop (May 2002)
- Development of guidelines and research tools
- Testing of research guidelines and questionnaires
- Data collection, analysis, reporting & identification of gaps
- Additional data collection and reporting
- Golden Milestone Workshop (Oct.2002)
- Evaluation
- Preparation for year 2

## Study areas

- Five study areas selected to provide widely varying situations in regard to
    - Population densities
    - Economic activities
    - Household transport patterns
    - Access to means of transport
    - Proximity to different economic and social services
1. Lari division – Lumuru
  2. Mwea division – Kirinyaga
  3. Kalania division – Machakos
  4. Ngoromani – Magadi
  5. Busia – Matayos and township divisions

## Data collection

Literature, PRA, Key Informant interviews  
**Household surveys, Case studies,**  
**Focus Group Discussions**

## Household survey

- Establish household transport patterns in study areas
- Implications on gender, livelihoods and socio-economics

## Case studies

- **Engineering case study focusing on engineering issues of IMT adoption, use and servicing,**
- **Bodaboda case study focusing on modal composition of local traffic flow, distances and payloads capacities of different types of IMTs and other modes of transport, and a critical examination of bodaboda as an option for rural transport services provision**
- **Agricultural Transport economics aimed at establishing comparative advantages (cost benefits analysis) of various modes of transport**
- **Rice and horticulture case study based on Mwea irrigation scheme**
- **Logistics of rice and horticultural crop production in Limuru and Mwea areas**

## Selected findings of the study

## Typical Gender Roles in Study areas



**Use of Household means of Transport by Gender in all study zones**

**Gender Access and control over Household Resources and Assets**

## **Comparison of Income Sources**

## **Common Types of IMTs and percentage ownership**

### Bodaboda ownership in Busia and Mwea

	Busia (%)	Mwea (%)
Personal bicycles	68.0	77.2
Hired out from other people	30.0	17.6
Father giving out to his child	1.0	3.5
Mother giving out to her child	1.0	1.7

### Proportion of different uses of bicycles in Busia and Mwea

Use	Busia (%)	Mwea (%)
Personal transport	32	38
Transport of crops and farm produce	24	19
<i>Boda boda</i>	8	14
Water collection	21	18
Getting children to school	12	4
Other	3	7

## **Production and service capacity**

- **Varied from area to area depending on IMTs density**
- **Only 25% of total business turnover was from manufacture and maintenance of IMTs**
- **Most artisans lacked adequate technical skills and tool base required for production of quality IMTs**
- **This was in spite of 75% and 37% of the artisans having attained secondary and college education**
- **Only 12.5% had attended low level village polytechnic**

## **Quality, cost and availability of raw materials used in fabrication of IMTs**

- **Most materials available locally or within easy reach except in Kalama and Magadi**
- **Variations in quality and prices materials and spare parts**
- **Hence quality and cost of repairs and finished product differed**

### Profitability of IMTs

- Kshs 10,00 Average monthly net income from artisans
- Kshs 7,500 average monthly net income from transporters
- Kshs 2,500 net from making one carts

#### Annual demand for carts

Area	Annual demand for carts
Machakos	<10
Mwea	25
Magadi	<10
Busia	15
Lari	30

### IMTs contribution to local economy

- IMTs are an important source of livelihoods for thousands of people
- The typical Jua Kali employs 2-4 persons on full time basis
- The *bodaboda* industry in both Mwea and Busia has created jobs for thousands of people
- IMTs form a very important link between walking and motor vehicle
  - 31% of men/women access markets and their work places using IMTs
  - 50% of farm produce is transported to the homestead and nearby markets using IMTs
  - 47% of Building materials are transported with IMTs
  - 38% of water is transported to homesteads & commercial centres using IMTs

### **Appropriateness of IMTs**

*(on basis of availability, cost(affordability), versatility and dependability)*

- In Machakos, IMTs were less suited to the rough and hilly terrain, and further inhibited by low levels of agricultural productivity and high levels of poverty
- In Mwea, Lari and Busia, the relatively flat terrain rendered itself suitable to IMTs.
  - The vibrant cash based economy in these areas based on rice and horticultural crops & high profile markets centres point to great potential of IMTs

### **Roads infrastructure**

- In all study areas, interior road network was in poor state and usually impassable in rainy weather
- Lack of bridges in most parts of Magadi and Kalama
- Paths and tracks too narrow in most cases limiting the use of IMTs and making walking difficult in wet conditions
- Repairs were irregular and far between, often carried shoddily and hurriedly
- Community and local institutions involvement in repair of murrum and earth roads

## Way forward for year 2 and beyond

- Advance case studies and PRAs to generate more solid cost-benefit, factual and key information data – eg socio-economics and business operational aspects
- Dialogue with stakeholders in agricultural rural transport services to define actions and roles of the various partners (workshop planned for 28-29 July 03)
- Action research based on defined interventions as identified by baseline study
  - e.g 2<sup>nd</sup> hand motorcycles, the moped motorcycle for Mwea and Busia
  - Revolving fund for IMTs purchase
  - Training local artisans
- Lobbying for rural transport and related policy issues
- Pilot work involving communities participation in identifying bottlenecks and participation in spot improvements using labour based methods
- Partnership workshop and plans for 3<sup>rd</sup> year





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**APPENDIX 7**

**Improved Agricultural Transport for Kenya: Results from Baseline  
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## APPENDIX 8

### **Participants' Expectations of the Workshop (Summary of brainstorming exercise)**

- To get knowledge from the workshop to improve and modernise the agriculture.
- Defining the role of the farmer.
- Sharing of ideas.
- To get certificates.
- To come up with improved rural transport system for farmers to enhance productivity thus eradicating poverty.
- To add on the knowledge farmers have already acquired elsewhere.
- Sharing experiences for mutual benefit of the stakeholders.
- Get new friends.
- Certificate of attendance.
- To share technology experiences with various experts on appropriate designs and seek for credit facility to demonstrate the same.
- To discuss ways on improving easy means of rural transport for farmers.
- Sharing of experiences in animal traction in the districts.
- Planning the way forward for the project.
- How we can expand the project to the rest of the areas.
- Support for more donkeys in the mountains.
- Contract renewal.
- The training of more farmers and them sharing together what they need to help them.
- Development and uplifting the standards of women and also the youth after school.
- To improve the available means of transportation and their facilities.
- To discuss the findings of the survey and develop workable ways forward.

- To arrive at workable and the most appropriate means of developing the cheapest/locally available means of designing the cheapest means of transportation.
- To learn and identify the appropriate mode of transport.
- To come up with sustainable system of transporting farmers produce from the field to the store/market.
- A review of objectives and achievements of the project.
- Feedback on financiers.
- Feedback on the baseline survey year 1 activities.
- How these findings will be built upon.
- To take forward partnerships developed by the project.
- At least every participant will acquire new knowledge from this workshop.
- More farmers will come out in hope of being assisted in their farms.
- Knowledge and practical skills acquisition.
- The acquisition of financial support for the above mentioned issues.
- Distribution of donkeys in adequate numbers.
- To spread more knowledge about farming.
- To gain friends from other districts.
- To have good feeding.
- To review the achievements of phase 1 and consolidating gains into the plans for phase 2.

