THE ROLE OF COMMUNITY PARTICIPATION IN THE DISTRICT FOCUS FOR RURAL DEVELOPMENT PLANNING STRATEGY: A CASE STUDY OF BUSIA DISTRICT, KENYA

By

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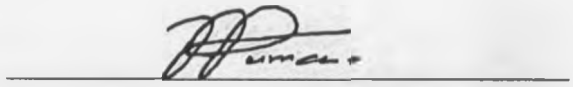
DECLARATION

I DECLARE THAT THIS THESIS IS MY ORIGINAL WORK, AND HAS NOT BEEN PRESENTED FOR A DEGREE IN ANY OTHER UNIVERSITY.



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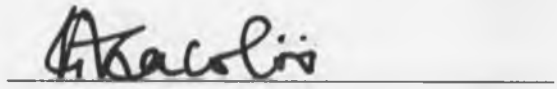

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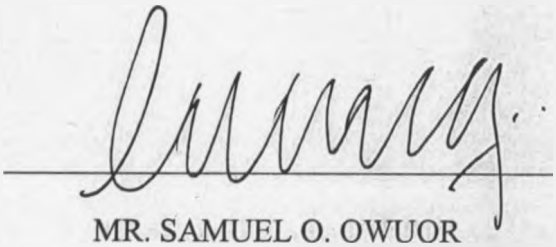

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DEDICATION

This study is dedicated to my parents, Jacob Odunga KANISIO and Tiedora Akotsi MUSUNGU, for the exceptional sacrifice they made towards my education.

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ABSTRACT

This study is on the role of community participation in the District Focus for Rural Development (DFRD) planning strategy in Kenya, using Busia district as a case study. For many years in Kenya, the planning and implementation of rural development programs has basically been the responsibility of the Central Government. This top (center) down approach to planning was carried out from the Central Government's headquarters in Nairobi. This approach to planning continued until 1983 when the DFRD strategy was introduced. It was realized that the spread and trickle down effects of the center-down approach had proven over the years to be far less potent than was originally anticipated. The DFRD strategy was, therefore, to encourage grassroot (community) participation, in the identification, planning and implementation of development projects at the district level.

Throughout this study it was conceived that one of the problems Kenya faces in the efficient implementation of the DFRD is the role of community participation. DFRD is still centrist and elitist in its orientation with little or no actual community participation. Both primary and secondary sources of data were used in this study. In the collection of primary data, purposive sampling procedure was used with administration of one set of questionnaire. The techniques of data analysis adopted in this study were both descriptive and analytical in nature. The Factor Analysis (FA) statistical test was applied by deriving cross-sectoral indicators of development in Busia district between 1983 to 2002. Thirty-four variables were selected based on a wide range of areas of regional planning including social, economic, service structures and physical development patterns. From the analysis, it was found that community participation in the DFRD planning policy implementation is an evolving system of factors that influence and is

influenced by each other, directly or indirectly within Busia district There is no single causative factor The *academic significance* of this research is that it provides a working framework on participatory planning in policy implementation and the empowerment of the local communities in the development process

From the study's findings and conclusion, it is evident that the state of underdevelopment in Kenya makes autonomous participation by the people in DFRD planning un-obtainable objective The realization of this objective depends very much on the capacity of the people to understand the planning environment and in the absence of that understanding, the presence of the Central Government of Kenya (CGOK)must be strengthened at the grassroots level in order to guide the people in the beneficial and exploitation of local and national resources

The *study recommends* to the policy makers, planners and researchers that for effective community participation in the DFRD Planning, constitutional and legislative reforms needs to be put in place, supported by an equitable and consistent financial framework. Future researchers should look into designing a monitoring and evaluation (M&E) management tool as well as identify capacity building programs in order to strengthen community participation in the DFRD

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LIST OF ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immuno Deficiency Syndrome
CBOs	Community Based Organizations
CDA	Community Development Assistant
CDCs	Constituency Development Committees
CDF	Constituency Development Fund
CDTF	Community Development Trust Fund (of the European Union)
DC	District Commissioner
DDCs	District Development Committees
DDO	District Development Officer
DDPs	District Development Plans
DFRD	District Focus for Rural Development
DO	District Officer
EU	European Union
FA	Factor Analysis
GDP	Gross Domestic Product
GNP	Gross National Product
GOK	Government of Kenya
HIV	Human Immuno Deficiency Virus
KANU	Kenya African National Union
IMF	International Monetary Fund
LCDA	Locational Community Development
LDCs	Less Developed Countries

MDIe	More Developed Industrialized economies
MP	Member of Parliament
NDP	National Development Party
NDPs	National Development Plans
NICs	Newly Industrialized Countries
OP	Office of the President
PEC	Poverty Eradication Commission
PCA	Principal Components Analysis
PMC	Project Management Committee
RDF	Rural Development Fund
RUB	Rural Urban Balance
SAPs	Structural Adjustment Policies
SAS	Statistical Analysis System
SHGs	Self Help Groups
SHIs	Self Help Initiatives
SPSS	Statistical Package for Social Sciences
SRDP	Special Rural Development Programme
UN	United Nations
WB	World Bank

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CHAPTER ONE

THE INTRODUCTION

1.1 Introduction

The present difficulty of Kenya's decentralized development efforts partly stems from the absence of articulated policy guidelines about the functional role and the accompanying powers of various levels of government and communities. The term "Community Participation" in development has been tossed around by planners for many years, but their application has never been genuine and effective in development terms and has remained misplaced as the policies and practices have demonstrated. This thesis presents weaknesses in the District Focus for Rural Development (DFRD) policy implementation. In dealing with policy within the scope of DFRD, there is need to consider existing institutional and political frameworks of the country. It is the existing political framework that dictates the institutional framework through which policies are formulated and implemented (Obudho, 1993).

1.2 Statement of the Research Problem

The purpose of this study is to critically assess the role of community participation in the DFRD planning strategy. One of the basic issues confronting Less Developed Countries (LDCs) is the phenomenon of uneven development, rapid population growth and urbanization. This is generally expressed in dualistic terms, i.e. the rural-urban income differentials and the informal-formal sector among others. These issues have become the focus of planning, not only to national policy makers, but also to international

organizations and the multilateral lending institutions Prescriptions to solve these issues vary Critical of this is the need to establish an appropriate typology for economic and social development National planning seems the only way to steer the trend towards achieving the optimal results in the overall urban and regional development. Various approaches to national planning have been postulated by several countries in Africa No country has been consistent in their adoption and utilization, (Obudho, 1997) In essence, the situation is one whereby some countries have significantly shifted positions, especially from such extremes as socialism to the adoption of free market economic principles Furthermore, the economic and political climates of these countries have changed, so also have policies and strategies of regional development. Many of these policies have not been in touch with the world realities

A profile on Kenya, for example indicates that 67 per cent of the total population of 28,686,607 (Kenya, 2001) still reside in rural areas Of this total population, 57 per cent are categorized as poor depending on less than 1 US$ a day; and of this, 70 per cent being in the rural areas The population is predominantly young with 44 per cent below 15 years of age. Life expectancy is 54 years (in urban areas) and 44.5 years (in rural areas) and, fertility rate is 5 per cent Agriculture is the economic mainstay, contributing 26 per cent of the Gross Domestic Product (GDP) (Table, 1). Unfortunately, the GDP growth rate has steadily been plummeting from 8 per cent in 1996 to 0.3 per cent in 1999 and a modest growth of 1.2 per cent in 2001 (Kenya, 2002)

Table 1: Average Annual Growth Rates of Real GDP (%)

Sector	1964-73	1974-79	1980-89	1990-95	1996-2000
Agriculture	4.6	3.9	3.3	0.4	1.1
Manufacturing	9.1	10.0	4.8	3.0	1.3
Finance, real estate	9.8	12.4	6.7	6.6	3.6
Government services	16.9	6.5	4.9	2.6	1.0
Private household	3.5	14.5	10.0	10.3	5.6
Others	-	8.8	7.7	3.6	2.3
GDP	6.6	5.2	4.1	2.5	2.0

Source: Kenya, 2002

Real per capita incomes have consistently fluctuated Increased incidences of poverty, HIV/AIDS, bad governance and unemployment have eroded welfare gains made in the early stages of the Kenyan economy From the foregoing analysis, it seems inevitable that any urban and regional development planning policies must be all inclusive and comprehensive so as to benefit the poor sector who are the majority in the rural Kenya This is important in order to stem regional disparities This disparity is both horizontal between regions, and vertical between the rural areas and the principal urban centers Some regions are better off in terms of per capita and social amenities than other regions. Indeed, this phenomenon tends to create a strong core periphery relationship as advocated for in concepts based on the regional planning theory

The vertical disparity implies that the urban centres are generally richer in terms of social opportunities and are developing faster than the rural areas, which form over 98 per cent of Kenya's landmass. This state of affairs is wholly attributed to the nature of planning; political, economic, cultural, social and historical forces, among others. Indeed, the socio-spatial inequity of the colonial rule in Kenya has further been accelerated by post independence models of development (Owuor, 1995; Obudho, 1983 and Blacker, 1965). These policies divided Kenya sharply into growth centres and border areas. The planning policies were top-down with emphasis, the planners hoped the development or modernization will trickle down from the urban centres to the rural areas (Hansen, 1982; Owuor, 1990 and Obudho, 1993). However the trickle down effects of development did not reach the poor, (especially the rural poor), and or yield maximum benefits. Thus the GOK adopted the *bottom-up* planning strategy through what is known as the DFRD in 1983, where districts were to become the operational centres for rural development planning and administration. A major impetus behind the decision to implement the DFRD strategy was the concern for more effective use of domestic resources.

The concern had been expressed earlier in the 1982 report by the "Working Party on Government Expenditure" (Kenya, 1983). The report had noted that the planning and co-ordination of development had become a complex process, which could only be easily managed at the district level (Kenya, 1983; Obudho, 1998). However, since its inception, the implementation of DFRD strategy has not been community/grassroots participatory (Kituuka, 1988; Akatch; 1999 and Obudho, 1999). While in principle the mechanism exists for broad based community participation in the district planning process, there is

need to focus on barriers inhibiting such participation. Of special concern is, how local communities can be encouraged to seize the initiative and work since it is clear that retaining the major responsibility for decision making in official hands tends to dampen enthusiasms for local development effort and often fails to promote public sector involvement

The study holds that there is inadequate devolution of political and economic powers to local institutions, resulting in inadequate horizontal coordination and grassroots participation and, therefore, inadequate implementation of DFRD policy. Oyugi (1982), argues that lack of support from local government officials and ministry agents who view themselves as administrators or technicians loyal to their authority or ministry rather than the community presents another area of weakness. According to Obudho, (1988:17) "there tends to be too little emphasis on involving the people and their resources in planning. Officers in the field identify more with their superiors in Nairobi than with the people at the district level...".

Thus the significance of this study lies in its contribution to the fact that the evolving political and economic liberalization policies in Kenya have so far not enhanced the need for more effective methods of participation of the grassroots. Grassroots participation is vital for articulating local needs and for making good governance work. It is also needed to make more effective local economic planning to provide a conducive environment for a greater private sector participation in production and employment generation (Gore, 1984). The growing importance of local initiatives provides an invaluable basis for

reviving local self-reliance and restructuring regional development on more indigenous and self-reliant lines The inherent potential at the community level for cooperative/collective endeavours can be most effectively tapped through the formulation of viable urban and regional planning policies (Obudho, 1993)

1.3 Objectives of the Study

The DFRD is still centrist and elitist in its orientation with limited grassroots participation. In view of the above stated problem inherent in the DFRD, the overall objective of this study is to determine the role of community participation in the DFRD strategy as a planning method, using Busia district as a case study. Specifically, the study seeks to:

(a) critically examine, in general, Kenya's urban and regional planning policies over space and time, and in particular the approaches applied under the DFRD;

(b) establish the principles and procedures of DFRD in general, and in Busia district in particular;

(c) assess the role of community (community level) participation in the process of project planning cycle in Busia district;

(d) propose strategies and insights for strengthening community participation in the DRFD planning model based on Busia district as a case study.

1.4 Research Hypothesis

In view of the foregoing objectives, the working hypothesis for this study is that there is little or no community participation in the DFRD Planning Strategy in Busia District, Kenya.

1.5 Literature Review

1.5.1 Introduction

This section discusses selected works and contributions by various scholars on the LDC's rural-urban development planning strategies and how they have impacted on Busia district in particular. It is primarily appreciative, non-exclusive and mutually non-exhaustive. It begins by reviewing regional planning theories, in general, and their links with planning problems. A greater portion of the section is devoted to Kenya's planning approaches and contribution by scholars on community-participatory planning. It ends by a comparative review of the few works on the DFRD showing the absence of studies on the role of community participation in the DFRD Planning strategy not only in Busia district but Kenya in general. Primary emphasis is both on the theoretical and empirical basis.

1.5.2 Theoretical Basis

Studies and policies on development strategies have stimulated sustained interest to many scholars: Myrdal (1950), Perroux (1957), Hirschmann (1958), Berry (1961), Friedman (1966), Santos (1970), Todaro (1971), Chambers (1973), Obudho (1975), Seers (1977), Taylor (1979), Stohr (1981), Ngethe (1987), Kituuka (1988), Kingoriah (1989), Akatch

(1999) and Juma (2003) who have collectively advocated the central theme of spatial planning theories as a panacea in achieving the successful goal of balanced development within a nation. These studies have spurned, not only a vast literature but, also a number of bibliographies. For the scope of this study, the DFRD is based on the theories of balanced and unbalanced growth i.e. the top down and bottom up paradigms.

Obudho (1998) asserts that the policy of the centre - down paradigm has its roots in balanced versus unbalanced controversy of the 1950s. The concept was first popularized by Myrdal (1957) who maintained that once regional inequities have emerged because of some initial advantage some regions may have had, play of market forces tends to increase rather than decrease the inequities. He attributed such inequities to circular and cumulative mechanisms and to operation of "backwash effect". At about the same time, Hirschman (1958) maintained that interregional inequity of economic development is inevitable and that development strategy should concentrate on relatively few sectors rather than on widely dispersed projects. Myrdal's and Hirschman's ideas were of course influenced by Perroux's (1955) growth pole theory, which was concerned with interaction among industrial sectors. All these theories advocated the centre-down development strategy.

The first scholar to formulate and apply a systematic and comprehensive centre-umland regional planning model to LDCs was Friedmann (1966), who conceptualized the core-periphery interaction model. The model was originally set, in his study of Venezuela regional land strategy. According to Friedmann, an effective regional planning policy

has to deal, as a system with separate development of core-regions, upward and downward However, there is some contention that in a developing country, which has predominantly rural population, rapid urbanization is induced more by a push from the rural areas than by any attractive power to urban centers Others argue that, decentralization of industrial activity and population among small urban centres where excess capacity and employment exist involves less capital investment infrastructure- and permits the more equal distribution of the gains of development amongst regions Proponents of the latter school maintain that the rush to urban centres can be slowed by making villages or small urban centres more attractive (Obudho, 1982)

The centre-down development paradigm has been criticized for accelerating rural-urban migration and urbanization processes In the centre-down approach, the nucleus of development spreads from the urban centre to the umland areas and then gradually diffuse to the rural areas (Obudho, 1979) However, subsequent observations have revealed that the impact of regional development from the centre to the rural areas have not been great enough to justify the problems brought about by the massive rural - urban migration The impact of development spreading into rural areas has been minimal and this has led to adoption of *development from below*

Development from below is an entirely new concept in its approach and orientation , but it has been described tangentially over the years in the writings of Seers (1977) and Goulet (1978) To date the most comprehensive review of the concept of the regional planning from below is by Stohr and Taylor (1981:1) who defined development from below as

being; "the maximum mobilization of an area's natural, human and institutional resources with the primary objective being the satisfaction of the basic needs of the inhabitants of that area. Development from below strategies are basic-needs-oriented, basic-intensive, small-scale, regional resource-based, often rural-centred, for the use of 'appropriate' rather than 'highest technology".

Regional *planning from below* is particularly appropriate for Kenya whose majority of urban centres were established and which are still dangerously oriented towards the former colonial countries. The orientation has contributed to dependence of Kenya's spatial economy on the multinational corporations, persistent dominance of one or a few urban centres which have critical problems of unemployment and underemployment, increasing inequities, persistent food shortages and deteriorating material conditions in the countryside (Obudho and Taylor, 1970)

In regional planning terms it is suggested that if disparities are to be reduced, then direct priority attention must be given to a peripheral rural sub-system, especially the informal sector of that sub-system and that an important part of such strategy would be ascertain of agro-urban small scale development centres at the lower orders of the urban hierarchy (Obudho, 1983). Other primary requirements associated with this concept have been intensive technologies, small scale production, regional-resource based, often rural oriented activities and 'appropriate' rather than 'highest' technology (Stohr and Taylor 1981). In Kenya, *Planning from below* has been advocated as one method to correct this inequity, and eventually lead to self-reliance, spatial equity, local participation and

territorial integration Development from below would be expected to reduce the rural-urban migration and convert the role of town to nucleation as market centres rather than administration centres, serving rural hinterlands (Kituuka, 1988; Obudho 1999)

The DFRD policy, which is based on the classical *bottom up* planning model, came into being through a presidential decree on 10th June 1983 Since then, the DFRD has had a series of reviews (Obudho, Akatch and Aduwo, 1987; Obudho, 1983, 1990, 1993, 1997, 1998; Obudho and Aduwo 1990; Obudho and Gooneratne 1997; Makokha, 1985; Akatch, 1998; Kituuka, 1988 and Kingoriah, 1984) However, these studies, within their scopes, have not made any serious attempt at providing a basis for the inherent lack of institutional mechanisms to mobilize and purposefully co-ordinate the participation of the grassroots/rural masses in the implementation of DFRD policy Although recommendations have been made (Owuor, 1995; Obudho 1995) most of these studies within their scopes have been concerned with DFRD as a theoretical conceptual framework, without an analysis and synthesis of the sustainability of the model especially on the role of community participation in its implementation Theiefore this research provides a systematic study of community participation in DFRD Planning policy implementation as an element since this has been rare among policy makers and researchers

1.5.3 Empirical Basis

Empirical studies on local community participation in policy/program planning cycle is well documented in development literature The United Nations in its "Report on

Activities on Energy and Natural Resources", 7th session, (1964), argues that the most important lesson learned for sustainable development is the need for popular participation and action at the village and community levels, using local skills and responding to particular characteristics of each other. Therefore, identification of concrete practical mechanisms to foster popular support is critical. Indeed, the role of community participation in the DFRD planning strategy has been viewed as ineffectual since DFRD policy still places emphasis on decentralization of delegation of operational responsibility, while government ministries retain the control of planning (although the District Development Committees (DDCs) have the potential to restructure relations of power to the rural areas and to ensure grassroots local participation in planning)

But as Ngethe (1987) observed, the potential for this participation will primarily depend on how the local institutions, particularly, the DDCs, evolve and discharge their tutelary responsibilities. It is acknowledged that whereas the DFRD has been considered elitist with insufficient local participation channels (Kituuka, 1988), Makenzie and Taylor (1985), on the other hand, have questioned the channels for the DFRD to explore grassroots' social capacity for development. Within the same argument, McCall (1987) has stated that concepts like *local development, people development* or *bottom up planning* are becoming as much rhetoric as *democracy, governance* or *development* as with those words governments can use them as legitimizing smoke screen in the political arena with no intention of putting any but the most self-serving into effect. McCall further argues that other inhibitions to community level participatory development include the predominant participation of women in rural societies whose development

efforts are considered inhibited by socio-cultural constraints, poverty of the rural poor which undermines development in certain areas, the scarcity of development resources, and the limited scope and potential of indigenous technical knowledge.

Ndegwa (1985) has, however, argued that lack of suitable institutions capable of co-ordinating the activities of agencies which provide services to the rural communities has impacted the level of community participation in such *bottom up* development policy as DFRD. Whereas Ndegwa's work is a major contribution to the literature on community participation, Newmann (1988) found out that grassroots organizations and local Non-Governmental Organizations (NGOs) have a particular valuable role to play in sustainability of local resource management. Towards this, earlier, Kochen and Deutsche (1980) identified eight dimensions of community participation, based on broad characteristics of pluralization of agents; dispersion in geographical space; functional specialization; feed back fitting and responsiveness; coordinate in performance; participation in performance and participation in structural design. The argument here is that, participatory development planning through community participation or decentralization is an aspect of organization structure, just like orderliness, complexity and structural clarity, amongst others.

In addition, Mbithi (1973) on rural sociology observed that community participation in development has two levels: at the basic economic level, participation in society can be seen as employment in a profitable occupation; at another level it is an active involvement in the decision making process with regards to plans and priorities for the

development resources and assets at the community and ultimately national level It implies transfer of power to the target group While Chitere (1999) in his study of livestock program in Kakamega District, Kenya, found out that community participation in DFRD permits growth of local capacity, which develops out of the establishment of a partnership between development agencies and the community It embodies democratic principles of equity and social justice

On the other hand, Bromley *et al* (1980), on their study of development programmes in Kenya have posited that it is necessary to create the enabling environment for local people and communities to take matters into their own hands. Programmes and projects can only become concerned with the people using natural resources around which projects have traditionally been organized Furthermore, an essential ingredient in either policy or programme and project formulation and implementation is the existence of incentives and sanctions for influencing the behaviour of those who live in the areas and who depend for their livelihood and survival on the natural resource in question

Likewise, Macoloo (1984) found out that programs or policies for the community that do not involve the recipient community in planning is like treating the symptoms but not the disease He urgued that development policies must be designed to reduce structural factors in order to enable the community participate effectively While Awuondo (1989) on the studies of pastoral communities in Kenya has pointed out that resource management interventions must emphasize the social arrangement among people as they interact with each other and with their natural resource base, paying particular attention to

incentives and sanctions for influencing individual behaviour. Every aspect of the interrelationship between society and nature plays a critical role, and if one of them fails then the whole situation is likely to be severely affected.

Kuelen (1990) also on the study of pastoral communities argues that forest dwellers should be given responsibility to manage the forests where they live and they should be assured of purity or even exclusive rights to hunt, gather and carry out artificial logging. In return, they should be entrusted with the obligation and requisite authority to protect their forests against farmers and encroachment, poaching, illegal logging and wood fuel extraction. If the state is less intrusive, and local people are given greater responsibility, people will tend to take more care in conserving their environments.

Cleaver *et al* (1994) has argued that community participation in sustainable policy management such as DFRD is paramount, but they must be given more responsibility for their own affairs. They should be allowed to associate freely in community managed cooperative and groups, market their own produce, own and manage their land. Tenurial security must be ensured. People will only cooperate in programme/policy effort if they stake equal in resources and incentives to manage their affairs more prudently.

Akatch (1998) has observed that the role of community participation in the DFRD is to improve the performance of an institution/organization. The performance of an organization is in turn dependent on its structural functional qualities. In a planning framework, the functional properties of the planning machinery should enable the

organization to identify request and needs of clients and provide the necessary services, the level of accessibility and quality of the planning machinery. The client to this case is the community, which should be seen not only as beneficiaries but also as active participants in their own cause.

Obudho (1999) working on the community participation in the DFRD planning strategy has asserted that group action or grassroots management is important in pooling resources together for the full exploitation of the natural resources. Resources such as financial credit, savings and labour are important in implementing strategies aimed at improving production systems in the rural areas. This tends to provide a sound economic base for balanced growth in other sectors. Community involvement at all stages leads to rational utilization of resources geared towards improving standards of life.

Cohen and Cook (1986) while presenting a thematic paper on DFRD identified the existing institutional framework as a key weakness of the DFRD policy. They argue that the DFRD is traditionally top-down, where decision making tend to be from top governmental institutions to local government institutions. They observed that a policy formulation process that does not seek the participation of those concerned is bound to go parallel with the basic issues in DFRD since the government structure is not in consonance with the policy.

On the other hand Kituuka (1988) on the study of rural sub-national development of the DFRD observed that evaluating the role of community participation in any planning

policy involves many facets of multiple causation with both temporal and spatial dimensions He further argued that evaluating community participation does not amount to simple evaluation procedures but requires development tools that are used for the identification and observation of "before" and "after" effects, given the slow diffusion associated with much of the rural change A decade earlier, Todaro, (1977) was of the view that community participation in development is a multi-dimensional process involving major changes in social structures, popular attitudes and national institutions as well as the acceleration of economic growth, the reduction of inequity and alleviation of absolute poverty In essence, rising per capita incomes, the elimination of absolute poverty, greater employment opportunities and lessening of income inequities are necessary for the level of community participation

While Ghai (2003) assents that peoples participation, particularly through civic education tends to produce an informed citizenry. With basic understanding of policy matters in the policy implementation to articulate its vision and preferences. This is because the people would have refined their agenda by relating the policy to the peoples' local circumstances, problems, needs and aspirations participation ensures the legitimacy of the policy and its implementation by the people; participation increases their knowledge of the policy; participation increases their knowledge of the policy, promoting their ability to identify with it rather than the central government.

Finally, the World Bank (2001) affirms that community participation in planning and management of policy issues such as DFRD greatly increases ownership and

sustainability – if communities make informed choices The Bank further says that community participation has three main objectives: to ensure that the preferences and values of communities are reflected in the choice and design of policy interventions; to use community and participant monitoring to improve implementation, transparency, and accountability and finally to give poor people more influence over their lives

Therefore, from the foregoing theoretical and empirical overview, it is evident that the role of community participation in the DFRD planning is crucial for attaining a balanced and sustainable rural-urban development in alleviating poverty. The inter-dependence between rural and urban areas is of mutual interest and complementarity are central issues Hirschman's, Perroux's and Myrdal's growth pole and Stohr and Goulet's *bottom up* approach to planning are the foundation of the DFRD. It can however be noted that there is lack of detailed and comprehensive information on the role of community participation in the DFRD, and little attention has been given to the study of this phenomenon in urban and regional planning. The existing disparity between the well-phrased objectives of the DFRD on community participation and what is observed in reality lead us to doubt whether the stated objectives of the DFRD are being realized Furthermore, there is a tendency among researchers on regional planning to treat DFRD as an autonomous framework This study attempts to set DFRD analysis in a framework showing its links to community participation focusing on Busia District as a case study.

1.6 Justification of the Study

1.6.1 The Topic

The concomitant nature of development in the LDC's is the core of this research. Dudley Seers (1969) has argued that it is misleading to equate a nation's economic growth with development since this tends to ignore the conditions to which citizens of a country are subjected. He argued further that a country's development must address three fundamental issues: namely, *levels of poverty*, *levels of unemployment* and *levels of inequity*.

The success of this mimetic strategy had been reinforced by the modernization theorists such as Weber (1958) and Takott and Parsons (1951) who contend that the levels of disparities in development within a nation is a function of weak political systems, weak institutional frameworks for development policy implementation, ethnic conflicts, and indigenous cultural and religious values. In short, urban and regional disparities could be explained simply by the fact that developing nations have not done a good job emulating the example set by the More Developed Industrialized (MDI) economies. Thus, according to this school of thought, most LDCs could and should, follow a path economic and political modernization parallel to the one the First World had travelled in their distribution of wealth (Handelman, 1996). Subsequently, these *development, modernization* and *dependency theories* form the impetus for the choice of this topic.

Likewise the variations over natural space of the patterns of development are usually of greater interest to national and regional development planners. The need for greater

emphasis on reducing inter regional inequities and the introduction of location into national planning has suddenly made governments to realize the ills associated with inequitable distribution of factors of production. For instance, it has been realized that inequities could also mean deprivation and neglect of certain parts of a country. In addition, it is a potential source of regional conflicts that could have destabilizing effects on national development. Of course the need to harness all the resources of a nation for rapid development is also a major reason for focusing on regional variations to development. Furthermore, the need for a diversification of production base of national economies, the ability of post independence governments to define and carry out programme of reform and development and spatial organization and reorganization of societies and process of political evolution are other reasons (Gerdorff, 1968; Obudho, 1995 and UNDP, 1996).

Planning is central in this study, since it is through this act of rational decision in the choice to manipulate urban and regional space that it is possible to attain spatial development (Ambe, 1999). These theories of planning are important parameters in guiding the actions and activities of policy makers, planners and scientists. This study, therefore, stems from the planning concept in order to assess the socio economic status of the country. Consequently, the DFRD as a planning model of *development from below* for Kenya is one articulation in the planning theories that have been postulated as a conscious effort to promote sub-national economic development, through explicit adaptation of economic growth and spatial modernization strategy (Akatch, 1995). The DFRD, as a development from below, approach aims at spatial mobilization of each

area's natural, human and institutional resources with the primary objective of satisfying basic needs of the inhabitants of the area and poverty reduction

It has been observed that for many years the most visible spatial manifestation in Kenya has been the unprecedented rural decline and the growing urbanization. Many rural areas have disproportionally lost to urban centres in terms of human and capital resources, leading to exacerbated poverty and unemployment. For Kenya, the study is important since, first the spread of democratization increases the demand for greater participation and representation of grassroots at different sub-national levels. In addition, the growing importance of changing political and economic alliances on a variety of geographical scales enhances the need for urban and regional planning. Regional areas must continuously improve their competitiveness in order to survive in the global economy i e globalization at the same time they must be flexible enough to withstand fluctuating fortunes in the international economy. The development path chosen must be based upon sound considerations in view of the need to ensure long-term sustainability of Kenya's development. All these require more effective regional planning for the future.

Finally the study impacts on DFRD by influencing both policy and programs strategies implementation and builds a constituency change in the way urban and regional planning practices are applied. Essentially, the publication of the research findings calls for the government of Kenya (GOK) to review the DFRD strategy to be people – participatory in order to enhance rural development and reduce poverty. The academic significance of this study lies in the fact that "*community participation*" is a key operational indicator in

the DFRD strategy for now and the future, since there is now an inherent recognition that all stakeholders have a role to play in the entire development process. Furthermore, it has become increasingly evident that competition for scarce GOK budgetary allocation has increased dramatically at a time when donor funding is declining and that private sector organization, NGOs, CBOs and religious organizations can contribute to the national development process and especially direct support to community projects. *Community participation* ensures that projects, which are supported by the people, and serve the interest of the majority, are selected on a priority basis. Participatory methodologies ensure that funds are used where they are most needed, and where they will have the highest impact (Kenya, 2002)

1.6.2 The Location

Busia district is one of the border regions in Kenya, dominated by negative physical and human resource variables. The present development policies have also significantly enhanced its underdevelopment and increased its problems. There has been widespread rural poverty, rising unemployment, reduced capacity for food and agricultural production, increased food insecurity, collapse of basic infrastructure, lack of access to basic services, increasing migration, both rural to marginal rural and rural to urban, drought or floods, HIV/AIDS, gender imbalance, illiteracy, inaccessibility to credit, lack of marketing systems among others. Although several studies of interest have been done on the DFRD in Kenya largely on the theoretical and practical arguments about the potential role of DFRD in regional and national development, little is known about the participation of the grassroots in the DFRD planning cycle at the district level

It is for this reason, and the functional importance of understanding and analyzing the role of community participation in the DFRD in regional and national development that this study becomes important. The choice of the district as a study is important since, most districts in Kenya are basically still rural, very small and are not spatially, economically sustained entities (Kingoriah, 1984). They often have few manufacturing activities: the predominant economic action being predominately agriculture; limited wage employment incomes since 1983. The district in Kenya is the second principal level of decentralization in the GOK rural-urban planning policies (Kenya, 2004). Finally, it is important to note that the study of Busia district provides a mosaic of testable variables upon which we can determine the role of DFRD planning policy implementation in 72 districts of Kenya. Therefore, Busia as a sample district is representative of the findings of community participation in DFRD policy implementation.

1.7 Scope and Limitations

1.7.1 Scope

This study examines the role of community participation in the DFRD planning strategy in Kenya using Busia District as a case study. Throughout this exercise, the objective was not to build up a temporal analysis of the patterns of development planning using Busia district as a case study, but rather to derive cross-sectoral indicators for determining the role of community participation at a particular point in time of the DFRD strategy. This was not a study of causality of community participation, but a study aimed at examining the potential for mutual association of community participation that could be used to determine clusters of correlation for a set of cognitive value indices. The data

collected centered mainly on various aspects of physical, structural and socio-economic development. The emphasis was to explain the data on community participation within the context of DFRD planning strategy between 1983 and 2003.

1.7.2 Limitations

The results of this research are affected by limited funds. Of special concern are the poor and inadequate infrastructure facilities in Busia district. Such facilities as roads, telephone, electricity and water are available but the facilities are poorly maintained. There is few kilometres of tarmac road from Bumala to Busia town and Nambale whereas the rest of the district has poor road network (Plate 1). Thus, the state of infrastructure impacted negatively on the faster and timely completion of this research.

Plate 1(a) **All weather road tarmac**

Plate 1(b) All weather murrum

Busia District

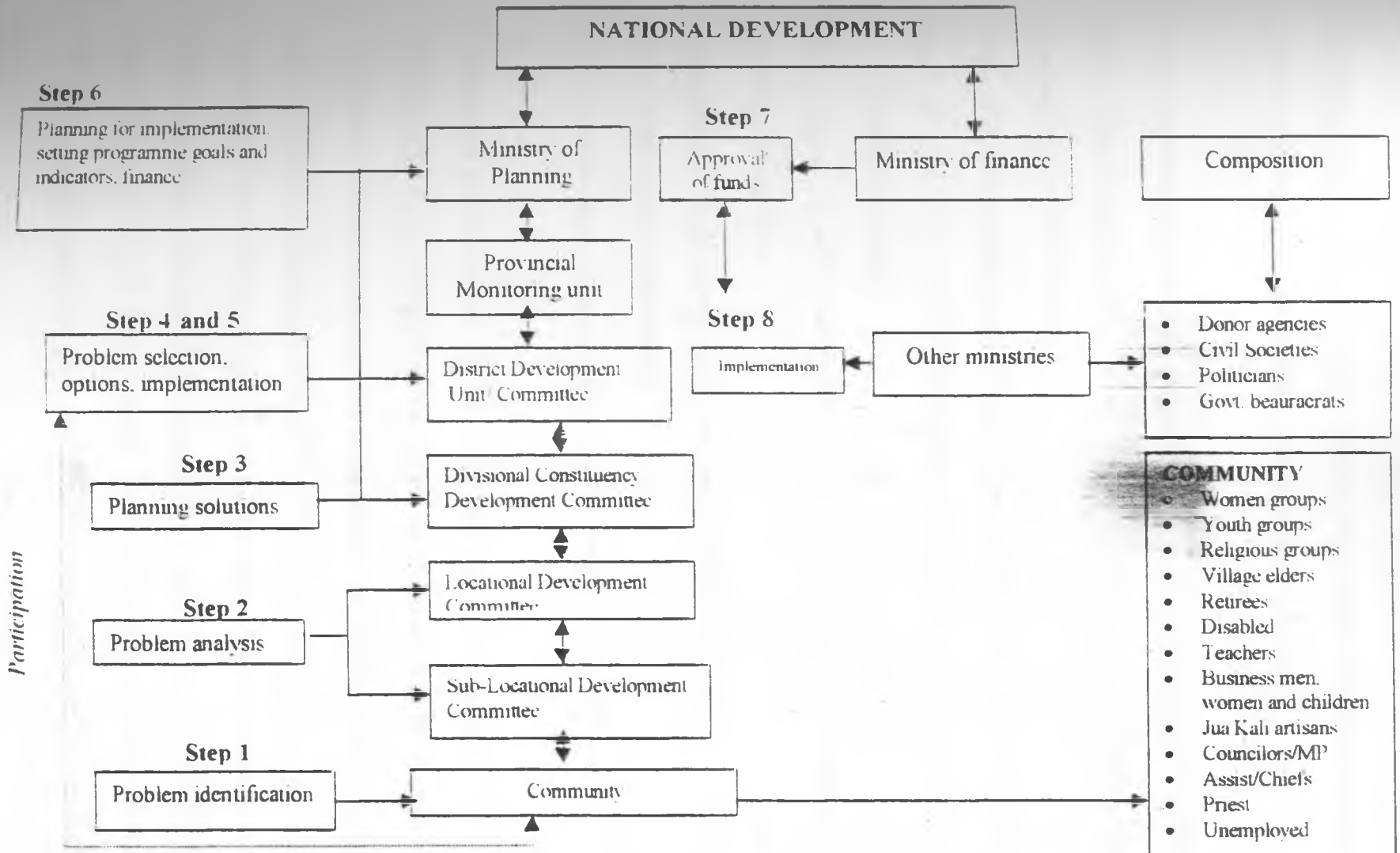
The district has a few kilometers of tarmac road: from Bumala to Busia town (22 km) and from Nambale to Busia town (19km). The rest of the district has earth roads of poor road network, poorly maintained and inaccessible *(Photo courtesy: JUMA Peter, 2001).*

1.8 Conceptual Framework

The conceptual framework (Figure 1) has been adopted and modified from the "Blue Book" of the DFRD. This schema is relevant to the study, in these planning policies that are conducive and appropriate to the LDCs such as Kenya, where the central governments are seeking to formulate strategies for strengthened regional areas in order to reduce national development inequity. The DFRD stresses that, apart from the difficulty of quantifying the community in planning, community participation is a function of so many factors, forces and policies which become difficult to disentangle in a specified perspective of rural region's planning. In principle, the DFRD is supposed to operate in a decentered structure of administration, comprising plural dispersion of agents in the geographical district spaces of Kenya. The pluralization and dispersion of agents is moreover expected to be accompanied by a well orchestrated communication network between the different level agents from both public and private sectors and of course the individual households at the grassroots.

From the decentralization point of view there should be coherent flatness of hierarchization so that cross supervision at different level officials should work in sequence rather than in parallel in order to increase local coordination and reduce the response time to local requests. Notwithstanding the above, Bethke (1985) and Akatch

Figure 2: Modified Framework for District Focus for Rural Development Strategy (DFRD)



Source: Adapted from the DFRD "Blue Book". Republic of Kenya. Government Printer. 1983:5

Key: *"Participation" shows the role and level of community participation in the DFRD planning strategy*

(1998) described a typical eight stage process through which an ideal local project should be formulated and implemented at the community level in Kenya

Step 1: Generate Project idea (local leaders) prepare project profile (DO/CDA/DDO)

Step 2: Discuss Project Profile and Priority (Div. Development Committee/Constituency Development Committee (CDCs)

Step 3: Preliminary Appraisal and Project Banking (DDC): - Executive Committee)

Step 4: District Priority and Conditional Recommendations (DDC):- Incorporated into Forward Estimates

Step 5: Project Formulation and Analysis: Technical, Financial and Institutional Feasibility (DDO/PPO)

Step 6: District Approval and Application Forms (DDC/DDO)

Step 7: Funds Approval (Ministries)

Step 8 Implementation (District Heads/Project Committee) (Div. DC) etc

According to the "*Blue Book*" of the DFRD, the local leaders in liason with the local agents/beneficiaries would generate the project idea and pass it to the local technocrats represented by the district officers such as the DDOs. The DDOs would then prepare the project profile and priorities and discuss it with their respective DDCs. The executive committee for the DDCs would first receive the report from the Divisional Development Committees alias Constituency Development Committees and prepare preliminary appraisal and ranking of projects before presenting it to the District Development Committee, which would then give conditional recommendations. The project would

then be incorporated in the forward estimates for onward projects before formulation and analysis by the District Development Officers or the Provincial Planning Officer.

The analysis at this stage would focus on technical, financial, institutional and feasibility aspects as to implementation. The project would then be passed back to the DDO and DDC for application forms and approval respectively. The relevant ministry would then grant the funds approval and the project would be referred back to the District Heads or Local Committees for implementation. This process of project formulation and approval sounds pretty impressive and straight forward, (Kenya, 2004) however, field experience gained in Busia District reveals that the procedure is not followed to the letter. This admission was confirmed by responses from randomly selected members of public in Busia District who denied ever having been consulted or benefited from a bureaucratically initiated and financed projects following the above referred procedure (Table 1.2).

Table 1.2: Level of Community Participation in DFRD Policy at the Locational Level.

	None	Some	High
Religious organizations		X	
NGOs			X
CBOs			X
SHGs			X
Cooperative societies			X
Retirees			X
Disabled groups		X	
Teachers	X		
Business/persons		X	
Jua Kali groups			X
Youth groups			X
Councilors			X
Others			X

Source: Compiled by the Author

1.8 Operational Definitions and Concepts

In this study which is on "The role of community participation in the DFRD planning strategy: A case study of Busia District, Kenya"

Baraza

A Kiswahili word for an official public call-up meeting, where government policies are delivered to the community, normally presided over by either the Assistant Chief, Chief, District Officer or the District Commissioner

Community

A sociological and anthropological terminology that denotes any small, localized, political, economic and social unit whose members share values in common

Development

This is a complex multi-sectoral phenomenon encompasing such issues as values, goals and standards within which one can compare and assess the level of progress in time and space. In some cases, it involves structural and evolutionary changes of society.

District Focus for Rural Development (DFRD)

A bottom up planning strategy that came in operation in 1983 following ex-President Daniel Arap Moi's directive that the districts were to become the centers for development in regional areas.

Harambee

A Kiswahili word for community initiative in raising domestic resources towards a common development goal e g to build a school, hospital, road, shallow well, among others

Participation

People's innate ability to address, manage, understand and control the biodiversity through assessing their own knowledge base; investigating their own environmental situation; visualizing a future scenario; analyzing constraints to change; planning for change; and finally implementing change with the principles of willingness to share power, risks and benefits in a spirit of openness and mutual trust

Planning

This is a decision making process of balancing conflicting claims on scarce resources and achieving compromise between the conflicting interests There are two types of planning -

(i) Bottom-up planning, which places emphasis at the local community-based level

(ii) Top-down planning focusing on development, proceeding from an urban center and diffusing or spreading to the rest of the country or community

Rural Development

It involves a series of quantitative and qualitative changes taking place in a given rural population and whose converging effects reveal in time, a rise in the standards of living and favourable changes in the way of life

Strategy

An official guideline for any aspect of development. This guideline could be based on either a philosophy, method or policy

1.9 Organization of the Study

The study is organized around six chapters excluding the front matter which contains the title, declaration, dedication, abstract, acknowledgements, table of contents, list of tables, list of figures and the back matter containing the bibliography and appendices. Chapter one is the introduction, containing the statement of research problem, objectives of the study, working hypothesis, justification of research topic, scope of the study, both theoretical and empirical bases of literature review and limitations. Chapter two traces the historical development of Regional Planning strategies in Kenya and an analysis of the DFRD. Chapter three describes the study area in the context of its regional setting, land use, demographic characteristics and socio-economic dynamics, while Chapter four outlines the research methodology. Chapter five on community participation is the core of the study because it provides the actual field activities on community participation in DFRD strategy in Busia district. Lastly, Chapter six summarizes the research findings and presents the conclusions and recommendations arising therefrom

CHAPTER TWO

HISTORY OF REGIONAL PLANNING IN KENYA

2.1 Introduction

This chapter traces the historical development of Regional Planning Strategies in Kenya from the colonial times, up to the introduction of the DFRD in 1983 and its aftermath to the year 2003. The chapter provides a critical review of the National Development Plans (NDPs) as well as the principles, management and application of the DFRD especially the District Development Plans (DDPs). (For a more detailed information, see the *"Blue Book"* of the DFRD). The chapter concludes by reiterating the fact that, given the state of underdevelopment, debilitating poverty, crippling foreign debt, poor governance, among others makes the realization and the aspirations of the DFRD Strategy a mirage to accomplish. This has forced the GOK to resort to *ad-hoc* short-term as well as long-term planning strategies (Kenya, 2002)

2.2 Regional Planning Strategies

Regional planning strategies in Kenya have been formulated largely on inherited colonial structures, mostly oriented to the export of primary commodities and import substitution (Obudho 1984, 1986,1988, 1993; Obudho and Muganzi, 1987 and Obudho and Aduwo, 1990). In the 1950s, four plans were introduced that altered the cultural and economic landscape of the nation. First, the *Troupe Report* which focused on the problems of farming in the white highlands and recommended that there should be an increase in European migration and settlement (Kenya, 1955) Second, *F.W. Carpenter Report* of

1954 which was primarily concerned with urban wages and proposed the policy of stabilization of urban wages through collective bargaining (Carpenter, 1954). Third, the *Swynnerton Plan* which dealt with the problems of agriculture in African areas (Swynnerton, 1954) and lastly, the *Royal East African Commission* whose aim was to identify the causes, conditions and trends of over population in the urban areas (Obudho *et al.*, 1988). These four attempts at policy formulation pointed to the origin of regional planning strategies during the colonial period. It is on this basis that Safier (1972) argued that regional planning in East Africa (and Kenya for that matter) was imported by the colonial administration and had its first application in new colonial capitals. The initial concerns of regional planning in Kenya was in health and hygiene and laying out of well demarcated areas of differential urban land use; these concerns are still enshrined in a large portion of the existing regional planning legislation.

During the colonial era, regional planning in Kenya was carried out within the statutory boundaries of the urban centres and most of it was *ad hoc* with plans usually taking the form of fully developed land use maps. Comprehensive regional planning strategies that took account of the strategic elements for promoting urban growth were not adopted until 1964. But even after this period, regional plans were focused to the most obvious targets- the urban export enclaves. It was Fair (1962) who first proposed regional planning approach to economic development of Kenya in which he stressed the establishment of regional as well as sectoral targets, for coordinated national planning involving the provision not only of individual but also of a variety of areas. The sectoral analysis was

to be supplemented by regional analysis so that comparative development possibilities, problems, and priorities could be assessed region-by-region as well as sector-by-sector

The benchmark for the initial and serious attempts to bring regional planning techniques to bear on development of Kenya was carried out by the *Deutches Institut fur Entwicklung spolitik* (Obudho and Waller, 1976). As a result of their studies in Western Kenya, the GOK directed the then Department of Town Planning of the Ministry of Land and Settlement to liaise with the Ministry of Economic Planning and Development in order to develop a regional planning strategy for Kenya (Obudho and Waller, 1976). The principles and the strategies of regional planning in Kenya as they were laid in the different plans were concerned with ... development that involved the use of land, movement of people or goods, or modification of the physical environment. It dealt with emerging patterns of production and residence and distribution throughout the country. Physical planning in Kenya had two objectives; first in a national and regional context, to plan a national framework or strategy for the location of capital investments. Second, in the urban context, to plan both small and large towns in details, so as to produce coordinated economic land use for developing projects within a satisfactory environment (Kenya, 1965a).

These objectives were accomplished in three stages. The first stage consisted of the compilation of regional planning data. The second was the determination of processes such as population growth, economic development, technical and cultural change and the urbanization process. The third stage was concerned with the preparation of strategic

regional plans. Thus, most of the regional planning in Kenya was concerned with the growth of major urban centers (Obudho, 1998)

The establishment of the Ministry of Economic Planning and Development in 1964 marked the beginning of post independence regional planning in Kenya. This new ministry was charged with the responsibility of organizing and promoting economic and social development and was guided by the principles as set in *Sessional Paper No. 10 of 1965 (Kenya, 1965)*. This influential document emphasized Kenya's commitment to regional planning. The document established the principle of state direction of the regional planning process. It argued that rapid, equitable, economic, social and regional development would result from effective and responsive state machinery. However, this document was produced in a period of uncertainty when the new GOK was trying to consolidate not only its own position but also the position of the new state. It was, therefore, as much as political as it was intended to provide a social and economic philosophy for the new state. Kenya's first development plan was essentially a more detailed presentation of the practical aspects of the *Sessional Paper* (Obudho, 1998)

The basic principles on urbanization laid out in the *Sessional Paper No. 10 of 1965* was further elaborated in the regional plans, which have come out since independence. Taken together all the documents then yield what can arguably be termed a broad official policy on regional planning of which specific strategies are meant to be developed depending on the specific circumstances including the peculiar inclinations of the administrators of the day. One key feature of then regional planning policy in Kenya was to strengthen the

growth of small and intermediate centres as a means of encouraging regional planning strategy (Obudho, 1998; Owuor, 1995).

In particular the *1965-70 National Development Plan* gave priority to what it called "agrarian revolution" (Kenya, 1965b). This revolution entailed giving more emphasis to developing small-scale farming. Thus in equitable distribution of benefits of economic growth courtesy of a four-year development plans. In addition it also entailed acceleration of land consolidation and registration (Ng'ethe, 1987; Obudho, 1993, Kituuka, 1988). The Plan was more concerned with the growth of aggregate economy and contained no explicit regional planning strategy. However, it recognized the existence of regional disparities and the need for a policy to ensure the equitable distribution of benefits of economic growth among other regions. In general this was a period of centralist policies. The regional planning strategies of this period were largely rural based and seemed to give priority to agriculture and allied rural activities. They were, however, not linked to broader programmes of decentralization and regional planning and only accorded a very limited role to community levels strategy of regional planning (Obudho, 1998).

The only concessions, which were made for decentralization, took the form of experimental *Special Rural Development Programmes (SRDP)*. The SRDP, covered six administrative Divisions (8 per cent of the population). One of its objectives was to develop regional planning techniques appropriate to Kenya context, but the overall aim was, however, to raise the standard of living in the rural areas by creating jobs and

increasing income (Nells, 1982) The disadvantage was that the SRDP were sectoral oriented and as such were not congruent with the fixed targets of the regional planning strategies In some places the SRDP plans and the regional planning contradicted each other The programme, however, stimulated the eventual emergence of District Development Officer (DDO) Regional Planning policies in Kenya started in a rudimentary form between 1900 and the 1950s when decisions were made by the colonialists to locate periodic markets, trading centres and urban centres in various parts of the country

The first regional planning policy was seen in Kenya's *Second National Development Plan 1970-1974* which contained a formal commitment to rural development in order to direct an increasing share of local resources available to the nation towards the rural areas (Kenya, 1970) This was the strategy of "selective concentration" as opposed to "concentrated development" This Plan advocated for the continued expansion of the City of Nairobi and Municipalities of Mombasa and designated seven other urban centres as growth centres, four of which were Kisumu, Nakuru, Eldoret and Thika were to be promoted to industrial urban centres The Plan also elaborated a four level hierarchy of service centres totaling over 1600 small and intermediate urban centres throughout the country (Obudho, 1993)

In the *Third National Development Plan (1974-1979)* the strategy was renamed an "urbanization policy" with an emphasis on the more equitable distribution of resources and income (Kenya, 1974) The main objectives of the Plan was to slow down rural to

urban migration by achieving the maximum development of rural areas; promote a balanced economic growth throughout the nation which could result in an equitable standard of social services between different areas and even, geographical spread of urban physical infrastructure and ameliorate the excessive concentration of population of Nairobi and Mombasa by encouraging the expansion of small and intermediate urban centres (Obudho, 1993).

Whereas the *Third National Development Plan* stressed the more equitable distribution of resources and income, the *Fourth National Development Plan (1979-1983)* took as its theme the "alleviation of poverty" (Kenya, 1979). Urbanization policy was renamed a strategy of rural urban balance and aimed at improving rural access to services and specifically at dispersing facilities for health and education. Emphasis was to be placed on the development of Western Kenya, an area with a large population, a shortage of infrastructure, and promising but unrealized potential for agricultural development (Obudho and Waller, 1976). In addition to existing urban centres nine other intermediate urban centres were selected for special attention and an investment allowance was introduced to induce new industries to locate outside Nairobi and Mombasa.

The *Fifth National Development Plan (1984-1988)* basically reiterated the emphasis of the Fourth Plan, but in order to improve "regional balance" seventeen more small and intermediate urban centres were added to the list of those designated to receive special attention in the allocation of development resources (Kenya, 1984). The Plan emphasized that rural development could be self-contained process. The rural areas must be closely

knit to urban markets of supplies of both farm inputs and consumer goods. The regional planning strategy for Kenya, therefore, was directed towards the small and intermediate urban centres (Obudho, 1993). The DFRD strategy contained in the Fifth Development Plan is the most articulate documentation of decentralized planning in Kenya (Cohen and Cook, 1985; Makokha; 1985 Obudho, Aduwo and Akatch, 1988). In essence, DFRD strategy asserts that district based projects implemented by the GOK could be identified, planned and implemented at district level. The objectives of the DFRD policy was to strengthen planning capacity at the district level; improve horizontal integration among operating ministries field agents and expand the authority to district officers for managing financial and procurement aspects of local project implementation.

The Sixth National Development Plan (1989-1993) addressed the regional dimensions of development in Kenya (Kenya, 1989). It focused on the various activities that induce positive externalities for enhanced and balanced economic development between and among the rural and urban centres. The Plan recognized the role of rural centres as important nuclei of economic activity. The rural centres were regarded as providing the market and outlets for farm produce and serving as centres for the purchase of farm inputs and other goods and services. The Plan regarded the entire development of both the rural and urban centres as predicted on developments in major infrastructures such as transport, communication and information systems, water supply and energy systems among others. The Plan spelled out the regional settlement with aim of increasing urbanization, generally, while at the same time ensuring that such increases occur in the small urban centres rather than the large urban centres. Rural-Urban Balance was the key

objective of the Plan *The Seventh National Development Plan of 1994-1997* also emphasized the strategies of the Sixth Development Plan (Kenya, 1994)

The Eighth National Development Plan (1997-2001) laid the foundation for the transformation of Kenya from an economy with agriculture as its back borne to a Newly Industrialized Country (NIC) by 2020 (Kenya, 1997) Indeed, the Plan was the first one in the series to implement policies and strategies on Sessional Paper No 2 of 1996 on industrial transformation to the Year 2020 The strategy adopted in this Plan was to rely on agriculture and industry as twin engines for faster growth The Plan was different from previous ones in that it addressed one significant sectoral issue i e industrialization ... to raise the level or annual amount per capita saving from 17 per cent to 30 per cent annually. Previous National Development Plans laid emphasis on what the government *could do* to raise and sustain economic growth This Plan, however, shifts emphasis to what the GOK *must do* to facilitate the private sector to be able to invest in productive activities. With high incidence of poverty, the Plan attempted to take deliberate measures to mobilize savings, maximize investments and create an enabling environment for the private sector to thrive Under this Plan, rural areas characterized by limited employment opportunities, low incomes, and ... two major strategies for promoting rural development were the DFRD and the rural urban balance strategy (RUBS) A major organ for the implementation of these strategies was the DDC

The *Ninth National and District Development Plan (2002-2008)* makes a dramatic shift from the Five Year Planning Period to Seven Year (Kenya, 2002) The theme of this

Plan is "effective management for sustainable economic growth and poverty reduction" The Plan does take due cognizance of DFRD and advocate from its reform to make it pro-poor and community level consultative process towards poverty reduction by the year 2015 Thus, it calls for the revamping of the DFRD as the springboard upon which its implementation will thrive However in December 2002 Kenya held its General Elections of which a coalition of the then opposition parties won the elections and formed the government i.e the National Rainbow Coalition (NARC) The latter after taking office embarked on new dispensation aimed at jumpstarting the economy in order to create additional jobs, improve governance and reduce the levels of poverty in society The government launched both "Economic Recovery for Job Creation and Poverty Reduction" And the "Economic Strategy for Wealth and Employment Creation 2003 2007" The strategies defines a new strategic direction and spells out priorities that will lead to rapid economic growth projected to realize real growth rate of around 2.0 per cent upon implementation The strategies details objectives, expected outcomes and actions necessary to implement the recovery strategy They also details costing and a financial framework and most importantly, a framework for monitoring that should enable Kenyans and other stakeholders to monitor the recovery process There is however no mention of community participation in the strategy's implementation (Economic Survey, 2003)

Finally, from the above analysis, we can identify four broad areas of regional planning policy, which have been pursued by the GOK over space and time They include rural urban balance, growth with distribution, linkages of physical and sectoral sectors and

efficient urban manpower policy. All these policies fall within concepts of *planning from above* but without explicit mention of community participation.

2.3 District Focus for Rural Development Strategy

"The districts will become the centers for development in the rural areas and I have instructed all ministries to ensure that this new approach is put into full operation by 1st July 1983." (Kenya, 1984:2)

The above statement by ex-President Daniel Arap Moi, contained in the DFRD "Blue Book", provides the *modus operendum* of the DFRD. The "Blue Book" is a synthesis of contributions from the centre and the field, addresses the broad issues, and provides guiding principles for use in dealing with more specific development issues. The strategy of the DFRD is based on the ministries and districts having complementary responsibilities. Responsibility for the operational aspects of rural development is to the districts. Responsibility for broad policy, and the planning and implementation of multi district and national projects, however, remain with the ministries. The objective is to broaden the base of rural development effort, encouraging local initiative that will complement the ministries role, thus improving the productivity of the development work and increasing effectiveness in problem identification, resources mobilization and project implementation.

The ministries work with the districts both on local projects and on multi district and national programmes. The guiding priorities for development in the district are set down

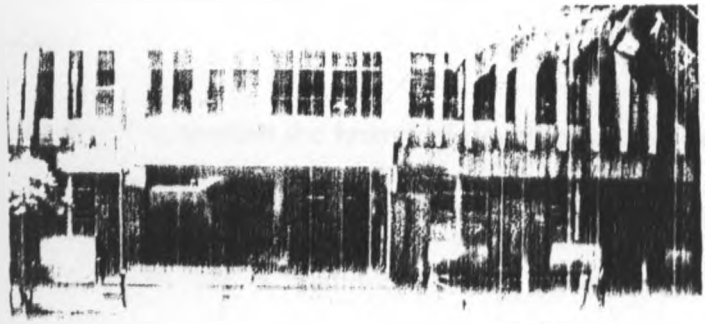
in the District Development Plan (DDP). For the local projects, each ministry inform each district of the amount of money it will make available for the district, and the policy guidelines to be used by the district in selecting projects. The districts working within the funding ceiling and policy guidelines identify and plan high priority projects to be submitted to the ministry for funding. If the district proposals are within the ceiling and fit the guidelines, the ministry funds the projects. The district then coordinates the implementation (Kenya, 1983a).

For multi district and national programmes, the districts submit their priorities to the ministries, and the ministries use this information in planning their activities. Districts and ministries will cooperate on programme implementation. The District Development Committee (DDCs) are responsible for the definition of priorities for locally-identified projects coming through the Divisional Development Committees, identification of district wide needs and opportunities, establishment of project priorities, preparation of the district development plan, and the design of projects which fit within the priorities of the plan and guidelines and funding ceilings established by the ministries. District Treasuries have been strengthened so that they can better serve development activities in the districts. Authorities to incur expenditure are issued by title ministries directly to their district representatives. District Tender Boards have been strengthened to facilitate local procurements (Kenya, 1983b).

From the foregoing discussions in this chapter, there is no doubt that the history of decentralization of planning in Kenya has been mentioned tangentially since the late

1960's and 1970's. A major impetus behind the decision to implement the DFRD strategy was the concern for more effective use of domestic resources. This concern had been expressed earlier in the 1982 report by the "Working Party on Government Expenditure". The report had noted that planning and coordination of development had become a complex process, which could only be easily managed at district level (Kenya, 1983). The implementation of the DFRD strategy began in early 1983 when the districts were required to prepare their district regional plans for the 1984-1988 National Development Plan. Draft plans for each district were completed with the assistance of the rural planning Division and the Harvard Institute for International Development (Cohen and Cook, 1985). Today, the Office of the President and the Ministry of Planning and National Development coordinates the programme (Plate 2 and 3)

Plate 2: View of Busia Town (showing the District Headquarters)



Busia district: The District Headquarters and the seat of Government. The district comprises of Budalangi, Nambale, Funyula, Matayos, Busia Township and Butula Division with apopulation of 391,913 (1999 Pop. Census). *(Photo courtesy: JUMA Peter, 2001).*

Plate 3: **View of Busia Town (Showing the District Development Office)**

Busia district: The District Development Office responsible for the management and the implementation of the District Focus for Rural Development (DFRD) Policy *(Photo courtesy: JUMA Peter, 2001).*

2.4 Conclusion

This chapter has examined in tandem the historical development of Regional Planning Strategies in Kenya from the colonial times to the year 2003 It has shown that the National Development Plans are a Statutory Policy documents that outline the development policies, and strategies to be pursued by the government and other development agencies Besides, the Natural Development Plans, the Government has also been preparing and implementing other long-term media and short-term national regional and sector-specific plans. For example, the "Sessional Paper No 10 of 1965 on African Socialism and its Applications to Planning in Kenya" was the first long-term policy document to formally address the nation's priority problems of poverty, ignorance and disease while numerous Sessional Papers have been prepared since then to address

other pertinent challenges the National Poverty Eradication Plan (NPEP) of 1999 presents the contemporary long-term framework of talking poverty that currently afflicts an estimated 56 per cent of the Kenyan population Lately the Poverty Reduction Strategy paper and NARC ... are the series of short-term instruments to implement the NPEP (Kenya, 2002) However, one major conclusion is that the state of under development, poverty, bad governance, crippling foreign-debt-repayment makes it difficult for the GOK to implement fully any of the proposed projects and programs within the National Development Plans or the District Development Plans The over-reliance on donor-aid, since independence has exacerbated the triple problems of ignorance, disease and poverty In the past consultations with the community and plan implementation reviews have shown poor linkages between policy formulation, planning, budgeting processes have partly contributed to the limited realization of intended objectives (Kenya, 2002) In conclusion, there is no community participation in urban and regional planning strategies over time and space in Kenya

CHAPTER THREE

THE STUDY AREA

3.1 Introduction

This chapter examines the physical and the human geography of the study area i.e. Busia district. It starts by discussing the physical and human geography of Busia district as whole. The chapter analyses population increase *vis-a-vis* socio-economic development in the area; it also looks at development projects and how they have impacted on the local community. Finally, the chapter concludes by recommending that community level based policies are suited for reducing the high dependency ratio in the District.

3.2 Administration

3.2.1 Location and Size

Busia district is one of the six districts that form Western province. It is bordered by Kakamega and Bungoma districts to the East, Teso District to the North, Siaya District to the South East and the Republic of Uganda to the West. The district lies between latitude 0^{0} and 50^{0} North and longitude $33^{0}54^{0}$ East. It covers an area of 126 square kilometres. The district is divided into six Divisions namely: Nambale, Butula, Funyula, Budalangi, Matayos and Busia township (Figures 3.1 and 3.2).

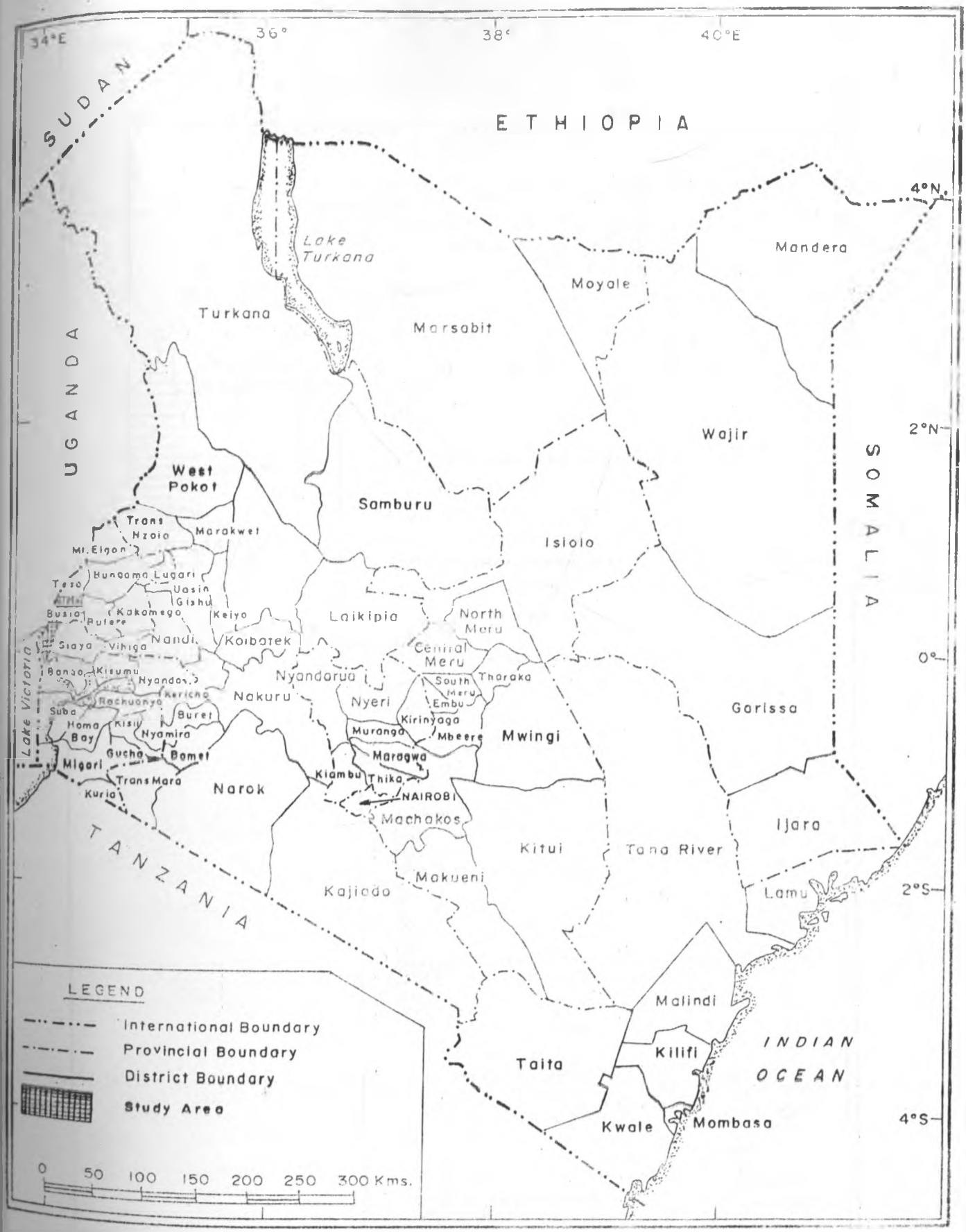


Figure: 2 Location of Busia District in Kenya.
Source: District Development Plan, Busia, 2002-2008.

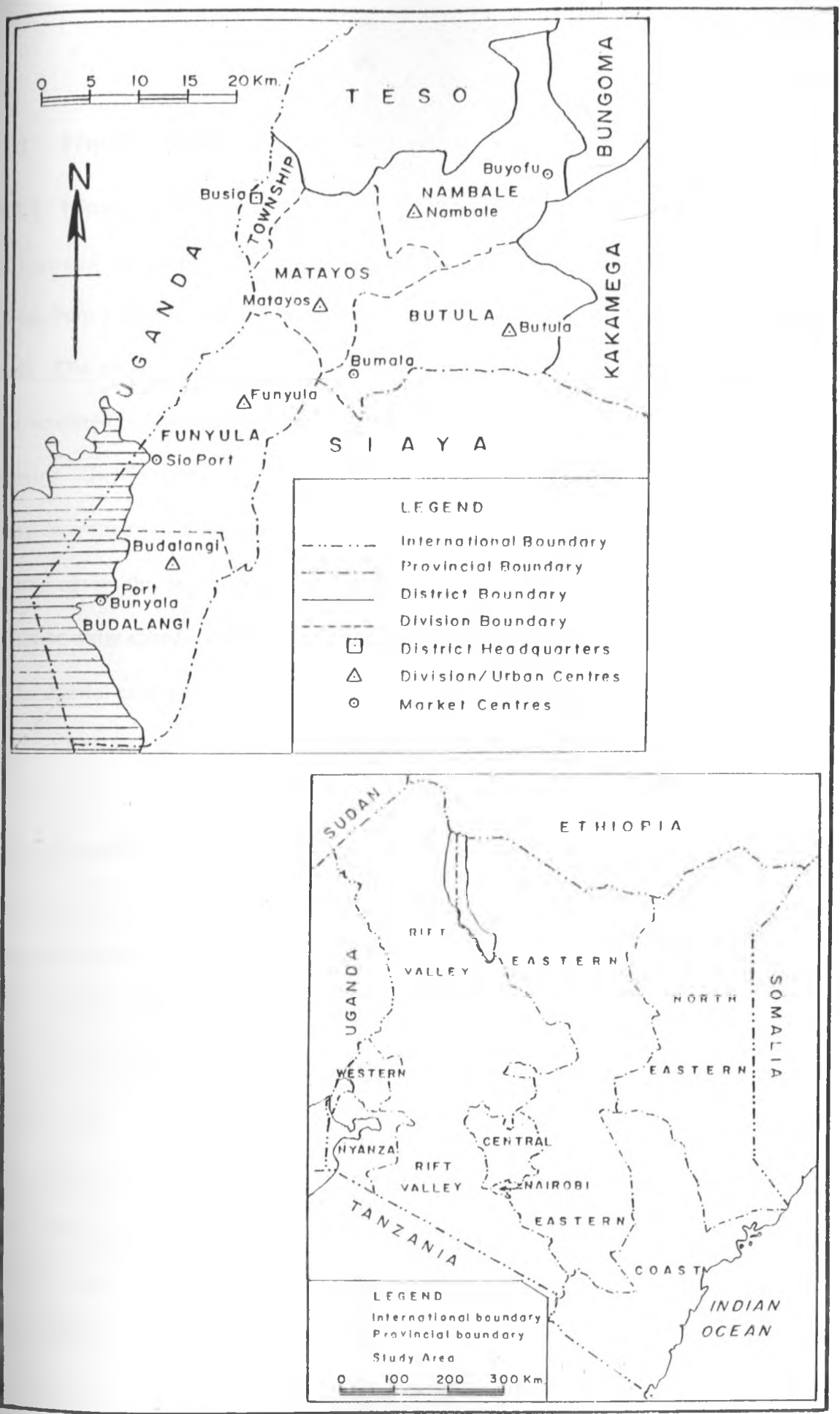


Figure: 3 Busia District, Administrative Boundaries.
Source: District Development Plan, Busia, 2002-2008.

3.3 Physiography

3.3.1 Topography

In terms of topography, the district falls within the Lake Victoria Basin The altitude varies from 1130m, on the shores of Lake Victoria, to 1375m in the Central and Northern Parts The central parts, especially Butula and Nambale Divisions, occupy a plain characterized by low divides capped by laterites and shallow- incised swampy drainage systems The Southern part is covered by a range of hills comprising the Samia and Funyula, which run from northeast to southwest culminating at Port Victoria The Yala swamp covers this region The latter forms a colony of papyrus growth and is broken by irregular water channels and occasional small lakes with grassy islands The lower parts of the district covering parts of Funyula and south of Budalangi have a fairly flat terrain Two main rivers i.e Nzoia and Suo drain into Lake Victoria (Kenya, 1997)

3.3.2 Climate

Two main rainy seasons are experienced in the district the long rains start in March and continue into May, while the short rains start in August and continue into October Dry spells are from December through February Mean annual rainfall is 1500mm while fluctuation range between 760mm and 1790mm. The climate supports two cropping seasons during the year Some crops are however grown all year round During the long rains, crops such as maize, sorghum, sweet potatoes, Soya beans, cowpeas, green grams, beans and onions are grown in most parts of the district The same crops are grown during the short rains but with an addition of quick maturing crops such as kales, simsim and sunflower.

The climate also support crops that grow all the year round or have long gestation period such as sugarcane, robusta coffee, cassava, avocados, sisal, bananas and various types of vegetables. The mean annual maximum temperature ranges from 26°C and 30°C while the annual mean temperature varies from between 14°C and 18°C. The evaporation in the district is between 1800mm and 2000mm per year. The high proximity of district to Lake Victoria renders humidity of the area to be relatively high (Kenya, 1997).

3.4 Demographic trends

Based on the 1999 population census there were 369,459 people in Busia district. The population growth rate is about 2.95 per cent per annum and rose to a population of 391,913 persons in the year 2001 (Table 3.1). The district has a high dependency ratio estimated at 100:138. Sixty per cent of the districts total population is below 25 years. The rural areas are characterized by an absence of males who tend to migrate to urban centers such as Busia, Port Victoria, Bumala, Nambale and Funyula in search of employment. In terms of distribution and density, Butula Division has the highest population (2 per cent) followed by Funyula Division (22 per cent).

Table 3.1: Population Projections by Division

Division	1987	1989	1999	2001
Nambale	45,187	57,215	60,692	64,380
Butula	71,429	90,442	95,939	101,769
Funyula	60,180	76,198	80,829	85,742
Budalangi	38,001	48,116	51,040	54,142
Busia Township	18,334	23,214	24,624	26,122
Matayos	41,943	53,107	56,334	59,758
Total	275,074	348,292	369,459	391,913

Source: National Poverty Reduction Strategy Paper, 2001 (Kenya, 2001)

In terms of urban population, statistics from the "1999 National Population and Housing Census" indicate that only Busia Municipality and Nambale Town had a population of above 2,000 people. According to the census, Busia had a population of 20,781 while Nambale, Port Victoria, Funyula and Bumala populations are growing very fast.

3.5 Socio-Economic Profile

3.5.1 Agricultural and Livestock Activities

In Busia district both subsistence and cash crops are grown on small scale farms. These crops range from maize, coffee, tobacco to sugarcane and cotton. Most people depend on food crops (subsistence) for their livelihood. These subsistence crops play a pivotal role in the districts food security. Both the agricultural and livestock sectors have the potential to support industrial development both in terms of income generated from the sales of farm produce and as a source of raw materials for the industrial enterprises. However, full exploitation of agricultural and livestock potential have been hampered by low adoption rates of modern technology such as application of fertilizers, use of hybrid seeds and use of modern farming techniques. In addition, the livestock sector has been plagued by the cultural practice of mass-stocking of traditional herds. Furthermore, both sectors have been left in the hands of women. This has hampered effective decision-making as regards to sustainable farm management and output. Finally, poor marketing and lack of credit facilities has been a great impediment to the growth of these sectors.

3.5.2 Industrial Activities

Manufacturing industries are not well developed in Busia. The few processing factories existing in the district include bakeries located in Busia Town and in Funyula Division. The district has potential for industries in a number of areas. There is a great potential for fish processing plant. Currently, fish in the district is sold to middlemen who transport to areas outside the district for processing. If a fish processing plant is opened in the district, production of fish will increase. Port Victoria or Sio Port are the centres, where fish processing could be located. (Plate 4 and 5)

Other industries, which can be established either at Bumala or Funyula is a milling plant for processing sorghum, cassava, and finger millet. These raw materials are locally available and are produced in large quantities by the small-scale farmers throughout the district. Sugarcane has also a lot of potential in the region. There is also potential for growing oil crops, which can be used in oil processing firms. Most of the small businesses in Busia District are found within the small market centres. The enterprises are small both in number of employees and the start up capital. These businesses provide a crucial avenue of access into the economic mainstream, some women have fully moved into various forms of business such as fish and vegetable vending, selling of second hand clothes and running retail shop, which has greatly augmented their incomes (Kenya, 2001) (Plate 6)

Plate 4: **Agriculture (Sugarcane Farming in Nambale Division)**

Plate 5: **Fishing (Nile Perch at Port Victoria, Budalang'i Division)**

Busia district

There are no manufacturing industries in the district for agricultural products such as sugarcane and fish. Although there is great potential for agricultural development in the district especially for oil crops and sorghum, which have not been exploited to produce an access of the district into the economic main stream of the country. *(Photo courtesy: JUMA Peter, 2001)*

Plate 6: **View of Busia Town (The banking facilities and the "Mitumba" Second-hand clothing business)**

Busia District

Banking facilities exist in Busia town such as National Bank of Kenya Ltd and Kenya Commercial Bank catering for diverse business clientle as well as the informal sector e g the second hand clothes "Mitumba" business in the foreground *(Photo courtesy: JUMA Peter, 2001)*

3.5.3 Commerce

3.5.3.1 Formal Sector

Since the district is on the border with Uganda, various business activities are carried out especially at Busia Town, Port Victoria, Sio Port, Funyula and Bumala markets. The type of business activities range from wholesale to retail trade. Retail trade comprises mainly small shops scattered all over the district with high concentration in market and urban centres like Bumala and Port Victoria. The traders mainly sell consumer goods, such as soap, sugar and salt. Many of the retail traders operate on a very low capital base. This can be attributed to liberalization and opening of the border trade which has made most of the local people to be unable to compete under the free market situation. This has pushed some traders out of the market. There is no clear trend of growth of commercial and industrial activities. However, there is a general trend between 1993 to 1995, then downward from 1996-99. This shows that the formal sector seems to have stagnated overtime. The declining growth can be attributed to various factors. This includes lack of a well-developed modern sector, which could be served by these enterprises. The rapid growth of the formal sector also seems to have taken a large portion of the market. Another factor that has largely been attributed to the closure of many wholesale shops was the opening-up of the border with Uganda (Kenya, 2001).

3.5.3.2 Informal Sector

This sector is becoming common among the major towns such as Busia Township, Nambale, Funyula, Bumala and Port Victoria and it is becoming a major source of employment. The sector includes carpentry, tailoring, bicycle repair, brick making, steel

metal fabrications, welding, building and construction, electronics, plumbing, food stalls, all on small scale. The sale of second hand clothes is spreading throughout the district and it is employing a substantial number of people. The sector has potential for development and has ready market for its products (Kenya, 2001)

The fastest growing activities in the district include building and construction, steel and metal fabrication, carpentry, tailoring, bicycle repair, among others. The growth in the building and construction has been high in major towns like Busia, Nambale, Port Victoria due to the high demand for housing both for commercial and residential purposes and also the extension of the Rural Electrification Programme to most rural towns. Carpentry and tailoring has been on the rise also in the district. This is attributed to the increasing number of polytechnic graduates and the ease of entry. Some only require on-the-job training. Another trade, which has been on the upward trend, has been a food stall and "boda-boda" or bicycle transport, which comes up to serve the increasing rural-urban population. There are several Jua Kali Associations, located in Nambale, Busia township, Funyula, Murumba, Sio Port and Port Victoria. These associations are commonly faced with the problems of inaccessibility to credit facilities, lack of warehouse/show rooms to store their products, poor management, lack of funds and poor marketing for their goods (Kenya, 2001)

3.5.4 Infrastructure

Most of the roads in the district are earth roads, which are impassable during the rainy seasons. This has hampered the delivery of farm produce and perishable products such as fish and milk. Regular flooding of Nzoia and Sio rivers in the southern part of Budalangi and Funyula Divisions also leaves many roads in a very deplorable state. On the other hand, lack of funds for maintenance of these roads has aggravated the situation. This has forced the local community to depend on bicycles as a mode of transport. Postal and telecommunication services are well distributed in the district but are also prone to break downs. There is one airstrip at Busia town. Finally, lack of adequate energy supply is a major constraint to industrialization in the district. Rural electrification program has not adequately covered all the high potential areas. This has adversely affected both the performance and development of small-scale industries. Lastly, there exists large potential of surface and sub-surface water resources, but they have not been harnessed for both industry and domestic use. The local communities have resorted to use of small scale water schemes such as shallow wells, spring protection and earth dams than the large schemes since the former are easy to maintain and sustain (Plate 7 (a and b)

Plate 7(a): Water Schemes

Plate 7(b) Water Schemes

Busia district

Water schemes in the district have been put up by the government, NGOs and the local community. Small community-based water schemes such as shallow wells have been success stores in the district. While large government initiated ones under the DFRD policy have virtually collapsed *(Photo courtesy: JUMA Peter, 2001)*.

3.5.5 Education Facilities

The district has 27 secondary schools, 225 primary schools, 241 Early Childhood Developments (ECDs) schools, 8 youth polytechnics, 1 farmer training center and 3 family life training centers. Most of the school facilities in the district are over utilized due to compulsory free Universal Primary Education (UPE) whereas at the post-primary level there is a high drop-out rates due to poverty early marriage and pregnancies (Plate 8 a and b)

3.5.6 Health Facilities

The total number of health facilities in the district is 28 out of which 2 are government hospitals, 5 private nursing homes, 17 dispensaries and health centers and 4 are private. The level of utilization of these health facilities in the district has dramatically increased due to the introduction of free medical services in government hospitals by the GOK for patients in dispensaries and health centers (Kenya, 2004)

3.6 Development Indicators in Busia District

Since the Presidential issuance of the DFRD policy in 1983 in Kenya, there has been a concerted effort both by the GOK and the local community in Busia district to raise funds and develop the area. The government has planned and heavily funded social-welfare projects in the district such as hospitals, schools, roads, telephones, water schemes among others. The funding of these projects have been from the central government without community participation in their planning. Such that by the year 2002 over 70 per cent of all government-sponsored programmes never bore fruit ('white elephants") while others

had mixed levels of success due to poor co-ordination, apathy by the local community, unaccountable leadership and misappropriation of funds at the district level. On the other hand, community-initiated small scale projects, though being initiated with high degree of self motivation and eagerness have been plagued by many intervening factors such as poverty, lack of technical know-how, limited funds, gender imbalance, apathy, politics and improper systems of sustainability. The result is that Busia district has continued to be steeped in poverty, a high dependency ratio and unemployment (Plate 9)

Plate 8(a): Education Pre-primary, primary and secondary schools in Budalang'i District

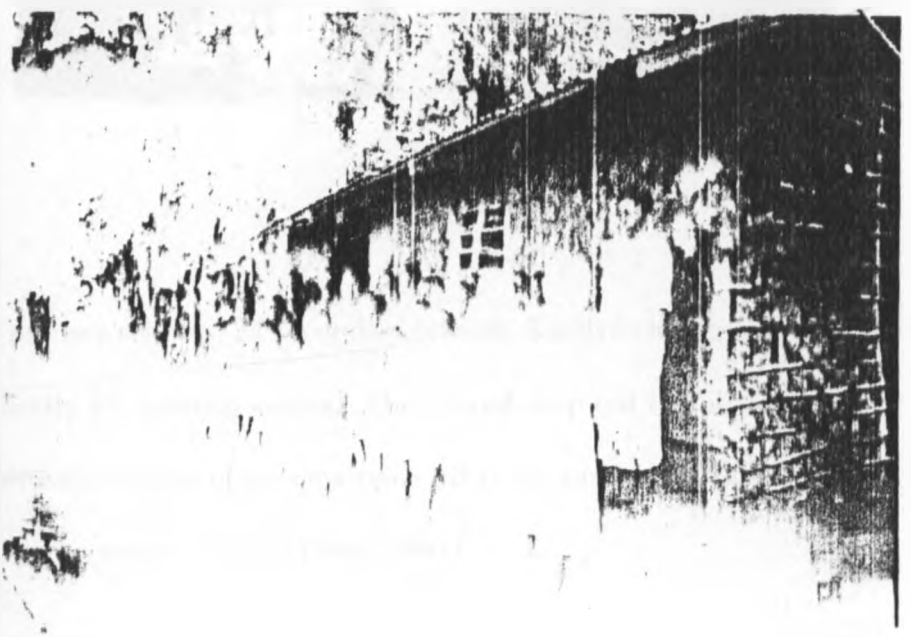


Plate 8(b) : Education Pre-primary, primary and secondary schools in Budalang'i District

Busia district

There are 225 primary schools, 27 secondary schools, 8 polytechnics, 1 farmers training center and 3 family life training center The school drop out rate is very high due to poverty and cultural practices of girls marrying off at any early age Adult literacy rate is 60 per cent *(Photo courtesy: JUMA Peter, 2001).*

Plate 9: Widespread Poverty and Rural Neglect

Busia district

The district is characterized by widespread poverty and rural neglect *(Photo courtesy JUMA Peter, 2001).*

Table: 3.2: ***Summary of District Poverty Assessment Report in Busia District***

CAUSES OF POVERTY IN THE DISTRICT	PAST AND PRESENT PROGRAMS FOR POVERTY ERADICATION IN THE DISTRICT	PROPOSED POVERTY REDUCTION INTERVENTIONS	DEVELOPMENT PARTNERS
• Poor infrastructure • Floods and drought • Illiteracy • HIV/AIDS • Low morale towards agricultural activities • Late payments in cooperatives • High cost of education • Poor health of children and parents • Poor access to clean water for drinking • Lack of and poor access to capital, credit and management • Poor development of appropriate technology • Food insecurity • Gender imbalance • Poor farming methods • Over-reliance on handouts from relatives	• Construction of a dyke on Nzoia banks • Small scale irrigation schemes • Tsetse control • Seminars • HIV/AIDs • Water and sanitation • Small scale lending micro projects • Health facilities • Training and visits	• Improved agriculture by irrigation • Health education • HIV/AIDS awareness • Fish storage facilities • Improvement of infrastructure	• Church organizations e.g Catholic, Anglican • NGOs e.g Kenya Red Cross, Action Aid, World vision, ADEO, CARE,YMCA, DAN, ICS, MS-Spain, PATH • Boda-Boda Associations • Women and Youth • groups

Source: District Poverty Assessment Reports: 15 Government Printer, 2000, Nairobi

3.7 Conclusion

This chapter has examined in detail the physical and the social economic characteristics of the study area, Busia District. It is evident from the government records (Kenya, 2001) that the population growth rate of the district has been growing at an annual rate of 2.95 per cent per annum compared with the national growth rate of 2.5 per cent per annum (Kenya, 2003). This population is characterized by more than 60 per cent being young; and heavily dependent. The dependency ratio in the district is 100:138. This scenario has created a bigger burden on the efforts of the government to provide social welfare services. The only alternative has been the emergence of a highly competitive informal sector and civil society organizations to address the problem of unemployment *visa-vis* population increase.

CHAPTER FOUR

METHODOLOGY

4.1 Introduction

This chapter examines the theoretical and applied methods of data collection and data analysis applied by the study. The first undertaking of this study involved a detailed review of urban and regional planning policies using Busia district as a case experience, with a view to identify the DFRD framework. Data for this study was derived from two sources: primary data and secondary data. Secondary data were derived from scholarly journals, theses and dissertations, government documents, papers presented at conferences, books, references quoted in books, international indices, abstracts, periodicals, grey literature, computer search, microfilm, and internet. Primary data was obtained from the information gathered during the fieldwork.

In this methodological part of the thesis, purposive sampling design was applied with administration of a set of questionnaire. The Factor Analysis (FA) statistical test was applied by deriving cross-sectoral development indicators in Busia district between 1983 - 2002.

The second stage was the familiarization tour of the study area in order to provide a sample design. In addition, necessary writing materials, questionnaire, a camera and base map were used; as well as the services of an assistant during the fieldwork. Purposive sampling procedure was used in the study to pick up the number of respondents to be

interviewed This was necessary because the respondents i e chiefs were informative and possessed the required characteristics

The third stage involved interviews with the randomly selected government ministry representatives and other development partners in the study district These interviews were informal and covered a wide range of discussions on the various development aspects of the district since the inception of DFRD Often, this lead to perusal of not only government reports and files but also of the development partners' documents

The fourth stage involved visit to ten sampled out of 28 in the district Basically the aim was to interview chiefs/assistant chiefs on selected development aspects of their locations These interviews were guided by a questionnaire (see appendix I and plate 10). formed the most important source of data for the study These locations were - Magombe, Mudembi, Sigiri, Funyula, Wakhungu, Sigalame, Buburi, Naseya, Nambale and Lugulu

The final stage was my participation in both the District Development Committees and constituencies/Locational Development Committees (LDC's) as well as seminars and activities organized by NGOs and CBOs in the study area

Plate 10: Chief's Office – Nambale Division

Busia district

The Chief's Office in Nambale Division Chief's formed the most important source of data for the study as the principle respondents to the questionnaire (see appendix 1)

(Photo courtesy: JUMA Peter, 2001).

4.2 Sampling design

For this study, which is on "the role of community participation in DFRD planning using Busia district as a case study", purposive sampling procedure was used. This was because the nature of the study required in-depth information on aspects of development and, therefore, cases or subjects were handpicked on the basis of their knowledge and skill (Borg *et al*., 1993). Use of chiefs as the principle respondent to the questionnaire in this regard is somewhat variant of the expert opinion phenomena adopted in many scientific research studies related to development. As stated earlier, the use of chiefs was because they are instructive and therefore offer in-depth knowledge. Chiefs in Kenya, who are the top administrative authorities of locations that group up to form Divisions, have extensive and exemplary knowledge of these small areas under their administrative jurisdiction. The top administrative hierarchy for Kenya, in descending order is from the Central Government to Provinces, Districts, Divisions, Locations and Sub Locations. Provinces are headed by Provincial Commissioners, District Commissioners head Districts, Divisional Officers for the Divisions, Chiefs for Locations and Assistant Chiefs for sub locations (Kituuka, 1988). On the average, the location, which was chosen as the modular sub area for analysis, would have about 4 to 7 sub locations.

4.2.1 Population

A population is a complete set of individuals, cases or subjects with some common observable characteristics (Mugenda, 1999). For this study, the population was the total number of DC, DDO, DO, chiefs, assistant chiefs, NGOs, CBOs, and other Community members engaged in development issues in Busia district (Table 4.1). Since it is

planning policy in Busia District, only an accessible population or sample was under investigation. In deed the sample chosen was the most representative of the target population in Busia district depicting the role of community participation in the DFRD planning strategy

Table 4.1: Size Population visa-vis total population

Cluster	Accessible	Total
DC	1	1
DDO	1	1
DO	3	9
Chiefs	7	28
Assistant Chiefs	3	93
Heads of Departments	8	10
NGOs (International)	3	7
NGOs (Local)	2	26
CBOs	6	117
SHGs	8	828
Cooperative Societies	1	14
Retirees	10	3771
Disabled groups	1	40
Teachers	5	2500
Business persons	3	9111
Jua Kali groups	2	12,922
Youth groups	5	26,373
Councilors	4	56
Religious groups	3	717
Others e.g. tourists	1	40
Total	74	56,664

Source: Compiled by Author

4.2.2 Sample Frame

After deciding on the sample size, the next step was to select subjects or cases to be included in the sample. To select a representative sample, a list of cases was accessed In this study the sample frame was a list of District Officers, Chiefs and Assistant Chiefs,

In this study the sample frame was a list of District Officers, Chiefs and Assistant Chiefs, NGOs, CBOs, development projects between 1983 and 2002 in Busia district. This information was obtained from the District Development Plans and other government documents.

4.2.3 Sample Size

The sample for this study was selected from the total accessible population in Busia District. The sample was large enough to represent the salient characteristics of the target population. This was 0.13 per cent (Table 4.2).

4.3 Procedures of Data Analysis

The first step taken after data collection was to edit them, in order to ascertain their accuracy as well as possible omissions and errors detected were corrected. The wrong and irrelevant answers were carefully deleted only leaving the right information. The next step after data editing was data entry into the computer. Methods of statistical associations were used to analyze quantitative data using SPSS programme. Two methods of data analysis were employed in this study. These were qualitative and quantitative. These helped in analyzing the raw data got from the field. The descriptive analysis was important in analysing how variables are distributed. It also helped to summarize a large quantity of collected raw data. According to Patton (1987:9), while quantitative data would allow the use of standardized measures that fit various opinions and experiences into predetermined response categories, "qualitative data permits the study of a few selected issues, cases, events in depth and detail, the fact that data

collection is not constrained by predetermined categories of analysis contributes to the depth and detail of qualitative data "

In this methodological part of the thesis, summaries of the data collected were subjected to more vigorous multivariate analysis, first, to derive the principal components (PC) of the data structure All these data were considered to form a *prima facie* evidence of the role of community participation within the theoretical framework of the DFRD Thirty five variables/cases were selected for multivariate analysis This was based on the apparent reliability of the data considering its source, the extent to which data was considered representative of a significant aspect of development, and was in conformity with some form of elimination process to ensure that nothing of importance was left out The selected variables were spread over a wide range of areas of regional planning including social, economic, service structures and physical development patterns Intuitive judgement had to be used in this selection process, while recognizing that problems always arise in relation to general, rather abstract concepts like *community participation* to statistical information that is limited in scope and details

Table 4.2: Thirty five Variables of the Study in 3 Locations of Nambale, Funyula and Budalang'i

			Yr 1(2001)	Yr 2 (1983)
1	NOLOCA	Number of locations	14	7
2	NOSLOC	Number of sub-locations	29	19
3	POPULT	Population of the area (1999)	41,402	13,948
4	POPDEN	Population density per square Km	347	99
5	NOAE	Number of agricultural and industrial enterprises	461	1
6	NOSC	Number of schools	41	12
7	NOCHF	Number of communal health facilities	11	3
8	NOCD	Number of cattle dips	22	39
9	NOPWSC	Number of government water facilities	142	11
10	TLOTRE	Total length of tarmac road	22	14
11	NOPOD	Number of places for DFRD policy dissemination	4	4
12	NOHPS	Number of "Harambee" projects	16	29
13	NOWG	Number of women groups	154	24
14	NOYG	Number of youth groups	76	-
15	NONGOS	Number of NGOs in the Area	8	1
16	NOJKE	Number of Jua Kali establishments	2,020	74
17	NOCBOS	Number of CBOs in the Area	21	-
18	TNES	Total number of energy sources	7	2
19	NOCOG	Number if co-operative groups	7	9
20	NOPOS	Number of postal services in the area	4	1
21	NOTLS	Number of telephone lines subscribers in the area	36	4
22	NOBAS	Number of banking services in the area	4	6
23	NOAS	Number of airstrips	1	1
24	NOMDEP	Number of major development priorities	9	5
25	NOLDC	Number of locational development committees	4	-
26	NOVC	Number of urban centers	4	1
27	NOLDCM	Number of locational development committee meetings per month	4	1
28	NOCLDCM	Number of composition of locational development per month committees	9	-
29	GCOPMC	Gender composition of locational development committees	2	-
30	ANOPALDC	Average number of projects approved by the locational development committee	2	-
31	ANOPROF	Average number of projects funded per month	1	-
32	ANOPRFI	Average number of projects funded and implemented	1	-
33	ANOPRIC	Average number of projects identified by the locational development committee in a year	5	-
34	ANOSOH	Number of social halls	2	1
35	NOREF	Number of religious facilities	14	2

Source: Fieldwork, 2001

The above data was based on the spatial index of development within three locations of Nambale, Fungula and Budalang'i in Busia district. They were categorized into the following subsets/factors housing agriculture, energy, tourism, manufacturing, water, education, health, commerce, communication, population, banking, etc. These indicators of development correlated as factors, served as proxies or partial measures of participation in the DFRD planning strategy implementation in Busia district.

The technique of Factor Analysis (FA) was used to explain the role of community participation in DFRD planning, because as Nancy Baster (1972) observed, the macro-level relations between economic and social variables cannot be properly analyzed through regression analysis. She further stresses, that the different social and economic factors constituting national development planning cannot be divided into those that are independent variables and those that are dependent variables - in a system model, all are dependent upon each other in varying degrees. Therefore, in determining the role of community participation in the DFRD planning, which has been reflected as a subject of multiplex phenomena, one possible solution was to establish factor scores that could assist the derivation of a composite numerical dimension of regional planning. Since it is not easy to define community participation in quantitative terms with certainity. This is where Factor Analysis comes in application.

4.3.1 Factor Analysis

4.3.1.1 Theoretical Basis

The major aim of Factor Analysis is to relate the observed variables through correlation coefficients referred to as factor loadings (Synonymous with regression coefficients in correlation analysis) to common factors. To derive an estimate, some minimum variance or 'least squares' principle has to be involved to establish the internal relationship of a set of variates and identify the most important components of the battery of data. In a regression equation the independent variables (in this case the hypothetical factors) are said to control or account for a certain proportion of the variance in the dependent variable. The importance of a certain factor for a given variable that can be accounted for by the factor. The fundamental factor thereon is to find out the sources of community variation (or correlation), variables that are correlated would be grouped together. For example the variance of the variable **j** accounted by factor **i** would be the square of the respective factor loading a^2ji. The factor model would therefore be expressed as

$$Zj = aj_1 F_1 + aj_2 F_2 \ldots\ldots + ajnFn$$

where each of the Zj observed variables is described linearly in terms of new uncorrelated components F_1, F_2 .....Fn, each of which is in turn defined as a linear combination of the original variables.

In one of the commonest usage of factor analysis each cluster consists of a linear combination of the initial variables produced in the study. Each factor is an **eigenvector**

of the correlation matrix among the original variables. Variables that are most intercorrelated are combined within a single factor, and the variables allocated the other factors or variables assigned to that factor with which it shows the closest linear relationship. The factors are derived in a manner that maximizes the percentage of the total variance attributed to each successive factor (given the inclusion of the preceding factors and the factors are independently uncorrelated with each other). (Adelman and Morris, 1967; Kituuka, 1988)

4.3.1.2 Justification

The Factor Analysis model was a more persuasive approach to the problem of assessing the role of community participation in the DFRD Planning Strategy than the multiple regression model. With factor analysis, a set of observed variables was easily interpreted as dependent on both observed and unobserved variables, and the variables could be interdependent in turn so that in the end, factor analysis is a study of interdependence. Factor Analysis has been found useful for many studies in areas of investigation where adequate theoretical models cannot be easily developed (Adelman and Morris, 1967). Relevant examples in Africa have been reviewed by Obudho (1985 and 1986) who states that Mabogunje in 1971 factor – analyzed the age and sex characteristics of 329 urban centres in Nigeria identifying seven components. He adds that Herber C. Weinard in 1973 used factor analysis to ascertain the presence of spread or backwash effects in the economic development of Nigeria, while a similar study was been done by T. Eighmy in 1968. In 1988 Kituuka used factor analysis to measure the level of development in Muranga district within the DFRD framework in Kenya.

The main merit of factor analysis lies in the power to simplify statistical data arising from complex and comparatively unexplored areas of scientific endeavour. L.L. Thurstone (1961:56) affirms that factor analysis is a useful multivariate statistical tool especially in those domains where basic and fruitful concepts are essentially lacking, and where crucial experiments have been difficult to conceive. Use of factor analysis of variance, for small sub-national areas like a district in Kenya to determine the role of community participation in DFRD planning is supported by the fact that it is difficult to formulate a theoretical model law or concept of the planning phenomena, especially due to the diverse range of indecisive and unreliable planning data. In essence, community participation in any planning policy such as the DFRD is increasingly more analytical, abstract and homothetic (Owuor, 1995)

Therefore it becomes exceedingly tempting to utilize any available or potential data to interprete what constitutes *community participation* through intercorrelations and, reducing the large number of possible explanatory variables to a smaller number of independent factors. As in regression analysis, factor analysis breaks down the original variables into various components associated with the variation of a set of other quantities so that all variables are dependent and independent in turn. Under this model then, *community participation* is an evolving system of factors that influence and are influenced by each other, directly, or indirectly; and the degree or strength of interaction can be calculated to fairly precise magnitudes. Factor analysis, like all multivariate analyses, provide information concerning the extent of mutual interdependence (Akatch, 1999; Kituuka, 1985; Obudho, 1985)

4.3.2 Procedure

After building a hierarchy of potential data based on the fieldwork experience of development indicators in Busia District, Factor Analysis was selected Data were analyzed using the method laid out of the factor procedure available in the SPSS Starting with a selection of thirty five variables that were considered to be suited to describe the pattern of rural development in Busia district, and given various data constraints, the SPSS package had room for standardizing the data from their original form in which some data were found to be large, while others were dispropriately small The raw data was entered into the computer using Ms-Excel program Thereafter, a program was written in Statistical Analysis System (SAS), which read the data from Ms Excel into SAS and created a SAS data set A SAS program was written to perform the Factor Analysis on the data set, which produced the desired output (see Table 4 3)

Table 4.3: Principal components of the preferences

OBS	MVAR	YEAR 1	YEAR 2
1.	noloca	4	7
2.	nosloc	13	19
3.	popult	41,402	13,948
4.	popden	347	99
5.	noae	461	1
6.	nosc	41	12
7.	nochf	11	3
8.	nocd	22	39
9.	nopwsc	142	11
10.	tlotre	22	14
11.	nopod	4	4
12.	nohps	16	29
13.	nowg	154	24
14.	noyg	76	-
15.	nongos	8	1
16.	nocbos	21	-
17.	tnes	7	2
18.	nocog	7	9
19.	nopos	4	1
20.	notls	36	4
21.	nobas	4	6
22.	noas	1	1
23.	nosoh	2	1
24.	Noref	14	2
25.	nomdep	9	5
26.	noldc	4	0
27.	Nouc	4	1
28.	noldcm	1	0
29.	nocldcm	9	0
30.	gcopmc	2	0
31.	anopaldc	2	0
32.	anoprof	1	0
33.	anoprfi	1	0
34.	anopric	5	0

The SAS System

PRINCIPAL COMPONENTS OF THE PREFERENCES

Initial Factor Method: Principal Components

Prior Communality Estimates: ONE

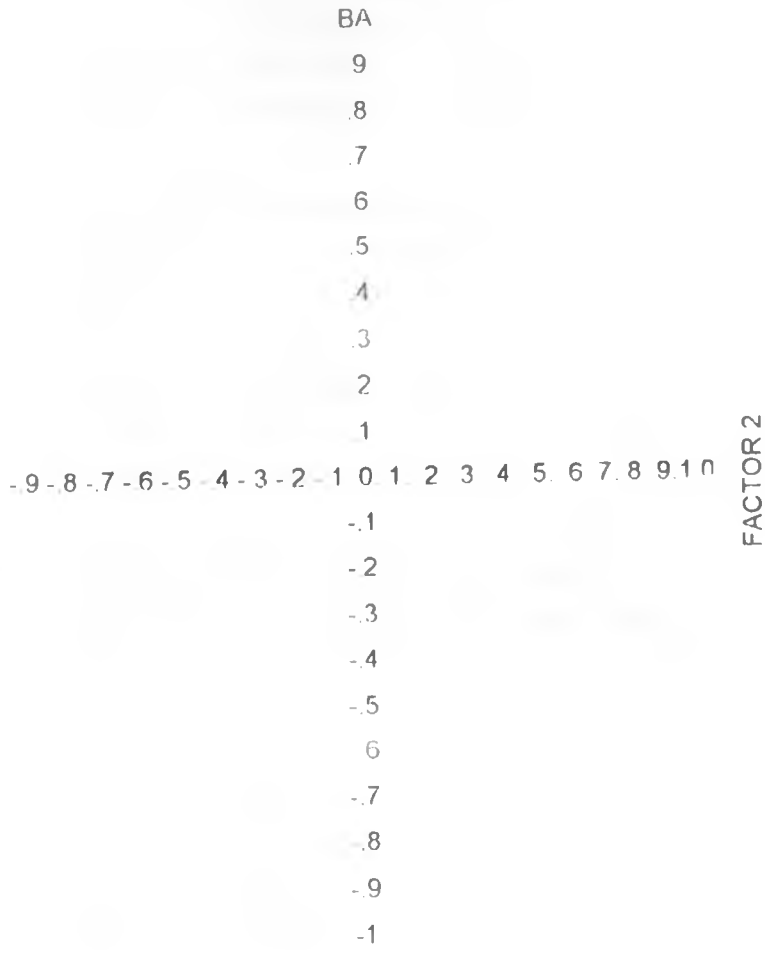
Eigenvalues of the Correlation matrix: Total = 2 Average = 1

	1	2
Eigenvalue	1 9999	0 0001

PRINCIPAL COMPONENTS OF THE PREFERENCES

Initial Factor Method: Principal Components

Plot of Factor Pattern for FACTOR 1 and FACTOR 2



YEAR 1 = A YEAR 2= B

PRINCIPAL COMPONENTS OF THE PREFERENCES

Initial Factor Method: Principal Components

Factor Pattern

	FACTOR 1	FACTOR 2
YEAR 1	0.99998	0.00602
YEAR 2	0.99998	- 0.00602

Variance explained by each factor

FACTOR 1	FACTOR 2
0.999927	0 000073

Final Community Estimates: Total = 2.000000

YEAR 1	YEAR 2
1.000000	1 000000

Scoring Coefficients Estimated by Regression

Squared Multiple Correlations of the Variables with each Factor

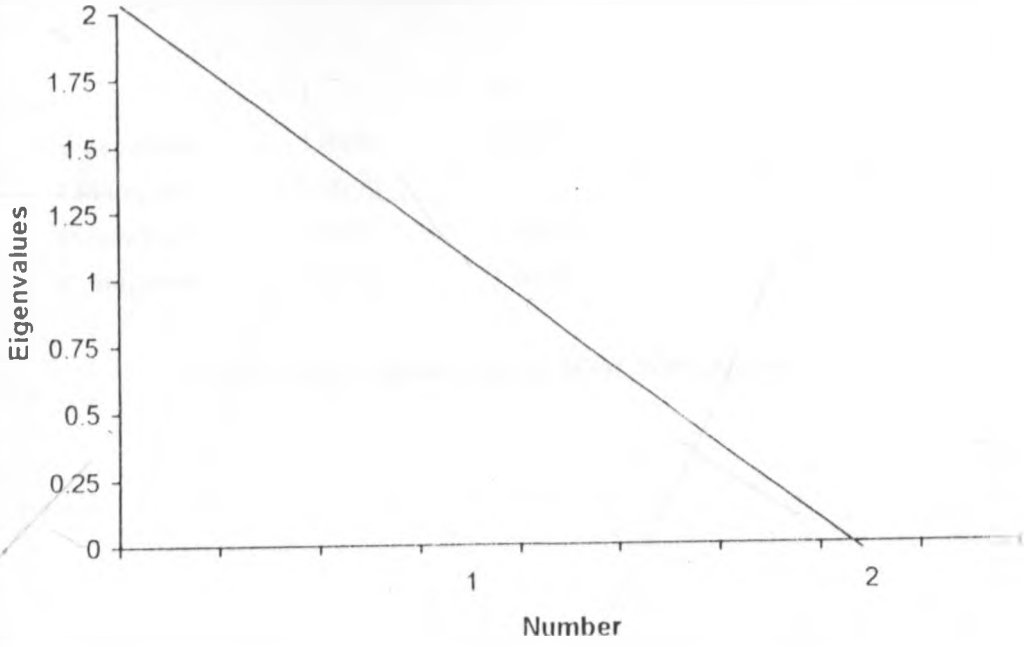
FACTOR 1	FACTOR 2
1.0	1.000000

Standardized Scoring Coefficients

	FACTOR 1	FACTOR 2
YEAR 1	0.50001	83.00139
YEAR 2	0.50001	- 83.00139

Figure 4: PRINCIPAL COMPONENTS OF THE PREFERENCES

Initial Factor Method: Principal Components



Source: Compiled by the Author

PRINCIPAL COMPONENTS OF THE PREFERENCES

Initial Factor Method: Principal Components

Prior Communality Estimates: ONE

Eigenvalues of the Correlation Matrix: Total = 2 Average = 1

	1	2
Eigenvalue	1.9999	0.0001
Difference	1.9999	
Proportion	1.0000	0.0000
Cumulative	1.0000	1.0000

2 factors will be retained by the NFACTOR criterion

4.3.3 Interpretation

The results of the FA have been summarized in the rotated factor matrix of common factor coefficients presented in Table 4.3. The entries listed, factor loading indicate the net correlation between each factor and the observed variables. Two factors were extracted, which, taken together accounted for and explained 100 per cent of the variability of this study. In order to facilitate ease of interpretation, vectors with small eigenvalues on them have been neglected, since their contribution to the variance of the individual measurement is small (0.0001). The variance explained by each factor (F1=1.999927; F2=0.00073) gave a total final communality estimate (2.000000) and a standardized scoring coefficient (F1=0.50001; F2= -83.00139).

Although a strong relationship (0.9998) was observed on the success of community participation in DFRD Policy Planning in 1983 (F1), this however tended to have taken a downward (weak) trend (0.000602) in the year 2002 (F2). The significance of this observed relationship is that the variables in the study affect each other strongly; and hence are mutually interdependent (1.000000). In conclusion, community participation in DFRD Planning Policy implementation is an evolving system of factors that influence and are influenced by each other, directly or indirectly within Busia District. There is no one single observed causative factor (F1, F2=1, P› 0.05). Finally the variables in this study affect each other strongly i.e they are interdependent. Of the two factors extracted, in factor –1 (Year 1) the variables are closely correlated while in factor –2 (Year 2), there is a weak correlation. This therefore calls for us to cluster them in one group without any further statistical application under the SAS.

4.4 Conclusion

This chapter has discussed in detail the research methodology applied in the study. It has provided the type of information collected, how it was collected and the units of analysis. The results of the research is that community participation in DFRD planning policy implementation is an evolving system of factors that influence and is influenced by each other, directly or indirectly within Busia district. There is no single observed causative factor ($F1, F2 = 1, P > 0.05$). Thus the study findings support the view that the observed structure and pattern of rural development in Busia district since the inception of the DFRD in 1983 to 2003 forms a *prima facie* data correlation on the role of community participation in the DFRD policy implementation.

CHAPTER FIVE

COMMUNITY PARTICIPATION IN DISTRICT FOCUS FOR RURAL DEVELOPMENT PLANNING STRATEGY IN BUSIA DISTRICT, KENYA

5.1 Introduction

This chapter provides an analytical insight on the planning strategy on community participation in the District Focus for Rural Development, using Busia District as a case experience. The chapter starts by giving a brief overview of what community participation at global and national level is in planning policies. Based on this study's premise that there is little or no community participation in the DFRD planning strategy and the discussion on Busia District, future strategies are proposed for strengthening the existing channels of community participation in the DFRD Planning Strategy. In a nutshell, whatever the level at which the community for Plan participation is to be found, there remain very basic problems in achieving it in an underdeveloped country. This chapter examines these problems in the context of Kenya, focusing particularly on the planning experience in three administrative Divisions - Budalangi, Funyula and Nambale in Busia District.

5.2 The Concept of Community Participation

In this study, community participation is used in universal terms. Participation in planning cannot be discussed in a vacuum, however, but must be placed in the context of specific countries. This research portends that the success of community participation

depends on a positive orientation to it by the political leadership and the political system; the existence of formal and constitutional provisions for it; and the capacity of the people themselves to participate. These conditions are fulfilled in various degrees and ways in different countries. Perhaps this point can best be illustrated by examining the several motives, which policy planners have for supporting the participation of the community people. Three fluid schools of advocacy for community participation can be identified:- the "felt needs", the "people-driven governance" and the "extractionist".

It is common these days to hear development partner's talk about the supremacy of local community wishes and how these are likely to conflict with the decisions imposed from above. The argument then is that the community in any given locality should be allowed to determine for themselves, on their own initiative, what the things that they feel they need most (Tavanlar in Raan Weitz, ed., 1965: 219, Oyugi, et. al, 1973). Hence the felt (community) need concept that permeates the community development literature. The argument, very populist in its orientation, is that the community know what they want. Development, by this school is seen as something which must be sparked by the flames of the people's *felt needs*. Anything imposed from outside, no matter how technically sound is seen as failure-bound Innovations are seen as posing great socio-cultural threats to the community way of life. To effect them, the people to be affected by them must be involved in their identification. The people must be made to see the planned change as *"ours"* and the way to do so is to involve them in its planning.

The more political view of *"community democracy"* or "people-driven governance" is held by those who see planning at the community level as concerned with the problems of governance, distribution, and access to national resources, and who see people participating in it as the surest way to share the benefits growing out of those decisions (for a fuller discussion, see, for example, Hapgood, 1968). They see interest in participation as largely deriving from concern for enhancement of human dignity, from the concept of popular sovereignty and from the belief that diffusion of power is essential to good governance. Furthermore, the same view holds that participation is both a means and an end: it is an end in that it provides the dignity and psychic satisfaction of having a share in the control of one's environment and the structure of power. This particular view of community participation in planning is widely held by the advocates of political entities. They see people-driven governance as the best form to ensure equitable allocation of resources in a society. In this regard, participation is also a means to "political development" which is an essential concomitant of economic development (Oyugi et.al, 1973; World Bank/World Development Report, 1999/2000;EU/Courier, 2001; Kenya 2001)

The "extractionist" advocates of participation hold that nothing much can take place at the community level without the intervention and/or initiative of the central government. But at the same time there is a realization of the potential to promote maximum utilization of the scarce local resources. The critical role of the community in data collection and information giving is recognized. Their knowledge of local conditions and local problems is deemed to be invaluable. Again the "community" is seen as being

capable of contributing money, land, building materials and labour to matters of development, and hence the need to involve the community in planning if only to achieve that end. The relationship is very manipulative. The motive here is not to build strong political communities but rather to create a favorable entry condition for extracting resources in the name of participation – hopefully to be used on locally-based development projects.

Each of these three broad schools of thoughts is adhered to by different government planners and decision makers. In the former socialist countries such as Russia, Cuba, North Korea and China where the national character seemed to be totalitararian and centralistic, community participation was more desired for its extractionist potential. On the other hand, people-driven governance is a particularly popular orientation in the capitalist world especially the Americans and Europeans. The latter are to a large extent suspicious of the powers of the government (which they usually refer to as bureaucracy). They are a people who are well known for their individualism and community orientations and a number of these characteristics are reflected in their rigid constitution. This situation has naturally given birth to the notion of community participation by which the efforts of government and the people are reconciled by giving community and local institutions the power over decisions affecting their lives (Oyugi *et.al* 1973; UNDP, 1997; Kenya, 2003b).

In the LDCs, community democracy motive for participation is rarely found. Noble as the idea of political development is, it does not at the moment seem to concern the ruling

elites. Their concern in this sphere seems to be the attainment of political conformity, expediency and central government hegemony over the local communities and institutions. Hence it has become a common observation that governments in most of the LDCs are predisposed to controlling the political behaviour of the local citizenry and therefore cannot be expected to contradict their prime objectives by offering community democracy to the people. If we accept this to be the case, then the idea of involving people in planning at the community level as a means to bringing about good governance at the community level must be seen as a lingering myth and a mirage ("Daily Nation, March 9th, 2004").

Kenya is no exception to this generalization. Its local authorities are well known for their political weakness. Any attempt to bring about community democracy would have to start by strengthening these institutions. In the *2002-2008 National Development Plan*, the Government of Kenya makes it very clear in the discussion on rural development that the objective of national development in the social and economic transformation is the local people's participation in planning. There is no mention of the political front. To determine political control, which the government maintains at the community level of the *Plan* through the use of the Provincial administration makes the objective rather remote (for detailed discussion of Provincial Administration in Kenya see Gertzel, 1996). Thus, the initiative that is left to the people on matters of planning for local community development does not extend to the sphere of politics.

In Kenya, as in other LDCs, the felt needs and extractionist schools have more accurately represented the policies followed by government planners. The sources of national policy statements are printed government documents, statements by leading "spokesmen", "busy bodies", "sycophants" and "strongmen" through the mass media, and occasional circulars and directives. In the Kenyan case, statements by "leading government spokesmen" usually are not dependable unless they have the explicit backing of the Office of the President (OP) or a Ministerial directive as well as being gazetted. Equally true, is the fact that circulars and directives on matters of DFRD planning have not been forthcoming. One, therefore, tends to be left with only printed documents, in this case the *Development Plans*, as the primary focus for analysis.

Increased involvement in development at the *community level* by the people can be traced back to the late Jomo President Kenyatta's "Harambee" *(let's pull together)* call in 1964 and to the subsequent speeches by him about "back to the land". These speeches were a rude reminder to those who had hoped manna would be falling from heaven after independence. From now, they would be called upon to do it themselves. The period between 1964 and 1966 was characterized by planning initiative at the community level coming very much from the people themselves. Though some supporting funds came from the Central Government through the Community Development Department, planning of the projects was not in any way controlled by the government. The initiative came from the people in response to their glories "felt needs". They planned and put all kinds of welfare projects – dispensaries here and schools there. They were involved both in "planning" and in "implementation". Planning may have been bad in that many

projects initiated could not all be implemented, but still the decision had been theirs and somehow they must have felt that they controlled their own affairs and could "develop" in any way they saw fit (Oyugi *et al.*, 1973; Aseka *et al.*, 2002).

The experience with self-help planning and development, however, convinced Kenya's leadership that the local people were not "good planners" after all. Several projects were put up which could not all be completed within the foreseeable future and the completed ones could not, in the majority of cases, be maintained. (Kenya, 1966; 1970). This experience hardened the Government attitude *visa vis* development initiative at the community level. The freedom which characterized the 1964 – 66 period was threatened in the revised Development Plan covering 1966-70. However in the *Sessional Paper No. 10 of 1965* the Government stated - 'Self-help projects must be fitted into the plan, and self-help efforts must be guided into useful channels. Self-help is an integral part of planned development and must be subjected to the same discipline as other parts of the development effort" (Kenya, 1965:17) and in the 1966-70 Plan this emphasis was again made: "In order to make the maximum contribution to the nation's effort for more rapid economic and social development the growing self-help activities must be planned and directed... they must be planned and co-ordinated so that they are consistent with the National Development Plan (Kenya, 1966).

In these two statements the Government of Kenya admits, by implication that local people cannot be entrusted with the big responsibility of initiating development. It turns instead toward an extractionist orientation. The decision made in 1966 to turn the

existing District and Provincial Community Development Committees into Sub-Committees of the newly created Development Advisory Committees, chaired by the District Commissioner and the Provincial Commissioner, respectively, with the Provincial Planning Officer as the Secretary, was an attempt by the Government to formally effect planning control. Even though the *1970-74 Development Plan* still referred to the Community Development Committees as the institutions providing for consultation and participation, there was very indication that at time and after, their role would increasingly be advisory to the Development Committees. In the same Plan the Government of Kenya made it abundantly clear that while self-help would remain an instrument of the people, overall planning at District and Provincial level would help to guide its direction. In this connection, the District Committees were given powers to approve or reject any proposals for self-help project depending on its contribution to the national strategy of development. Thus, emerged the inevitable remarriage between the locally-initiated projects and the nationally-initiated projects with the Government of Kenya as the master of the renewed partnership (Oyugi *et.al.*, 1973; World Bank, 2000, Kenya, 2003). The stage seemed to have reached sometime early in 1970. The emphasis was on educating the people at the community level so they can see the folly of uncontrolled development. To this end the department of the Community Development and Social Services intensified its "functional education" programme and a number of adult education officers were appointed. At the same time there was an emphasis on the role of community in the implementation of development projects, as opposed to planning (Kenya, 1976).

5.3 Community Participation in District Focus for Rural Development Planning

This chapter has asserted in the previous sections that there are three conditions for successful popular participation in community level planning. The first of these is a positive orientation toward it by the government. This study argues that the Government of Kenya Government has remained supportive of the idea of participation, though the reasons for this attitude have shifted from those of the felt-needs school toward that of the extractionists. The other two conditions for the success of participation are the existence of formal institutions for it and the capacity of the people themselves to participate. Although formal structures for participation can be created fairly easily, it is difficult to find ones in which the people of Kenya can participate meaningfully and well. To make this point, we will examine the experience of Busia District.

The self-help movement or "Harambee" is an excellent illustration of the fact that the people lack the capacity to undertake local planning by themselves. This chapter has already discussed the disillusionment of Kenya's leadership with autonomous local community planning and development. The experience of Busia District in five locations provides ample evidence that this disenchantment was well founded. The people of Busia District, like those in the rest of Kenya, have participated energetically in the self-help movement, giving generously of their enthusiasm, money and labour. But as in other parts of Kenya, several major projects have been completed in Busia that still are not operational because the communities can neither equip nor staff them. Everything was based on the unrealistic hope that eventually the Government would take them over.

The list of non-operational projects approved by the DDC in Busia between 1983 and 2003 is staggering. A few specific cases follow:

In Mudembi Location, Budalangi Division a polytechnic has been completed, but does not function because there are no staff and no training equipments. It was put up with hope that the Government would eventually take it over and incorporate it within the existing government-supported technical training program. What makes this example a case of particularly bad community planning is that it was initiated at a time when the Government was undergoing changes through the Structural Adjustment Programmes (SAPs) and could not even support the existing polytechnics countrywide. There is no money to put up tutors houses, and students will not come without tutors and training equipments (Plate 11).

Furthermore, in Magombe Location, Budalangi Division a primary school block was started and abandoned by the community in preference for a cattle dip whose water supply is in grave doubt ... In addition, it is located on a former area Councilor's land. However, the later, local community shunned its use claiming that they are not herdsmen but fishermen! (Plate 12).

Likewise in Funyula Location, Funyula Division a fish demonstration centre, made of massive concrete raised-slabs of fish ponds with ninety per cent complete, including the hatchery, stands awaiting a Government take-over because the local people can neither equip nor staff it, and furthermore it is sited on private land (Plate 13 (a and b).

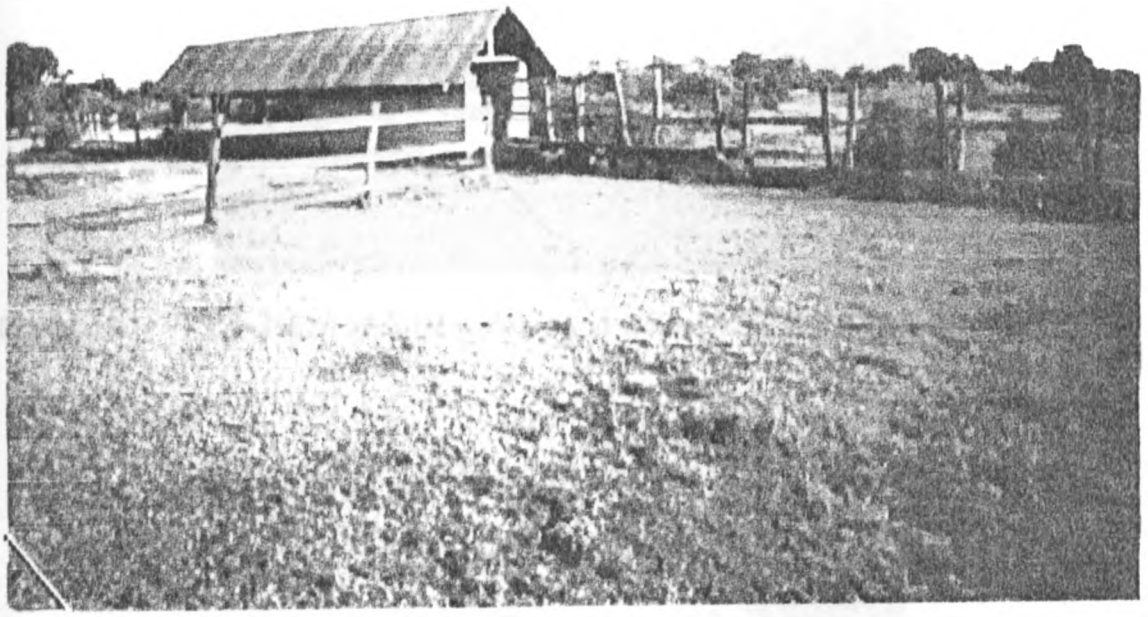
In addition, in Sigiri Location, Budalangi Division a motorized ferry put up by the government on river Nzoia at Sigiri crossing has been abandoned by the local community in favour of paddle-powered canoes which they claim are "culturally – normal" than the "serikali ferry" (Plate 14a and b).

Plate 11: Nayera Polytechnic in Mudembi Location, Budalangi Division, initiated by the Local Community

Busia District

Nayera Polytechnic in Mudembi location, Budalangi Division stands for on and desolate - no tutors, students or training equipments. *(Photo courtesy: JUMA Peter, 2001).*

Plate 12: Livestock – Abandoned Cattle Dip – Budalangi Division



Busia District

A cattle dip put up by the community in Budalangi Division, Magombe location stands abandoned awaiting government take-over, yet the government take-over, yet the government has puled out of providing livestock extension sources to the community.

(Photo courtesy: JUMA Peter, 2001).

Plate 13(a): Abandoned Fish Demonstration Centre - Funyula Division

Plate 13(b): Abandoned Fish Demonstration Centre - Funyula Division

Busia District

Sirindiro fish demonstration center in Funyula location, Funyula Division stands abandoned and shunned by the community because they claim they were not involved in its planning. The community claim that they only saw construction taking place by the government. *(Photo/courtesy: JUMA Peter, 2001).*

Plate 14(a) Abandoned Ferry – Budalangi Division

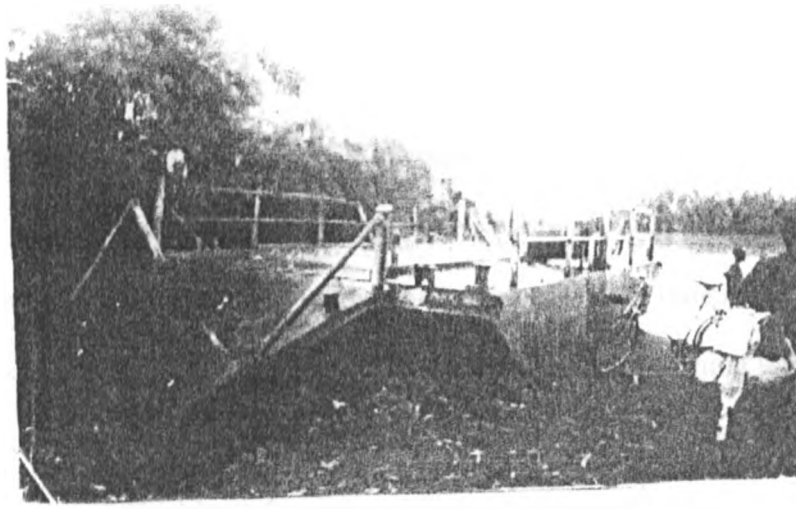


Plate 14(b): Abandoned Ferry – Budalangi Division

Busia District

Passenger river Nzoia crossing at Sigiri by boat in Budalangi Division. The local community abandoned the government – put up ferry in favour of paddle – powered canoes which they claim are "culturally – normal" than the "serikali ferry". *(Photo courtesy: JUMA Peter, 2001).*

And finally in Nambale Location, Nambale Division a cotton ginnery stands desolate and abandoned ... since the community did not have control to its management leading to its collapse.

Therefore, we can conclude that purely local planning efforts in Busia district very often development partners and other as well has been wasteful of local resources and have placed demands upon Government funds which are not always consistent with national plan priorities ... and the reverse is true. The experience with planning for the DFRD in Busia as in the rest of Kenya's 72 districts provides another and different kind of illustration of the difficulties of gaining local participation. The *1997 - 2001:14 Development Plan* says of the DFRD "that the people of the areas concerned should become fully involved, through the self-help and development committees, which will be consulted and integrated in the programme for their areas from the planning state onwards". Likewise the "constituencies development fund Act, 2003 206 (IV) 21 (1)" confirms that "projects " under this Act shall be community-based in order to ensure that the prospective benefits are available to a widespread cross-section of the inhabitants of a particular area. Nonetheless, the people have not participated. How are we to account for the failure of the desired local participation to take place? To answer this question, it will help to examine in detail the formal structures through which community involvement could be secured. In doing so, we will be able to see their weaknesses.

Participation in planning at the community level can be either *active* or *passive*. When the rural masses are able to air views on development at publicly arranged open meetings,

we have active participation. On the other hand, when some form of representation is used, participation is passive. Representation may be *sanctioned* or *non-sanctioned.* Sanctioned representation is where the people vote or otherwise agree on who should represent their interests. Non-sanctioned representation is where the interests of the people on major issues is articulated by the "natural" community leaders and in some cases by certain sectors of the modernized "rural elites". The sanctioned representation include the Member of Parliament for the area, the County Councilors, the various committees leaders, and the party officials at the community level. The non-sanctioned category includes the influential village elders, entrepreneurs, farmers and teachers. It should be pointed out the roles are apt to overlap. Thus, an influential villager may find himself also becoming an elected chairman of a community-based self-help committee, and a local party leader may at the same time be either a prominent businessman or former influential village leader elder (Oyugi *et.al.*,1973; Aseka *et al.*, 2002).

The *baraza,* which is a Kiswahili word for an official public call-up meeting where government policies are delivered to the community, are usually public meetings called by the Provincial Administration. They are however unsuitable institutions for planning by their own design The chief or the sub-chief is the boss. He knows who is the "bad" boy and who is the "good" one, and it is he who must decide who speaks. Again, for a long time, barazas have been associated with law and order and the collection of taxes. This has made attendance rather low perhaps because of the feeling that "after all we know what the message is all about". During the research, I attended six chief's barazas in the area and in almost all of them, attendance was below thirty. Nonetheless, contrary

to the popular conception of their function, *barazas* have turned out to be the only available avenues for announcements of government policies and actions on matters of development. All the six barazas I attended were addressed by both the Locational Agricultural Assistants and the Location Community Development Assistants. At each one of these meetings the Locational Community Development Assistant discussed the implications of what was being planned in the area. At the same time, the Agriculture Assistants also talked about the programme in addition to making their routine announcements about crop targets, prices, etc. What was remarkable at all these meetings, however was the tendency on the part of these locational officers to say "*what was going to be done*" rather than trying to find out "*what should be done*".

Public seminars could be rather channel for public policy dissemination. What I noticed in Busia was that such seminars were more often than not very general in their contents. Two NGOs organized a series of seminars which I also attended in Busia district to publicize their development programmes. Again, it emerged that these meetings were mainly informational, letting the people know what was "in the pipe line" regardless of the local applicability. It also emerged during the research that the theory of political parties could be a vehicle for both direct and indirect participation. They might organize mass meetings and play a mobilizing role; they could be a channel through which representatives of the people could be identified and appointed committees. In fact I found out that the parties were in a position to do neither. For parties to play a meaningful mobilizing role, they need a development ideology and a commitment to achieve a predetermined national goal. These kind of parties have been lacking in Kenya

and obviously one could not be created locally for Busia. Furthermore, the parties effectiveness at the community level has always been hampered by the control which the Government exerts through the Provincial Administration and the police by refusing to license public rallies. Through the entire period of the research in the district, the parties system appeared non-existent. Only those who knew me well were prepared to discuss any politically related issues.

The ruling party, or opposition parties were not involved in mobilizing people for development in the area. This work was done mainly by the Provincial Administration, the Community Development Department, Agricultural Department, Religious Organizations and the NGOs. Interviews with ten chiefs in the area disclosed that there is no party involvement in self-help projects either. Only one of the ten chiefs stated that the ruling party had a representative in his sub-locational Community Development Committee. Of course politicians participated in many such committees as chairmen of he Constituency Development Committee (Kenya, 2003). But the parties were not the vehicle for their representation. I found out that political parties only lunched on development issues during the electioneering period; when they churned out grand party manifestos or pledges. Once the general election was over, political parties went into a development to save the ruling party. Finally, the emerging trend of public announcements is through churches and burial occasions. During the study, I attended several funerals at which the local members of parliament, NGOs and CBOs representatives, councilors and women leaders seized the opportunity to announce to the community of what "projects and programmes was in the pipeline for the area" (Plate 15 (a) and (b).

Plate 15(a) **Kenya African National Union (KANU) Constituency Office - Nambale Division and the National Development Party (NDP) office - Busia Town**

Plate 15(b): **Kenya African National Union (KANU) Constituency Office - Nambale Division and the National Development Party (NDP) office - Busia Town**

Busia District

(a) Kenya African National Union (KANU) constituency office in Nambale town – Nambale Division and (b) National Development Party (NDP) office in Busia town - political parties have been used as both *direct* and *indirect* forms of community participation for political mobilization. *(Photo courtesy: JUMA Peter, 2001).*

Non-sanctioned or indirect representation is no more successful than that of the parties. Locally recruited and posted civil servants are some of those in this category who could be an important source of information and opinion for local planning services. Early in 1999 I observed the seminars, which the Busia DDO organized for councilors in order to familiarize them with the DFRD. In these meetings the councilors behaved not as Government employees but as local people to be affected by the programme. They were acting as unofficial representatives for their areas. In many cases the questions they asked were condemnatory of the Government. One councilor criticized "the arbitrary decisions that are being made without consulting the people". And another complained that he did not know who his representative was or whom to go on matters pertaining to planning. These councilors' seminars, which were aimed specifically at explaining a "food for work" feeder roads project, which had been worked mainly by the Technical Assistance Team in the area, help to reveal further the Government's hardened attitude against involving the people in planning at the grassroots.

The seminars were designed mainly to inform the councilors about what they must tell the people, who themselves were to contribute their labour during the construction period and were also to maintain these roads upon their completion. This was a project, which consultation with the people should have been given high priority, and yet such a thing occurred, even with these unofficial representatives. The same indifference of the opinion between the local community and government-initiated plans was evident during the "Civic Education Exercise on Constitutional Review Process of Kenya, 2002" in which the local community in Busia district kept on asking what is wrong with the

current Constitution and why, now after more than three decades, the government wanted it reviewed through community participation, yet it was wary of the same people participating in it (Kenya, 2002; Aseka *et al.*, 2002).

The structures, which are designed to involve sanctioned community representatives, fare no better. The only groups that are all active are the Community Development Committees, of the Constituency Development Committees, which concern themselves with projects of the self help type. However, these do not exist in every location. Discussions with the Locational Community Development Assistants (CDAs) and seven chiefs in the study area revealed that whenever a project is started there has to be a Project Management Committee (PMC). This is a Government requirement. Village Community Development Committees as such exist only in name. The same is true about the Sub-Location Committee, although three sub-chiefs said, "they exist" in their areas. The Community Development Assistant for the area said of the sub-location committees, "we are just in the process of making sure they exist".

Location Committees exist, but have been somewhat inactive. In one of the three locations, the chief could not even remember if there had been a meeting in the previous six months. Early in 1999, the District Development Officer introduced a system which required the locational C.D.A. to forward to the Divisional headquarters the minutes of any meetings of locational committees and even provided duplicate note books for that purpose. During the year the dormant committees were being re-activated and new ones established where they did not exist. This became evident as the monthly reports of some

of the Locational Community Development assistants began to include detailed discussions from the location committees. It was revealed during the research that all the committees i.e. village, sub-locational, locational and divisional only become active once a political donor assistance has been announced either by the government or other development partners.

Representation on the project committees is direct while at the Sub-location and the location levels it is indirect. The committee immediately below sends representatives to the committee immediately above. Thus, each Sub-locational committees sends its representatives to the locational committee and the locational committee to the Divisional committee, etc. though the sub-chiefs are found to be increasingly dominating the self-help project committees in their area. This faith does not extend to the activity (i.e. self-help movement) itself. An indication of this lack of faith is the fact that no project can be completed in which a sub-chief or local Member of Parliament (M.P.) does not exert his authority or influence as interviews with the DO, the chiefs, the sub-chiefs the councilors and the local people revealed. In terms of project execution, the people fall back on the authority of the Provincial Administration or local Member of Parliament or Councillors.

A further opportunity for indirect participation is found in the Development Advisory Committees. They operate both at the district and provincial levels, and their membership consists largely of sanctioned representatives. These committees were established during the *1966 – 70 Development Plan* period to provide the people with a voice in planning matters through their elected representatives and party leaders. The

M.P.s are members, but the county councilors are not. The county councilors cover a location and are, therefore, in a position to know the wishes of the people better than an M.P. who may represent more than three locations (as in Busia) and be away from the constituency most of the time. The District Commissioner serves as the committee's chairman and also nominates two prominent citizens, who are confirmed by the District Development Committee (which is composed of civil servants, NGOs and the private sector).

This research confirmed the often-cited weakness of these Development Advisory Committees (Jackson, 1970). Meetings are infrequent and attendance is low. The one held in January 2001, for instance was attended by only two of the four M.P.s. while the one held in March 2001 was attended by one M.P. Neither the ruling party representative nor the opposition parties representatives were there. The Committee also depends too much on the initiative of the District Commissioner and the local Member of Parliament. There is no record of a Development Advisory Committee convened at the request of "the people's representative". We have already noted the passive role the committee plays in the DFRD planning, only being called upon to approve the draft plan after it had been completed.

From the field experience in Busia district we can see that the institutional structures necessary for community involvement in community level planning exist, but that they are ineffective or under utilized. The reasons for the deficiency of these participatory channels are complex and are to be found in the capacities and attitudes both of the local

people and of the government technocrats. I found out that the failure of direct participation may be explained in terms of the people's illiteracy. Lacking the ability to read, they are unable to comprehend adequately the larger, national system within which they must plan. Without mass literacy, the Government's declared intention of involving the people in matters of development through the use of the mass media, seminars, pamphlets and so forth is unrealistic. Those who cannot read and write cannot use these services adequately. This problem seems to have been recognized by the Government. The literacy programme still has significant problems: gender apathy, untrained teachers, lack or facilities, lack of funds and an orientation toward the formal examination system all tend to drive adult learners away (Oyugi *et al.*, 1973; Obudho, 1998, Aseka *et al.*, 2002).

There are other barriers to a well-informed rural populace as well. Except for the familiar *Kenya Farmer,* there is no kind of development literature directed to the rural people. No special pamphlets have been written to explain the DFRD. The success of a mass-media strategy also depends on the capacity of the people to buy radios, newspapers and others. In Busia as in the rest of 72 districts of Kenya, radios are owned exclusively by the rural elite such as teachers, businessmen, councilors, retirees, priests and civil servants. There are no rural listening centres where the "have-nots" can go and listen to a public radio programmes. Such centres are needed. Even in the news and greetings, particularly the younger group for the latter. Nobody seems to know when development-related programmes are to be broadcast.

It is generally accepted that community participation depends upon the amount of direct benefit that the individual or family can derive from the particular development project *(Valsan, 1970)* As the rural population has an unsophisticated understanding of the national economy, the projects which it chooses will appear to have direct and uncomplicated pay-offs. But such projects are often of limited benefit to the nation and may represent a sub-optional allocation of resources. Because the people have only a weak grasp of the national political system, they too frequently pursue projects in the mistaken belief that they will obtain Government finance. Once a project comes to nothing in this way, it has a negative effect upon the people's *willingness* to involve themselves again (Oyugi *et.al.*, 1973; Juma, 1998; World Bank 2002). For example this study found out that the DFRD "community roads project" for Busia was being heavily opposed by the people who knew about it because they saw it as just another self-help project, which gave them no personal incentives. They held no critical stake in it.

Local control of development initiatives was also found to be affected by local political conflicts. Conflicts based on personality, clan or other lineage lines are still dominant in Busia and are particularly wasteful. For example in Budalangi Division: school enrolment in a certain secondary dropped from 600 student population in 1999 to 179 in 2001 due to politics as the local leaders wanted their "own son" and election voter to head the school. While a water and sanitation multi-million foreign donor-funded project for primary schools in Budalang'i Division could not be implemented because the local leaders claimed that they had not been involved in the projects identification and proposal development by the coordinator of the project. The ensuing wrangles led to the

cancellation of the project by the donor. Sections of a sub-location can be hostile to a sub-chief of another group and refuse to co-operate in the formulation and execution of self-help projects. If the sub-chief retaliates, a full-scale confrontation usually results. There were a number of such cases in Busia. A health center identified with a "defeated" sub-chief was "laid to rest when the rival clan "seized the power". In another sub-location two cattle dips and girls secondary schools were put up only yards apart because of the existing inter-clan rivalry. Another political problem is the tendency of the rural elite to "capture" planning at the community level. As a result, local projects will tend to neglect the needs of the illiterate masses.

If planning implies highly rational decision-making about the allocation of available resources and the establishment of priorities in the use of these resources *(U.N. 1964)*, then the capacity to plan does not obtain at the level in most of the underdeveloped countries. Hence it would be misleading to suggest that the local people know the development they need and that the initiative in planning and implementation can be left to them. This research holds that the Government and other development partners cannot claim to be planning if it leaves development initiatives in the hands of the rural people alone. This need not mean, however, that community participation should be ignored. Government and other development partners has much to gain in information, enthusiasm, work and co-operation from the people's community's involvement. The study does suggest that Government must be prepared to guide and coordinate local participation if it is to profit from it. Nonetheless, it is clear that community involvement

in plan formulation and implementation is a sensitive part, which needs skilled direction and careful attention if it is to flourish.

In his discourse on grassroots democracy, Oyugi *et al.*, (1973) argues that Government field officers, who are to provide skilled and demanding guidance consulting the people is more talked about than practiced. What is further interesting is that at the village level the people blame the "front line workers" for the Government failures, and they in turn blame their superiors at the Divisional level who in turn (not in all departments, of course) blame their district bosses. Thus there emerges a "*hierarchy of blame*" in which the person below blames the one immediately above. What this reveals is simply that although the Government officers know what should be done (i.e. involving the people in planning) they do not seem to know how to go about it. This is not a Divisional problem, it is a national one. In this atmosphere of uncertainty, Government workers at the community level tend to see involvement as getting the people to do rather than suggest. Rarely are people given an opportunity to offer alternatives on issues affecting them.

There are several reasons, which field officers give for minimizing popular participation in this way, some of which are quite valid. First, as we have already made clear, the people do not set priorities and allocate resources well when left on their own. Second, many officers argue that it is wrong to involve people in planning, as that has the potential of raising their expectations for nothing. One should wait until one had something concrete to offer and then ask for the people's help in implementation. These two problems are genuine. But they seem to us to argue more for the use of small,

carefully-guided indirect participation structures rather than the abolition of involvement altogether.

A third rationale, common among civil servants at all levels, is that "there is nothing the people know at the community level which the Government workers at that level do not know". If this were so, community participation in planning might be unnecessary. But the statement seems to us to be false. Field officers posted at Divisional and higher levels often have serious gaps in their knowledge of their areas. They are subject to very frequent transfers, and petrol for their vehicles is always short. Consequently the civil servants who will most often make up a local plan do not even have the length of tenure and access to transport necessary to acquaint themselves with the remoter parts of their areas. A fourth pair of reasons was offered by the Technical Assistance Planning Team of the Ministry of Planning that was in Busia in December 2000. They admitted that they would have liked to consult the people, but they had not done so because they lacked the time, transport and necessary language skills. As local translators could have been obtained, these arguments seem even more transparently to be excuses rather than real reasons.

This study found out that government planners often fail to foster popular participation because they lack the commitment, competence and confidence necessary to do so. No one seriously questions the truth of this statement for the junior staff. Most of the Government employees at the location level and below in Busia were found to be in a

state of unpreparedness. This is not a unique case, (Heyer, *et.al.*, 1970; Oyugi *et.al.*, 1973; Akatch, 1998).

Skilled economists are rarely found working below the provincial level in Kenya. As a consequence the field officers who are the members of District and Divisional Committees frequently feel insecure themselves when they are engaged in local economic planning. In this situation field officers are reluctant to expose themselves to public discussions of the plans they have prepared. They are not certain they can persuade the people of the contents of the plans, because the local people have no capacity of the supporting arguments. They are wary of leading a Development Advisory Committee in an open discussion of plan priorities because they are not perfectly secure with the local people in their grasp of the principles by which resources should be allocated. In addition, field officers do not have the mandate to act on any aspect of development plan unless instructed so by their superiors; either at the district, provincial or ministerial levels (Oyugi *et.al.*, 1973; Akatch 1998; Awuondo 1998; Juma, 1998).

5.4 Conclusion

This chapter has argued and concluded that the institutions through which local participation in DFRD planning is supposed to occur are weak and that the people who compose them and guide them often are not adequate for the complex tasks involved. What changes might the Government make in order to deal with these problems? Direct involvement by the people in development planning is only practicable when the DFRD policy is transformed. The popular observation about the role of political parties and the

"*baraza*" is that more often than not are institutions for *mobilization* as opposed to *participation*. Indirect participation therefore seems to be the only logical alternatives. In Kenya, this is supposed to be achieved through the Community Development Committees (self-help committees) and the Government's Development Advisory Committees alias Constituency Development Committees at the community level. This study has confirmed the weakness of the Advisory Planning Committees. Though the self-help committee is more effective, relatively speaking, the fact that people often derive negligible benefits from their completed projects casts doubt upon their effectiveness as well.

In their studies on DFRD Planning Strategy in Kenya, (Makokha, 1985; Akatch, 1998; Obudho, 1999 and Kituuka, 1988) observe, as this research has, that the government technocratic Development Committees, which are supposed to co-ordinate local planning efforts, lack the local participation, which the Community Development Committees or the Constituency Development Committees have. They recommend that if effective local participation in the planning process is to be achieved, the Community Development Committees alias Constituency Development Committees should be the starting point. They therefore suggest that the two committees be combined in order "to take advantage of the local participation and to integrate self-help planning into the overall planning process. To make sure that the committees are strong enough, they recommend that the committees be given access to a secretariat, which can prepare information and supply them with the technical advice they need to make decisions on local development priorities.

If adopted, the foregoing proposals would provide a place where local and national information, needs and priorities could meet and be reconciled meaningfully. Of course the decisions of these local bodies, in effect, would be only advisory to the ultimate funding body, the Treasury. Nonetheless, despite the absence of financial power, the popular participants would have real influence and the decisions reached would provide invaluable information to central planners and facilitate local involvement in plan implementation. Structural changes alone do not ensure efficient planning. The structures this research has proposed critically hinges on the human factor. If we have empowered and competent Government officers at the community level – men who know how to use people and their institutions – we are likely to achieve the objective of good planning and, in so doing, to ensure people's participation in the DFRD implementation at the district level.

CHAPTER SIX

SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.1 Introduction

Throughout this study, it was conceived that one of the problems Kenya faces in the efficient implementation of the DFRD is the role of community participation. In deed DFRD is still centrist and elitist in its orientation with little or no actual community participation. Subsequently this chapter provides a summary of research findings, conclusions and recommendations. The research has been a systematic study on the role of community participation in the DFRD planning strategy using Busia District as a case study. The chapter begins by giving a summary of research findings *visa-vis* the stated objectives in section 1.2. The final part provides major conclusions and recommendations arising from the study and the observations made in the core chapters.

6.2 Research Findings

The analysis of Kenya's Urban and Regional Planning Policies over space and time and in particular to the DFRD policy, reveals that these policies have been formulated largely as intervention strategies aimed at addressing the triple challenges of *poverty, ignorance* and *disease* that face the country. Since the attainment of independence, the desire to alleviate poverty and regional disparity has been a priority, as clearly spelt out in various policy documents, including the DFRD and the Sessional Paper No. 10 of 1965 on *"African Socialism and its Application toPlanning in Kenya"*. Although Kenya achieved

much of its development targets in the first decade after independence, the subsequent three decades recorded dismal performance, culminating in negative 0.3 per cent growth in GDP in year 2002 (Kenya, 2002).

The study also found that the DFRD's Principles and procedures as contained in the *"DFRD Blue Book"* (Kenya, 1983) basically shows that the DFRD is still centrist and elitist in its orientation with little or no actual community participation. While in principle, the DFRD aims at decentralizing management responsibilities (including planning and monitoring), to the district, however the strategy has/ and continues to face an inadequate legal and constitutional arrangement for stakeholder (community) participation in the development process at the community level. In addition, the study also found out that both political and financial support for community participation in the DFRD still lacks.

From the analysis on the status of development projects in Busia district between 1983 and 2002, the study also revealed that about 70 per cent of all DFRD sponsored programmes never bore fruit, while others had mixed levels of success due to poor co-ordination, apathy by the local community, unaccountable leadership and mismanagement: leading to misallocation of funds. The continued centralized planning by the DFRD had, exacerbated rural poverty not only in Busia district, but also in the rest of the regional areas of Kenya. Many of the development projects (under the *aegis* of DFRD) has in essence impacted negatively on the same community they were meant to alleviate their poverty status. However, the study has shown that Community/community

level participation, while potent, is no panacea for poverty reduction, but depending on local organizations and power structures, shifting influence to local communities can lead to great captures and timely delivery of DFRD policy implementation.

Finally, the major conclusion of this research is that the state of underdevelopment in Kenya makes autonomous participation by the people in DFRD planning and implementation un-obtainable objective. The realization of that objective depends very much on the capacity of the people to understand the DFRD planning and implementation environment. In the absence of that understanding, the presence of the Government must be strengthened at the grassroots level in order to guide the people in the beneficial management and exploitation of local and national resources. Towards this end, participatory methodologies and skills need to be applied in order to enhance community participation in the DFRD planning strategy.

6.3 Recommendation

6.3.1 Policy makers and planners

Effective implementation of the DFRD strategy depends upon clarity of measures, adequacy and proper alignment of resources, and designation of responsibilities and coordination. Hence, to facilitate this prerequisite, this study recommends that constitutional and legislative reforms backed by an equitable and consistent financial framework be put in place by the central government in order to enhance community participation in the DFRD implementation. In addition, there is need to devolve powers to the community to make DFRD less bureaucratic and elitist.

6.3.2 Further research

The results of this research have been impacted by limited funds, which conversely affected the scope of exhausting all the salient aspects of the study. However, some areas which can provide a further systematic study of the DFRD is:-

1. There is need to identify capacity building programmes, that empower the community to fully internalize the DFRD policy and deepen their democratic participation.
2. There is need to constitutionalize a monitoring and evaluation (MandE) management tool in order to strengthen community participation in the DFRD.
3. There is need to devolve management responsibilities (including identification, planning, monitoring and implementation) with the DFRD framework.

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APPENDIX 1

SAMPLE QUESTIONNAIRE ADMINISTERED TO TEN CHIEFS IN BUSIA DISTRICT

The Role of Community Participation in the District Focus for Rural Development (DFRD) Planning Strategy: A Case Study of Busia District, Kenya.

1.0	**Interview No.**	**Date**
1.	Name of Location	Chiefs Camp
2.	Name of Division	
3.	Population of Location (1999 Census)	
2.0	**PARTICULARS OF THE CHIEF**	
2.0.1	Name of Respondent (Chief)	
2.0.2	Office held in Location (if not Chief)	
2.0.3	Age: 20 – 29 (1) 30 – 39 (2) 40 – 49 (3) 50 – 59 (4) 60+ (5)	
2.0.4	Marital Status: Married (1) Single (2) Divorced (3)	
2.05	Number of wives: • One (1) • Two (2) • Three (3) • Four and over (4)	
2.0.6	Place of Birth: • Busia (1) • Western (2) • Elsewhere (3)	
2.0.7	Level of Education: • None (1) • Primary (2) • Secondary (3) • Technical (4) • Teacher Training (5) • University (6)	

2.0.8	What previous Occupation did you have: • Government Employee (1) • Farming (2) • Teacher/Headmaster (3) • Businessman (4) • Employed in private sector (5) • Employed in parastatal body (6) • Part of Management of industrial concern (7) • Unemployed (8) • Others (explained) (9)	
2.0.9	In which of the three do you have more previous experience? (1) • Security (2) • Development (3) • None	
	• Less than 1 Year (1) • 1-5 years (2) • 6 – 10 years (3) • Over 10 years (4)	
3.0	**THE LOCATION**	
3.0.1	How many sub-locations in your location? (1) (2) (3) (4) (5) (6)	
3.0.2	How many villages in your location? • 1 –10 • 11 – 15 • 16 – 10	
3.0.3	How many rural centres? (1) (2) (3) (4)	
3.0.4	How many markets centres? (1) (2) (3) (4)	
3.0.5	How many Local centres (1) (2) (3) (4)	
3.0.6	Total land area (hectares)	
3.0.7	How many designated centres with less than 1 street (1) (2) (3) (4)	
3.0.8	How many designated centres with less than • 10 buildings (1) • 11 – 30 buildings (2) • Over 50 shops (3)	

3.0.9	How many designated centres have, at least one tarmac road (1) (2) (3) (4)	
3.10	How many designated centres have at least not less than 3 storied buildings? (1) (2) (3) (4)	
3.11	What are the major 3 urban centres in your location? And what are their hierarchy (i.e. rural market, local) (a) _____ (b) _____ (c) _____	
3.12	How many of the following types of business/services exist in the market, or urban centre • Wholesale • Retailing • Bars • Hotel/Lodging/Restaurant • Tailoring Shop • Butchery • Garage • Open air market • Chemists • Bookshop • Petrol stations • Hair Salon/Barber • Advocate • Photo Studio • Cinema • Farm Produce Shop • Private Clinic • Welding and metal works • Church/mosque/NGO • Carpentry/furniture shop • Bakery • Clinic • Bicycle • Dry cleaning/laundry	
3.13	How many of the following exist in Urban centre? • Resident Magistrate's Court • Police Station (Administrative Police) • Hospital/Public Health Centre • Secondary School	

	• Day and Night telephone exchange • Post office • Bank • D. C./D. Os/Chief Camp • Town Hall/Social Hall • Fire Station • Stadium • Major public housing scheme • Major private housing scheme • Industrial concerns	
4.0	**SOCIAL SERVICES**	
4.0.1	What type of houses are the majority in our location: • Permanent (1) • Semi – Permanent (2) • Temporary (3)	
4.0.2	What type of roofing materials are the majority in your location: • Tiles (1) • G.C.I (2) • Tin cladding (3) • Thatch (4) • Others (explain) (5)	
4.0.3	What walls do the majority of houses have? • Masonry (1) • Wooden (Timber) (2) • Mud and wattle (3)	
4.0.4	What floors for the majority of housing? • Concrete (1) • Timber (2) • Earth (3)	
4.0.5	Where do the majority of people in your location bath? • Inside houses (1) • Enclosures (2) • Outside in the open at night (3) • In the rivers (4)	
4.0.6	What type of toilets are predominant in the location? • Water-bone toilets (1) • Pit latrine (2) • No latrine (3)	

4.0.7	What are the major sources of water for domestic use in the location? • Piped water in the houses (1) • Communal public water taps (2) • Borehole pumps (3) • Communal wells/ponds (4) • Streams/rivers (5) • Roof catchments (6)	
4.0.8	Which are the three main sources of energy for domestic cooking? • Firewood (1) • Kerosene (2) • Electricity (3) • Gas/Biogas (4) • Crop Residue (5) • Animal dung (6) • Charcoal (7)	
4.0.9	How many hospitals in your location? (1) (2) (3) (4)	
4.10	How many health centres in your location (1) (2) (3) (4)	
4.11	How many dispensaries in your location? (1) (2) (3) (4)	
4.12	How many maternity homes in your location? (1) (2) (3)	
4.13	How many primary schools in your location? (1) (2) (3) (4)	
4.14	How many secondary schools? • Government/public (1) (2) (3) (4) • Harambee (1) (2) (3) (4)	
5.0	**INFRASTRUCTURAL**	
5.0.1	How many villages in your location?	
5.0.2	How many villages with electricity?	
5.0.3	Number of postal facilities in the location?	
5.0.4	How many bridges in the location?	
5.0.5	How many banks in the location?	
5.0.6	How many sewerage schemes?	
5.0.7	How many water schemes?	
5.0.8	How many buses and matatus use the roads?	

5.0.9	Which of these groups are active in your location? • Co-operatives (1) • Savings and Credit co-operatives (2) • Women's groups (3) • Harambee groups (4) • Others (explain) (5)	
5.10	How many Harambee projects are going on in the location currently?	
5.11	Do you have any irrigation schemes in your location? Yes (1) No (2)	
5.12	Do you have any soil/flood conservation control in your location? Yes (1) No (2)	
5.13	How many cattle dips in the location?	
6.0	**AGRICULTURAL SECTOR**	
6.0.1	Which of these are the major sources by income in your location? • Dairy farming (1) • Sisal (2) • Cotton (3) • Sugarcane (4) • Tobacco (5) • Rice (6) • Others (explain) (6)	
6.02	Which of the following are the main subsistence crops in your location? • Maize (1) • Beans (2) • Millet (3) • Cowpeas (4) • Pigeon peas (5) • Yams (6) • Arrow roots (6) • Cassava (8) • Potatoes (sweet) (9) • Sorghum (10) • Others (explain) (11)	
6.0.3	What are the main agricultural implements? • Tractors (1) • Plough (2) • Hoe and Panga (3)	

6.04	What do the majority of farmers grow? • Cash crops (1) • Cash crops/subsistence crops (2) • Subsistence crops (3)	
6.0.5	How many large plantations are there in your location?	
6.0.6	What are the main types of livestock/poultry reared in your location? • Cattle • Pigs • Goats • Sheep • Donkeys • Rabbits • Poultry	
7.0	**PERSPECTIVE ON DEVELOPMENT**	
7.0.1	Which of the following are the three main places for disseminating development information to the people? • Open air market (days) (1) • Funerals (2) • Bars (3) • Public Barazas (4) • Theatres (5) • Churches (6) • Local Newspapers (7)	
7.0.2	What are the 4 major development problems of your location? 1. _____ 2. _____ 3. _____ 4. _____	
7.0.3	Currently, what are the priority areas for development of your location? 1. _____ 2. _____ 3. _____ 4. _____	
7.0.4	In what areas do you think the location is adequately developed? 1. _____ 2. _____ 3. _____	

7.05	What 5 categories would you prefer to give more emphasis in your location, out of the following lists: (priotize) • Agricultural extension services (1) • Social conservation, water conservation and flood control (2) • Increased agricultural production (3) • Horticulture extension services (4) • Housing construction (5) • Health clinic construction (6) • Education facilities construction (7) • Business sector expansion (8) • Construction of cattle dips (9) • Purchase of farms implement and seeds (10) • Greater use of fertilizer (11) • Others (explain) (12)	
7.0.6	Do you have a Project Management Committee in your location? Yes ( ) No ( )	
7.0.7	If Yes, what's its composition • Teachers • Paramedics • Businessmen • Assistant Chiefs • Church Leaders • Civil Servants • Women Groups • Youth Groups • (a) All (b) Only Civil Servants	
7.0.8	How often does the Project Management Committee Meet (a) Monthly (b) Fortnightly (c) After Three Months (d) After Six Months (e) During General Election time	
7.0.9	What is gender composition of the Project Management Committee (PMC) (a) Both Male and Female (b) Only Males (c) Only Females	

7.10	List five projects that have been approved by the PMC in the last one year. (a) _____ (b) _____ (c) _____ (d) _____ (e) _____	
7.11	What criteria do you use in approving projects _____ _____ _____	
7.12	Have the above-approved projects been implemented? Yes ( ) No. ( )	
7.13	If yes what was the communities contribution (a) In cash (b) In kind i.e. local materials, water, land, transport, unskilled land labour, supervision (c) None	
7.14	Who initiated these projects (a) Community (b) Non-Government Organization/Community Based organization (c) Government of Kenya (d) Member of parliament	
7.14	What was the mode of community contribution? (a) Voluntary (1) (b) Coercive (2)	
7.15	Supposing a grant of US$10,000 was given to your location by the University of Nairobi, Department of Geography; how would you prefer to spend it for development purposes? 1. _____ 2. _____ 3. _____	

GUIDE TO FILLING THE QUESTIONNAIRE

This questionnaire is meant to register the views of mainly the chiefs from the ten (i.e.) locations in Busia District.

In areas where the chief is not sure of answers he can be assisted by others who know the location well but he must be satisfied that the answers are as accurate as they can be.

Where the answer is not definite, a reasonable estimate should be made rather than leaving the question unanswered.

Any information obtained which cannot fit in the scope of the questionnaire should be recorded separately and referenced to the questionnaire second number and question number in the questionnaire.

Where the answers cannot be obtained on the same day the respondents can be allowed a few days to think about, or collect information for the consumers, *(The filled questionnaire need not be left behind if only a few questions are not answered. Answers for the remaining questions could be collected separately).*