Stabilizing Kenya by solving forest related conflicts

Appendices:

1. Project document

Title: Stabilizing Kenya by solving forest related conflicts

1. Project objective, hypotheses, relevance and innovative value

This project aims at "stabilizing Kenya by solving forest related conflicts" by way of investigating the multiple drivers of forest related conflicts around the Mau Forest Complex and the role of the Forest Act 2005 in changing patterns of conflict. It departs from the assumption that conflicts are a basic condition of human existence. Accordingly, the role of research is to inform practice, i.e. governance, on how best to mitigate the negative consequences of conflict. To paraphrase Carl von Clausewitz (1976) we argue that 'conflict is merely the continuation of politics by other means'. The aim of this project is to 'solve conflicts' in the sense of providing research-based evidence on the factors that drive and aggravate conflicts and use this evidence to make recommendations for and support inclusive governance approaches that may commit the parties to conflicts to choose politics over violence.

The project is organized in four sub-projects that focus on: legal text analyses and interviews at national, sub-national, and community levels to investigate the role of the Forest Act 2005 in changing patterns of forest related conflicts (SP1); in-depth research in case study localities on the development and underlying drivers of forest related conflicts (SP2); household level survey research to explore the livelihoods impacts of the Forest Act 2005 and the role of livelihoods and identities in shaping behaviour in forest related conflicts (SP3) and; synthesis of the research to develop and disseminate recommendations and tools for inclusive governance approaches (SP4).

1.2 Research Background

Kenya is riddled with conflict associated with instability, as was evident in the widespread violence in the wake of the two last national elections in 2002 and 07 (Kagwanja 2005, Klopp and Kamungi 2008, The Economist 2010). Much of the violence took place in rural areas, where conflicts and competing claims over natural resources appear closely entangled. The underlying drivers of conflicts and violence, however, remain contested and poorly understood. Solving or mediating these may comprise an important contribution to the building of a more stable Kenya that is better able to support development for and bring prosperity to its populace.

In search of stability and prosperity, the government of Kenya in 2005 enacted a new Forest Act aimed at improving natural resources management through the decentralization of responsibilities and rights of forest management to civil society bodies, called Community Forestry Associations (CFA). Such reforms constitute State building through adherence to democratic principles, whereby State-led governance becomes inclusive in the sense that it recognizes civil society based governance. In practice, however, top-down State-led governance reforms often ignore or disrupt pre-existing civil society based governance processes, which leads to further conflict and destabilization (Mugo et al. 2010).

By investigating the multiple drivers of forest related conflicts around the Mau Forest Complex and the role of the Forest Act 2005 in changing patterns of conflict, this project seeks to further our understanding of how to build inclusive governance that furthers stability and prosperity.

1.3 Objectives

The overall development objective of the project is to contribute towards *stabilizing Kenya by solving forest related conflicts*. This will be pursued through two overall project objectives and associated sub-objectives:

1. Improved understanding of the drivers of forest related conflicts and of the role of inclusive governance to provide for mutual recognition between State-led and civil society based governance in alleviating conflicts
1a. To understand the role of the FA 2005 in changing patterns of forest related conflicts (SP1)
1b. To understand the development and underlying drivers of forest related conflicts (SP2)
1c. To understand the role of livelihoods and identities in shaping behaviour in forest related conflicts (SP3)
1d. To use an improved understanding of conflict drivers and the role of State-led and civil society based governance for developing and disseminating recommendations and tools for inclusive governance approaches (SP4)

Each of the four research sub-objectives corresponds to a sub-project (SP) description that is referred to in brackets and in which the sub-objective is further specified in research questions and associated hypotheses.

2. Strengthened capacity of Kenyan partners for undertaking high quality research, education and training on forest related governance and conflict resolution processes
2a. To strengthen the Kenyan partners' knowledge base on theories of conflict and governance in the forestry sector
2b. To strengthen the approach to and portfolio of education and training on governance and civil society based conflict resolution processes with Kenyan partners
2c. To support further the integration of Kenyan partners into regional and international academic networks

The project has been developed in collaboration between (i) the newly established Wangari Maathai Institute for Peace and Environmental Studies (WMI), University of Nairobi (UoN), (ii) Kenya Forestry Research Institute (KeFRI), (iii) the Faculty of Law (UC-LAW), University of Copenhagen (UC) and (iv) the Centre for Forest, Landscape and Planning (UC-FLD) at the Faculty of Life, UC. Associate partner is Green Belt Movement (GBM), a national non-governmental environmental and conflict resolution organization in Kenya. This application was developed in close collaboration with partners, including three workshops in Nairobi in March 2010, October 2010 (where potential field sites were visited), and March 2011.

2. Main activities and outputs, which can be used as milestones in annual and final reporting
The main activities and outputs are summarized below according to the two overall objectives (see also Gantt chart in Appendix 4). Activities and outputs are organized in the four sub-projects that are briefly introduced in Section 4.2 and described in detail in the individual SP descriptions following this project description.

The majority of the research activities are placed in SP1-3 in which the main capacity building elements are the education of four PhDs and the human capacity strengthening associated with the collaboration amongst the senior faculty from Kenyan and Danish partner institutions. The main role of the senior faculty in relation to SP1-3 is: (i) to provide scientific inputs and background for the project activities; (ii) to supervise and support the PhD students and research assistants associated with the project and; (iii) to accompany the PhD students and research assistants in the field and supplement their efforts where needed. SP4 focuses on project synthesis, dissemination, capacity strengthening, and training purposes aimed at actors from community to national levels. In this, the role of PhD students and research assistants is limited, as the analyses and activities will be driven by the senior partners.

2.1 Research activities and outputs

The main research activities are: (i) desk studies of (a) the FA 2005 including related legislation and background documents to the Act (SP1) and (b) the history of the Mau Forest Complex from the onset of British colonialism in 1885 until the present (SP2); (ii) interviews on the implementation of the FA 2005 from national to community level (SP1); (iii) gathering of context information on the case study locations through various appraisal techniques (SP2); (iv) in-depth case studies on forest related conflicts through interviews and observations (SP2); (v) a household survey with associated preparatory and follow-up interviews focusing on (a) livelihoods impacts of the implementation of the FA 2005 and (b) livelihoods and identity factors affecting conflict behaviour (SP3) and; (iv) synthesis of the results and development of a conflict assessment and management framework and early warning system (SP4).

The outputs to be produced encompass the following: Four PhD graduates; a detailed household level data set on livelihoods, forest access, and attitudes from 480 households; a minimum of four papers for presentation at international conferences by Kenyan partners and PhD students; a minimum of eight co-authored manuscripts for publication in international peer-review journals by partners submitted; a policy-focused report on options for inclusive governance approaches to solve forest related conflicts in Kenya; four policy briefs in English targeting national policy makers and NGOs and; a 2-day national policy conference.

The four **PhD studies** are central to the successful completion of the research activities. Accordingly, great care will be taken in the selection candidates. The identification and selection process will commence in the first quarter of 2012. Applications will be attracted through a nation-wide call. Applicants must fulfil the following minimum eligibility criteria: (i) MSc degree, (ii) under 45 years, (iii) IELTS score 5.5 or corresponding TOEFL (minimum 513; CBT 183; IBT 65), (iv) not holding a PhD, and (v) not enrolled as PhD student at UoN. The following project-specific criteria will apply: the proposed study must (i) respond to the call text and (ii) be of high academic quality. The Project Management Team will evaluate PhD eligibility and project-specific criteria. Eligible applications will then be evaluated by the two project co-ordinators according to the general academic criteria: (i) relevance, (ii) quality of problem analysis, (iii) appropriate choice of methods, (iv) realistic planning, and (v) coherence and logic. The Project Steering Committee will select applicants for funding based on the evaluation by eligibility, project-specific and academic criteria. Supervisors from UoN and co-supervisors from UC and partners will then be assigned.

2.2 Capacity strengthening
The overall strategy is to support the research capacity of the Wangari Maathai Institute for Peace and Environmental Studies (WMI) and to strengthen capacity and ties between WMI and GBM and KeFRI through the development of joint training and outreach tools and activities.

2.2.1 Research capacity – PhD, MSc students, and research assistants
The four PhD graduates represent potential future key researchers at WMI. Senior partners will also strengthen their research and supervision skills through involvement in the research, interaction with Danish partners, and exposure to the PhD/research environments at UC.

The two planned visits by Kenyan PhD students to UC through the sandwich program will expand research networks. The first visit (2012-13) will focus on coursework and elaboration of a project plan including research tools; the second (late 2014) will focus on the analysis and write-up process (including a PhD course in academic writing). UC-FLD has a vibrant PhD environment hosting many foreign and Danish PhD students. The visits will enable the students to benefit from the academic culture and activities at UC through participation in brown-bag seminars, scientific discussions, reading groups, scientific writing workshops, conferences, courses etc. Study stays at UC will also be co-ordinated to maximise team-building among the PhDs and supervisors. To further support the integration of WMI into academic networks the PhD students and Kenyan

partners will prepare and present papers on project findings at relevant international conferences, and a targeted process for identifying and establishing contacts to relevant research networks will be implemented.

Scholarships to support MSc theses projects will be announced in calls with (i) a focus on research areas of interest to the project and (ii) elaborated, specific guidelines for applications to provide incentives for the development of high quality theses proposals in collaboration with supervisors at UoN. The guidelines for applications will follow those of the MSc course 'Research Planning' (400027) offered at UC-FLD. The Project Management Team will select among the applicants. Fifteen scholarships will be allocated during the lifetime of the project. Specific outputs are the submitted MSc theses.

Finally, the project will employ two BSc graduates as research assistants. MoUs will be generated outlining the necessary specific competencies of the two research assistants. The assistants represent potential future assets to the WMI.

2.2.2 Education capacity
The project aims to strengthen the partners' approach to and portfolio of education and training activities. Specific outputs are the development of an MSc programme on peace and environmental studies, which is a priority area of the WMI (UoN 2010). The MSc programme will be developed alongside research activities to exploit opportunities for collaboration with rural communities in future field based teaching activities. Further, a case study methods workshop will be held at UoN with participation of all PhD students and supervisors.

In general, an exchange of teaching ideas and methods (e.g. problem-based learning) between the involved parties is expected to enhance the teaching and learning environments. In this respect, the project partners will co-ordinate closely with the STRAPA and 'Building Stronger Universities' processes so as to look for potential overlaps and opportunities for synergies in more generic activities, such as short courses on pedagogy or supervision.

2.2.3 Outreach capacity
A major ambition of the project, which is also reflected in objective 2b, is to further strengthen the capacity of partners to deliver research-based outreach activities, i.e. dissemination and training. The primary means to achieve this ambition is the maintenance of close collaboration on research, dissemination, and training throughout the project. Accordingly, it is hoped that the strong record of outreach activities in relation to conflict management by Danish partners and Kenyan partner GBM, may provide mutual learning for both sides. The high priority given to such outreach activities should be seen as evidence of the intention to ensure that research results are communicated back to rural communities and other actors involved in the Mau Forest Complex.

Specific outputs are: (i) the development and implementation of an early warning tool for the intensification of forest related (and other) conflicts; (ii) short extension focused courses (one on conflict and one on Participatory Forest Management (PFM)); (iii) workshops and collaborative learning sessions at various levels (national policy level; extension professionals; communities) and; (iv) the development and dissemination of training packages.

3. Effects of the project
The project will help to alleviate forest related conflicts in Kenya through research-based development and implementation of context-specific conflict prevention and resolution mechanisms, and through research-based recommendations for inclusive governance. The outputs offer scientific background information useful to the formulation of forest sector strategies regarding PFM in Kenya and other developing countries, as well as for more generic conflict

prevention and alleviation strategies. Through collaboration among key research institutions, the project will strengthen research, education and outreach capacity among Kenyan partners as well as at UC.

4. Methodology and research plan, including capacity building and the relative share of project activities directed towards capacity building at the partner institution(s)

Figure 1 depicts the project organization. The overall goal is to contribute towards stability and democratization at the national level. This contribution will be based on an improved understanding of the drivers of conflict (SP2) and the role of formal law (exemplified by FA 2005) in alleviating or reproducing conflict (SP1). SP3 contributes to this understanding through detailed information on the impacts of the implementation of formal law on livelihoods and the role of livelihoods and identities in shaping conflict behaviour. Finally, SP4 synthesizes the results of the research and provides outreach activities at national to community levels with an aim to deliver impact in practice.
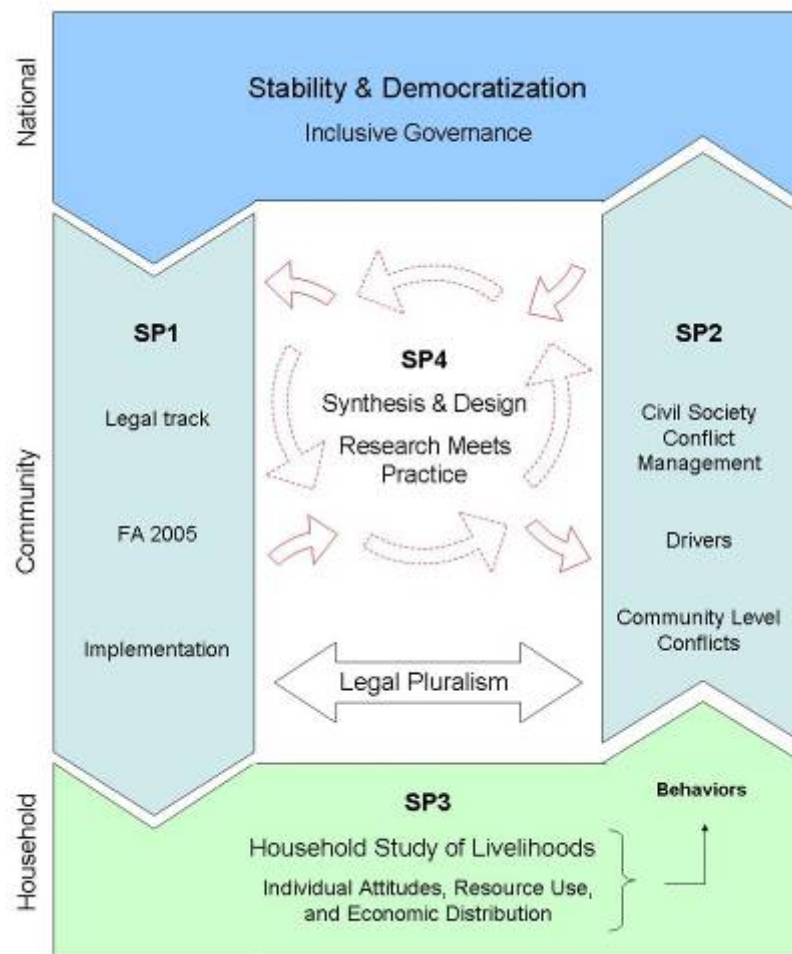

Figure 1: The research is organized in SP1-3 that forms a circuit from national to household level and bridges the gap between formal and customary law – legal pluralism. In SP4 research meets practice – inputs and results from SP1-3 are transformed into operational tools, frameworks, policy briefs, recommendations, training packages etc. and fed back into the governance circuit.

4.1 Research design

A two-pronged empirical research design will be employed to meet the research objectives: (1) a case study of the implementation of the FA 2005 (SP1) and; (2) investigations of forest related conflicts and their underlying drivers at the community level (SP2). The analyses on the basis of these two approaches to the study of conflicts and the role of governance will feed directly into SP4. The household level investigations of how livelihoods and identities shape conflict behaviour in SP3 provide important background information for the analyses in SP1-2.

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This project chooses the Mau Forest Complex as the geographical context within which the research questions will be explored. This choice is justified on two grounds. Firstly, Mau features a long history of competing claims over forests involving excisions, encroachments, evictions, and violent struggles between different groups (Ayoo 2007, Matiru 1999). The Mau Forest Complex thus provides a good context for the study of drivers of conflicts. Secondly, Mau is the largest forest complex in Kenya and of tremendous importance to local livelihoods and to the nation in terms of a stable and sediment free water supply for hydropower generation, tea growing estates and the wider network of rivers and lakes in East Africa. The results of this study will therefore be of immediate policy relevance to Kenya.

At Mau, four locations will be selected based upon variation along two parameters being (i) the presence of well established CFAs (yes/no) and (ii) community ethnic composition (homogenous/heterogeneous). During field visits and planning workshops in 2010 and 2011, five potential locations were identified by the partners: (1) Kihingo (no CFA, heterogeneous); (2) Sururu (CFA, heterogeneous); (3) Nessuit (CFA, homogenous); (4) Teret (no CFA, homogeneous) and; (5) Likia (no CFA, heterogeneous). Suitability and willingness to participate in the research will be elicited during visits in the first half of 2012, with an aim to identify the final set of sites.

4.2 Sub-Project descriptions

Sub-Project 1: FA 2005 Customary Laws and Practices
SP1 will improve our understanding of the role of the FA 2005 in changing patterns of forest related conflicts. It does so through a case study of the FA 2005 in text and implementation. The research will track the development of the FA 2005 text through a review of policy documents, drafts of the law text, and commission works as well as through interviews with those involved in the preparation. This process will clarify the expressed political motives behind the Act in order to create a yardstick against which the investigations of its effects can be gauged. Furthermore, the study will follow the implementation, including enforcement and adjudication, of the Act through review of court cases and, in particular, interviews with relevant actors at national, sub-national, and community levels (also supported by investigations at community and household levels in SP2-3). This process will reveal the on-the-ground effects and whether these can be attributed to the text and/or to its implementation in practice.

Sub-Project 2: Forest Related Conflicts in Mau
SP2 aims at improving our understanding of the causes, development and underlying drivers of forest related conflicts. This will be accomplished through a combined desk study and interview-based investigation of the social and historical context of the case communities, including the history of forest related conflicts going back to the onset of British colonialism in 1885. Furthermore, the SP will investigate selected conflict cases to identify their drivers and to understand the role of various conflict resolution mechanisms in their development. Finally, SP2 will provide the empirical foundation for the development of a locally-adapted early warning system for conflict escalation that builds upon any such systems already in existence (to be developed and implemented in SP4). Methods include semi-structured interviews, various appraisal techniques to map the development of natural resources and human populations, and participant observations. The investigations will provide inputs to SP1 (as mentioned in the SP1 description above) and SP3 (community-level background information to trace causality behind observed correlations in the household-level data).

Sub-Project 3: Household-Level Study of Livelihoods and Attitudes
SP3 will improve our understanding of the role of livelihoods and identities in shaping behaviour in forest related conflicts. The information will be procured through a structured household survey

focusing on livelihoods and identity factors shaping conflict behaviour, preceded and followed by more in-depth semi-structured interviews focusing on preparing the survey and unravelling causalities behind observed correlations in survey data, respectively. SP3 delivers individual and household level information for the analyses in SP1, in the form of livelihoods impacts of the establishment of CFAs, and SP2, in the form of how attitudes towards institutions and livelihoods- and identity-based groups are shaped by livelihoods and identities.

Sub-Project 4: Synthesis – Research meets Practice
With a departure in the research results of SP1-3, this SP will provide an improved understanding of conflict drivers and the role of State-led and civil society based governance with a further aim to develop and disseminate recommendations and tools for inclusive governance approaches. This SP is thus specifically designated to explore novel and effective ways in which research meets practice in order to empower rural people as well as professionals. A comprehensive desk analysis based on the data and analyses from SP1-3 will form the basis for the development of a conflict assessment and management framework as well as an early warning tool. Furthermore, SP4 will develop and implement courses aimed at extension officers, training packages and publications with associated operational tools and manuals to be disseminated to communities and professionals, as well as organize workshops and conferences aimed at actors at different levels. This will be done under due consideration to and building upon existing similar tools and manuals in Kenya.

Capacity building through research
Research activities are crucial to develop and sustain high-quality research based teaching at WMI. The capacity of WMI to deliver such teaching will be further supported through its process of curriculum development for a new MSc programme on 'Peace and Environmental Studies'.

Bonds among project partners (as well as access to existing UC-based research networks) will further enable future research collaborations. The project will seek to strengthen the links of WMI to society and practice by actively reaching out to relevant actors (such as Kenya Forest Service, relevant ministries, Kenya Forest Working Group, and other NGOs). The enhanced capacity is fully in line with the strategic aim and vision of WMI/UoN: "To enhance environmental resource management that promotes peace and improves livelihoods" (UoN 2010). See also section 2.2.

5. Status of existing knowledge in the field (state-of-the-art) and innovative value of the proposed research
Conflict resolution and prevention presupposes knowledge of the drivers and dynamics of conflict. Theory and empirical evidence point to racial, ethnic, cultural, religious cleavages, but also inequality in the distribution of income and resources and historical grievances as important drivers of conflict in Africa (Collier 2004, McNeish 2010, Rothchild et al. 1996).

The Forest Act 2005 has been welcomed as a paradigm shift from command-and-control towards greater participation in forest management and conflict resolution. Instances of conflicts in the wake of its implementation, together with the historical role of national leaders in sparking conflicts at the local level through land distribution politics favouring some tribes on behalf of others, show that, while legislation and associated State-led mechanisms for adjudication and resolution of conflicts are important parts of the solution, they cannot stand alone (Seidman et al. 2007). The fact that State-led governance can be seen both as a part of the solution and as a part of the problem (Scott 1998, Wiersum 2010) points to the need for recognition of civil society based norms and conflict resolution mechanisms. This project is innovative in the sense that it seeks to extend the state-of-the-art by contributing to developing forms of inclusive governance that provide for such increased mutual recognition of State-led and civil society based governance and conflict resolution.

The project also addresses participatory or decentralized approaches to natural resources management. Theories of decentralization and popular participation argue that the devolution of relevant powers to representative and inclusive local management bodies may improve local decision-making efficiency and equity (Oates 2005, Smoke 2003, Chambers 1994). Representativeness implies that the management body can be held to account by the populace of its jurisdiction or membership through an ensemble of positive or negative sanctions, while relevant powers refer to powers that are sufficient to enable local bodies to be responsive to local needs and aspirations. These are the fundamental assumptions underlying the promises of all decentralized approaches, including those related to forest management. Research on forest decentralization reforms has shown that (i) the conditions theorized to bring about the above improvements are rarely established and that (ii) the livelihood impacts of the reforms are often negative and biased against the poorest (Ribot et al. 2010). This project is innovative in the sense that it applies state-of-the-art theories and methods on decentralization and livelihoods to investigate (i) the degree to which the implementation of the FA 2005 fulfils the theorized conditions for efficiency and equity and (ii) how the FA 2005 implementation has affected human welfare as observed through changes in patterns of conflict and livelihoods (thus extending the state-of-the-art livelihood definition to encompass conflict related aspects).

6. Details of the applicant's qualifications and previous contributions to the field
UC-LAW is one of the leading law research and educational environments in the Nordic region. The lead applicant Prof. V. Vindeløv holds the only law-professor chair in Scandinavia in Mediation and Conflict Management thus uniquely facilitating the combined study of law and of conflict management and resolution in a broader sense. V. Vindeløv has extensive hands-on experience with conflict resolution, post-conflict trauma and reconciliation from work in the former Yugoslavia as well as in post apartheid South Africa. Furthermore, she is one of the founders of the Danish Centre for Conflict Resolution (NGO) in which she has been head of board for several years. At UC-LAW, V. Vindeløv has established MSc courses in mediation and has established and is director of two post-graduate Master Programs in Mediation and Conflict Resolution and Master in Societal Conflicts and Interventions.

The strength of the team behind this application is found in the **partnership**. **UC-LAW** features internationally recognised and unique scientific and practical competencies within the areas of law and alternative conflict resolution approaches. This is supplemented by **UC-FLD** featuring (i) a strong track record in implementing research and education capacity strengthening projects (including in East Africa and Kenya) and (ii) a vibrant and internationally oriented research environment with approximately 12 senior level researchers and 15 PhD students working full time with socio-economic and governance aspects of forestry in developing countries, including two PhD students currently working on related issues (conflict and forest governance) in Kenya. In Kenya, **WMI** is a new ambitious initiative aimed at integrating the study of environment and conflict with an emphasis on multi-disciplinary research and on outreach (WMI Strategic Plan 2010-2020). Being based at UoN, WMI aims to create a centre of excellence in sustainable management of environmental resources and conflict resolution mechanisms. **KeFRI** is the national forestry research centre. To strengthen its outreach, training and dissemination activities, KeFri has established networks across the forestry sector including ministries, private sector, NGOs, and local civil society organizations. Finally, the associated partner **GBM** is a national NGO dedicated to integrated approaches to sustainable resource use and alleviation of resource related conflicts. GBM was established by Wangari Maathai in 1977 and uses tree planting as an entry-point for self-determination, equity, improved livelihoods and security. GBM has extensive experience from the Mau Forest Complex.

7. Work schedule and time schedule, incl. milestones

The work and time schedule is presented in Table 1. The project milestones are provided in the Gantt chart in Appendix 4.

Table 1: Work and time schedule

Year	2012				2013				2014				2015			
Activity / Quarter	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
PhD studies	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓		
Project workshops	▓				▓											▓
SP1: FA 2005 and Customary Laws and Practices			▓		▓	▓			▓							
SP2: Forest related conflicts in Mau					▓	▓	▓			▓	▓					
SP3: Household-Level Study of Livelihoods and Attitudes					▓	▓	▓	▓								
SP4: Synthesis – Research meets Practice													▓	▓	▓	▓
Project management (PMC + PSC)	▓				▓				▓				▓			
MSc Programme development	▓									▓		▓				
MSc theses projects	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓				

8. Project organisation

UC-LAW provides the Principle Responsible Party (PRP, prof. V. Vindeløv) who will coordinate activities and report to FFU. PRP is responsible for sending quarterly updates on progress in relation to the project plan and milestones.

Strategic project management as well as external advocacy for the project (in policy and practice) will be handled by a joint **Project Steering Committee (PSC)** with influential members with an interest in the project and the development of the WMI: Principal of the University of Nairobi, prof. A. Mwang'ombe; Director of KeFRI, Dr. B. Chikamai; Vice Chancellor - Faculty of Law, UC, prof. J. Vestergaard; Project Coordinator UoN, Dr. T. Thenya; Project Coordinator UC, prof. V. Vindeløv and; Director of WMI, Dr. S.G. Kiama who will serve as ex officio member (secretary) to the PSC. The PSC oversees project progress and make adjustments if needed. Annual meetings will be held.

Day-to-day practical project management will be done by the **Project Management Committee (PMC)**. UN provides the project coordinator Dr. T. Thenya, supported by STRAPA coordinator Dr. Wahome. KeFRI will be represented by prof. J. Kagombe and GBM by prof. N. Karanja. The PMC will co-ordinate closely with the UC partners and, in particular, the PRP. Table 2 provides an overview of the competencies and roles of the individual project partners. Each SP will have two co-leaders (one from Denmark and one from Kenya) that are responsible for the progress of that SP.

Table 2: Competencies and roles of individual project partners (on competencies, see also CVs)

Name	Competencies	Role in SP (X: co-lead, x: involved)			
	SP	1	2	3	4
V. Vindeløv	Law, conflict mediation theory and practice	X	x		X
L. Nielsen	Law	x			x
J. Emborg	Conflict mediation theory and practice		X	x	x
J. Lund	Livelihoods, PFM, survey research			X	x
I. Nathan	Governance, qualitative methods, case study	x	x		x
T. Thenya	PFM, policy processes	x	X		x
J. Kagombe	PFM, extension work	X	x	x	x
R. Wahome	Quantitative methods, livelihoods			X	x
N. Karanja	Outreach activities				X
A. Mumma	Law	x			x

The PMC is responsible for fieldwork, coordination with institutions and NGOs (KFWG, KFS), relations to associated research partners, and budget monitoring of the Kenyan side. The PMC follow track on milestones and delivery of outputs and submits to the overall co-ordinators quarterly progress reports.

The project is embedded in the Strategic Partnership Agreement (STRAPA) between UN and UC. It will be included in the agenda of the Joint STRAPA Steering Committee (JSSC) that meets once a year. The JSSC consists of Rectors/VC's or their appointees, senior researchers and senior managers from the STRAPA universities. The PSC and the PRMT is supported by STRAPA coordinators from each university, who are financed as counterpart contribution by the involved institutions. The STRAPA coordinators provide 'fast track' access to senior management and can e.g. help establish links and relations to relevant partners and institutions on the ground and facilitate cross project experience exchange and learning.

9. Risks and assumptions
A major risk is the unstable political situation in Kenya. National elections are scheduled for December 2012 implying a real risk of instability and violence, not least in the case study area. This risk may entail delays and flexible planning in relation to the selection of case study areas.

10. Information on how the project's findings are to be made public, disseminated and communicated
Findings will be disseminated through written media by publication of peer-review articles, reports, policy briefs, and booklets and through oral communication in workshops at community level, a national conference, short courses aimed at extension officers, and an MSc program description.

11. Description of any ethical aspects
Apart from the desk studies all research in this project will involve interviewing. However, dealing with conflicts, especially violent conflicts, is a specifically delicate issue, and as action researchers we run the risk of (constructively as well as destructively) influencing the situation we investigate. Special awareness will be given to the risk in interviews of re-activating feelings of trauma, and to what extent a supportive network is available for those interviewed. Experiences from work in Bosnia and in relation to the Truth and Reconciliation Commission in South Africa have also taught us, that we must pay attention to the mental well beings of interpreters, and the stress for interpreters that translating experiences with traumas may cause.

Researchers associated with interviews will at all times adhere to best standards as described in the Code of Ethics of the American Anthropological Association, including ensuring free prior informed consent of the interviews and guaranteeing anonymity. The data resulting from the project will be the property of all partners engaged in collecting them and access to data by all partners after the end of the project will be ensured.

12. Summary of the achievements of possible previous phases/projects.
Not relevant.

13. References, including from Form B
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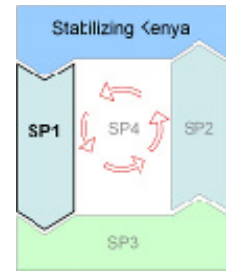
SP1: Forest Act 2005 and Customary Laws and practices

1 Background

In 2005, as part of a democratization process, the Government of Kenya (GoK) introduced the Forest Act 2005 (FA 2005). The Act aims at decentralizing the management of forests by focusing on institutional arrangements that shape the balance of powers between GoK local government and local communities (ARPIP 2009, KFS 2010, Thenya 2007). The Act recognizes Community Forestry Associations (CFAs) as partners in forest management, and thus represents a paradigm shift from State-driven command-and-control towards greater participation of civil society. It thereby also responds to calls by scholars and development agencies for increased popular participation in forest management (PFM) to promote equitable and sustainable governance (Danida 2007, Ribot 2006) and conflict resolution (Christie 2008, Seidmans et al. 2007). However, the implementation of the Act has not been smooth. Many issues remain unresolved, such as the formation of CFAs, the effectuation of the transfer of power and resources between the traditional bureaucracy to civil society (ARPIP 2009), and the sharing of costs and benefits between the Kenyan Forest Service and communities.

The relevance of investigating the implementation of FA 2005 is further underlined by reports of new instances of conflicts in the wake of its implementation, particularly amongst the new CFA groups, between the new CFAs and existing customary natural resource management institutions, and between community leaders and their followers (Christie 2008, Kenya Land Alliance 2011, Siringi 2010).

2 Objective (1a), Research questions, Hypotheses

The general objective of SP1 is to improve our understanding of the role of the FA 2005 in changing patterns of forest related conflicts.

The approach taken to meet this objective includes a formal legal analysis of the FA 2005 in text and implementation. This will be useful to understand (and eventually communicate) the expressed political motives behind the Act, and thus to have a yardstick against which the investigations of its effects can be gauged. The study will also seek out the actual implementation of the law on-the-ground. This component aims at understanding whether and how changing patterns of forest related conflicts can be attributed to the implementation of FA 2005.

Accordingly, SP1 will focus on the following research questions and hypotheses:

1. Formal legal analysis of the Forest Act 2005
1.1. What are the important contents of the Act, and how does the Act relate to other formal national legal frameworks in relation to managing natural resources and related conflicts?
1.2 What political factions supported/opposed the Act and what compromises were made in the process?
1.3 How do the implementing agencies (CFAs) perceive the Act in terms of its role in causing or contributing to conflict resolution at the local level and its interaction with other legal domains at national, sub-national and local levels?

2. Understanding the role of the Forest Act 2005 in a context of legal pluralism:
2.1 Have patterns of forest related conflicts changed since the implementation of FA 2005?
2.2. Which activities have been implemented in the area as a result of the Forest Act through the CFAs and other agents?
2.3. How have these activities affected and been affected by other legal domains, and by conflicts and conflict resolution processes?
2.4. How are pre-existing forest related power struggles affected by the implementation of CFAs?

Associated hypotheses:
1. Both the legislation for and implementation of CFAs have encountered challenges associated with power struggles at the national and local levels between political factions and ethnic groups.
2 The implementation of FA 2005 is challenged by the competing interests of unprepared institutions and overlapping bodies of customary law and practices; these interests have not been (sufficiently) addressed in the law making process.

3 Theory and conceptual framework
In this project, law is defined as an *official instrument of social change aimed at creating coherence in a given society* (Cotterell 1984, Dalberg-Larsen 2005, Rottleutner 1982). Thus, law is characterized as being of general importance to the whole society (nation), by being established through a formal procedure and in a formal language, and by being modifiable only through a given procedure decided in advance. Implicit in this definition is a belief that laws express generally accepted political ideals, and are accepted by the society as a whole as being just and fair and thus creating coherence in the society (Banakar and Travers 2002, Dalberg-Larsen 1984, Luhmann 1972).

Contrary to legal norms, social norms are characterized as operating in limited parts of a society, within confined geographical areas or social groups, as not being sanctioned by formal institutions, and as being expressed and reproduced through oral communication and social interaction. These social norms are seen as legitimate *customary laws* that give people a sense of belonging and meaning, in contrast to legal norms that almost invariably focus on individual rights. Hence, despite the intentions of formal law, legal norms are often seen to create unintended effects as citizens use them for non-intended purposes or find them useless, or even destructive, when trying to reproduce or change social norms and behaviour (Habermas 1981).

This understanding of conflicting norms has inspired scholars to conceptualize *legal pluralism* (Griffiths 1986, Merry 1988). In the present project, legal pluralism is defined as describing a situation in which two or more laws (formal or informal) co-exist. This definition depicts legal pluralism in a neutral manner not seeing one system as above or subordinate to the other and is based on a broad understanding of law defined as the binary code of legal/illegal (Michaels 2009, The World Bank 2007).

What makes legal pluralism relevant is the coexistence of multiple, often overlapping, systems of norms, and, in particular, that this diversity, if not recognized, creates uncertainty and sometimes escalates conflict. If left unnoticed, legal pluralism may result in competing claims of authority by imposing conflicting demands or norms. This potential conflict, which we will refer to as "conflict of law" can generate uncertainty or jeopardy for individuals and groups in society who cannot be sure in advance which legal regime will be applied to their situation. This also creates opportunities for individuals and groups within society, who can opportunistically select from among co-existing legal norms to advance their aims (Riles 2006, Tamanaha 2006).

By examining the FA 2005 as one of the norms in a setting of legal pluralism we can explore the ways in which order is configured and reconfigured through negotiations, disputes, and normative prescriptions. We focus on conflicts, which we suppose will arise especially in relation to issues of access. It embraces processes of inclusion and exclusion, and examines who has the power and authority to define, interpret, implement and enforce law at the multiple levels of which it operates (Shipton 2009, Wiersum and van Oijen 2010).

4 Methods
Phase 1. Formal legal analysis of the Forest Act 2005
This part of the study will rely firstly upon a document review of laws, regulations and literature on forest related conflicts in Kenya, project documents, training materials, case records and databases. Moreover, it will draw from an estimated 25 qualitative interviews with officials and politicians at the national and sub-national levels. The senior partners will carry out the main part of the desk study of legislation and national-level investigations, where their seniority may help them to access documents and respondents.

Phase 2. Understanding the role of the Forest Act 2005 in a context of legal pluralism
This part of the study will be carried out as a long-term anthropological type of fieldwork in the four localities selected as case areas for the whole project (project document section 4.1) and in public offices involved in the implementation of the FA 2005. The study will start by conducting a minimum of 30-40 interviews with persons in the local administration, lawyers, the police, courts, CFAs, county council leaders and members, other community leaders, local government, the Green Belt Movement, with other local actors that have been affected by the implementation of the law, and other key informants. Many of these respondents will be identified through snow ball sampling (Mikkelsen 2005).

A PhD student will carry out this part of the study, which includes elaborating a detailed research plan and a field presence of a minimum period of six months. Such a duration will enable the student to build trust, observe natural resource management and conflict resolution processes in practice, and conduct repeated interviews. During the field stay, the PhD student will be strongly supported by the senior researchers including in the field.

5 Time schedule
2012 Senior partners initiate desk studies. The PhD student and supervisors develop a detailed PhD design that expands on the SP1 description, with special emphasis on what further desk studies to carry out and an initial assessment on what persons/officials to interview.
2013 Desk studies and the selection of persons/officials to be interviewed as well as development of questionnaires must be finalised within this year. Pilot interviews are made with the supervisors being present. Semi-structured interviews are started.
2014 Data collection in terms of semi-structured interviews is finalized. Analyses of interaction between desk studies and findings in interviews. Writing of manuscripts.
2015 Submission of manuscripts for publication, submission and defence of PhD thesis, presentation of results at end-of-project conference and in national and international forums.

6 Expected output

Increased understanding of the interaction between FA 2005 and customary law. A PhD thesis within the area of SP1. A policy document developed with recommendations for future legal reforms and more inclusive governance approaches (see SP4). One article submitted to international peer-review journal. Suggested title:

1. How can government use law to bring about the social change that comprises development and local ownership (accountability) - opportunities and challenges in inclusive governance

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SP2: Forest related conflicts in Mau

1 Background

It is well documented that conflicts over land between ethnic groups in Kenya have been orchestrated and escalated at the national level for political purposes, in particular in connection to elections. A complicated land-ownership history (e.g. excision of state forest and extensive illegal, irregular and ill-planned settlements) and increasingly strained relationships between tribes "opened the gates" for political manipulation of the beliefs, perceptions and attitudes of citizens in the Mau Forest Complex. As a result, massive violence and ethnic cleansing among different tribes occurred after the 2002 and 2007 elections (UNDP 2008, Ajulu 2002, Kagwana 2003). These are among the apparent drivers of recent and future conflicts in rural Kenya.

Through legal reform in 2005, the Government of Kenya introduced increased involvement of civil society in forest management. However, a lack of adequate local institutions to constructively include citizens has been proven to drive new conflicts and power struggles among stakeholders (Njeru 2010). This concurs with what has been observed in other sub-Saharan countries (Ribot et al. 2010) and constitutes an important governance dilemma concerning the need for decentralization/democratization and the potential to fuel new conflict in Kenya – with consequent destabilization. This governance dilemma must be better understood to be effectively addressed in policy as in practice, and to improve the theoretical basis for conflict resolution practices (Ribot et al. 2010, Suifon 2005).

2 Objective (1b), research questions and hypotheses

This SP aims at improving our understanding of the development and underlying drivers of forest related conflicts. An in-depth understanding of the drivers of conflicts is essential for the development of recommendations on how to alleviate existing and mitigate future conflicts. Furthermore, SP2 will provide important input to the other SPs. Knowledge of the drivers of conflict will feed into the analysis of the role of the FA 2005 in changing patterns of conflict (SP1). Information on the role of civil society based conflict resolution procedures, including indicators of conflicts, will supply the background information necessary for developing procedures and tools to warn of and alleviate conflicts in the area (SP4). Accordingly, SP2 will focus on the following research questions and hypotheses:

2.1 Who are the actors and what are the root causes and drivers of conflicts *in general* in the chosen locations?
2.2 What are the conflict resolution mechanisms *in general* in the chosen locations (e.g. regarding tribal, gender, power differences)?
2.3 How are the *specific* conflicts around forests and the role of the FA 2005 and CFAs perceived by different stakeholders (e.g. tribes, elders, men/women) with regard to their influence community level conflicts and their resolution?
2.4 How can a locally-adapted early warning system reduce the negative consequences of conflict?

Associated hypotheses:
2.a Conflict drivers are related to the distribution of power, which determines access to conflict resolution procedures and resources.
2.b Conflicts and conflict resolution procedures are connected to tribal and political affiliations.

3 Theory and conceptual framework

Conflict can be defined in multiple ways. This study employs Barnes' (2005): "Conflict occurs when two or more parties (individuals or groups) have – or *perceive* that they have – incompatible goals and this perception of incompatibility shape their attitudes and behaviours toward each other".

Galtung's (1969) classical model of conflict suggests that conflicts are highly dynamic and can be viewed as a triangle formed by Attitude, Behaviour and Contradiction. *Attitudes* include the parties' perceptions of each other and of themselves. In violent conflicts, demeaning stereotypes and emotions such as fear, anger, bitterness and hatred are often prevalent among the parties. *Behaviour* can include cooperation or coercion, conciliation or hostility – and in violent conflicts threats, coercion and destructive attacks are widespread. *Contradiction* refers to the actual or perceived incompatibility of goals and interests. In this study, Galtung's model will be supplemented by other relevant conflict models and frameworks (e.g. Lederach 1997, Ramsbotham et al. 2005, Carpenter and Kennedy 2001).

Theory on conflicts suggests that most conflicts have *substantial issues*, as well as *relationship* and *procedural issues* (Moore 1996, Daniels and Walker 2001). Frustrations with livelihood outcomes and unfair procedures, historically strained relationships and hostility, fear and anger among groups prevent constructive communication which in turn hampers conflict resolution; circular dynamics may lead to rapid escalation and intractability (Opotow, 2000, Coleman, 2000, Ajulu 2002, Kagwanja 2003, Ribot et al. 2010). This study purports that such theories in concert local knowledge are needed to un-tangle the root causes and drivers of hostility and clashes in rural Kenya.

Most communities locally develop procedures and mechanisms to determine access and rights to forest resources (Ostrom 1990). If conflicts are complex (e.g. many issues and/or many parties) or aggravated, the established local procedures may not suffice and uncontrolled escalation and violence may occur. The theory of "hurting stalemate" (Zartman 1989) predicts, in absence of appropriate conflict management mechanisms, that individuals/groups at some point (when the conflict is "ripe") take initiative to resolve the conflict. These and related theories will be helpful to develop procedures and mechanisms to address intractable, escalated and violent conflicts in a timely manner. To develop early warning systems that are useful in practice, theory must be supplemented and integrated with context specific local and traditional knowledge (Suifon 2005). An inspiring example of an integrated early warning approach exists from violent cattle raiding in Rift Valley, Kenya.

SP2 is based on the assumption that conflicts are not inherently detrimental, but rather that conflicts have both constructive (out sets for development) and destructive (suppressive/violent) potentials – largely depending on how they are managed (Pruitt and Kim 2004, Deutsch and Coleman 2000, Vindeløv 2006). Theory suggests that framing conflict resolution as a mutual learning process, and carefully designing conflict resolution processes in accordance with learning theory (e.g. Kolb 1984), may mobilize the constructive potential of conflicts (Daniels and Walker 2001). Improved assessment frameworks will be helpful to "map out the conflict landscape" and to identify the critical features of each (unique) conflict situation, which in turn will produce a stronger basis for designing effective conflict resolution procedures.

4 Methods

SP2 will be designed as an embedded case study (Yin 2009) and rely mainly on qualitative methods (Mikkelsen 2005, Halkier 2008, Kvale 2008). It will, however, also draw on the quantitative results from SP3. The main cases are the four selected locations in the Mau Forest Complex. The embedded cases are constituted by contemporary forest related conflicts and associated conflict resolution processes. The research will be carried out in three phases by two PhD students and supported and supplemented by the senior partners.

Phase 1. Selection of conflict cases, initial assessment and description
The first step is to provide an overview of the case study localities in terms of ethnic composition, livehood strategies, natural resources, infrastructure, and history. This will be done through various appraisal techniques and group interviews in order to form a baseline level of information that will also be of value to the other project activities. Based on key informant interviews, 8-12 contemporary conflict cases will then be identified in the four selected localities. Assessment frameworks will be used to structure the information gathered from qualitative interviewing and studies of literature, documents and other sources.

Phase 2, In-depth study of conflict cases and conflict resolution processes
The second step is to carry out an in-depth study of the 8-12 selected conflict cases in order to unveil the social and institutional driving factors. For this purpose we will work with those involved in both the conflicts and in conflict resolution processes, and will also follow trajectories from these groups if relevant. Conflict resolution mechanisms will be studied where applicable, as will the perceptions of these mechanisms of those involved (including all social groups, tribes and genders). Various theoretical models of conflict and analytical frameworks, cf. the theory section above, will be used to structure and analyze the data. In this phase, information on locally perceived indicators of escalating conflict will also be gathered through group interviews, which will feed into the development of an early warning system (see SP4).

Phase 3, Specific study on perceptions within and among groups
The third step is to understand how local people perceive conflicts and conflict resolution. This part of the study follows a mixed methods approach (Creswell 2009), drawing on qualitative data from the in-depth interviews in tandem with the quantitative results generated in the household study of SP3. We will consider the perspective of different social groups and organizations with regard to the case-conflicts, the existing resolution mechanisms, and the opportunities and potential for conflict resolution.

Data collection methods include semi-structured in-depth interviews, focus group interviews, various appraisal techniques (resource mapping, timelines, etc.), participant observations, and studies of archives and documents. We will approach actors who are supposed to be particularly knowledgeable about conflicts at the community level including tribal and community leaders, local government officials, courts, police officers, army officials, external arbitrators, CFAs, and parties external to the communities who are nonetheless parties to the conflicts, for instance logging operators, partly in connection with SP1.

5 Time schedule

2012 PhD students/supervisors develop coordinated PhD project plans to fulfil the tasks of SP2. First, contact to potential case study locations are made. Literature and document desk studies.
2013 Field work initiated – as per the description above.
2014 Field work continued. Structured analysis of conflict causes and drivers. Preparation of manuscripts.

2015 Submission of manuscripts for publication, submission and defence of PhD thesis, presentation of results at end-of-project conference and in national and international forums.

6 Expected output

Two PhD theses within the core area of WMI. Three articles submitted to international peer-review journals. Suggested titles:

1. Drivers of forest related conflicts in the Mau Forest Complex – a case-based study
2. Civil society based conflict resolution mechanisms and procedures – a case-based study

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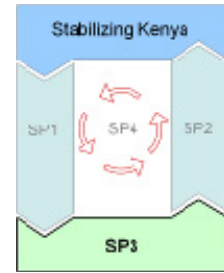
SP3: Household-Level Study of Livelihoods and Attitudes

1 Background

The importance of investigating the impacts of the establishment of CFAs under the Forest Act 2005 on livelihoods in Kenya is underlined by the fact that similar forest decentralization processes are underway in at least 17 African nations. Yet there is little evidence, in particular from Africa, of how these reforms shape the livelihoods of people living in and around forests (Ribot et al. 2010). What seems clear is that decentralization is associated with a strengthening of enforcement of formally sanctioned regulations on access to forest resources, thus tipping the balance of legal pluralism in favour of formal law (Lund and Treue 2008, Ribot et al. 2010). But who wins and loses in these processes and why - and how to mediate any negative impacts on the livelihoods of the most needy – remains largely unresolved (Ribot et al. 2010, Saito-Jensen et al. 2010).

Livelihoods conditions and in particular poverty, resource dependency, resource access rules, and the inequalities amongst these are seen as important drivers of conflicts, as are cultural and social identities, e.g. ethnicity, kin, and class (McNeish 2010). SP3 will explore how differences in livelihoods and identities shape individually held attitudes towards locally important institutions and other livelihoods- and identity-based groups in order to further our understanding of how such factors may shape conflicts.

2 Objective (1c), research questions and hypotheses

SP3 employs novel approaches to improve understanding of the role of livelihoods and identities in shaping behaviour in forest related conflicts. Through these approaches, SP3 will deliver individual and household level background information pertinent for the analyses in SP1, namely livelihoods impacts of the establishment of CFAs and attitudes toward the CFAs. It will contribute to analyses in SP2 by showing how attitudes towards institutions and livelihoods- and identity-based groups are shaped by livelihoods and identity characteristics of individuals. The investigations in SP3 will focus on answering the following research questions and responding to the associated hypotheses.

3-1   **What is the impact of the establishment of CFAs on households' access to and income from forest resources?**

Associated hypotheses:
3-1a   Among CFA members, poor households have experienced comparatively more adverse impacts with regard to their forest access and incomes relative to rich households.
3-1b   In CFA areas, non-member households have experienced comparatively more adverse/less positive impacts with regard to their forest access and incomes relative to member households.
3-1c   In CFA areas, the membership of CFAs and consequent household level impacts on forest access and incomes differ along lines of ethnicity.

3-2   **How do attitudes towards the establishment of CFAs and their operations differ among households?**

Associated hypotheses:

3-2a   Attitudes are positively correlated with perceived and actual (in the sense of our measurements) impacts on access to and income from forest resources.

3-2b   Attitudes differ along lines of ethnicity.

3-3   How do attitudes towards local institutions and identity- and livelihoods-based groups differ among households?

Associated hypotheses:

3-3a   Individuals from the same ethnic group as those dominating executive membership positions of institutions hold more positive perceptions of these institutions than individuals from other ethnic groups.

3-3b   Attitudes towards other livelihoods-based groups correlate with an individual's perceptions regarding that group's access to resources relative to the individual's own access.

3-3c   Attitudes differ along lines of identity (ethnicity) more than along lines of livelihoods differences.

3 Theory and conceptual framework

Regarding research question 3-1, theories of decentralization and popular participation argue that the devolution of relevant powers to representative and inclusive local management bodies may improve local decision-making efficiency and equity (Oates 2005, Smoke 2003, Chambers 1994). Representativeness implies that a management body can be held to account by the populace of its jurisdiction or membership through an ensemble of positive or negative sanctions, while relevant powers refer to powers that are sufficient to enable local bodies to be responsive to local needs and aspirations. These are the fundamental assumptions underlying the promises of all decentralized approaches, including those related to forest management. Research on forest decentralization reforms has shown that the conditions theorized to bring about the above improvements are rarely established (Ribot et al. 2010, Roe et al. 2009). Accordingly, information collected in SP1 will be used to establish the degree to which the implementation of CFAs fulfils these assumptions.

The investigation of *impacts* of CFA implementation on forest resource access and livelihoods to answer research question 3-1 will depart from theories of access, livelihoods, and impact evaluation. *Livelihoods* theory emphasises that livelihoods "…comprise the assets (natural, physical, human, financial and social capital), the activities and the access to these (mediated by institutions and social relations) that together determine the living gained by the individual or household" (Ellis 2000:30). Livelihood outcomes (i.e. impacts) are related to incomes, well-being, food security, and reduced vulnerability (Scoones 1998). The investigation will thus focus on obtaining information on both the outcome variables and the other variables that shape these outcomes (in particular, assets). In relation to the shaping of outcomes, the theory of access emphasises that individual characteristics and social relations modify the relation between rules governing property rights to resources and individuals' ability to benefit from such resources (Ribot and Peluso 2003). Accordingly, the research will investigate variation in actual benefits derived from forest resources by households and seek to infer how these relate to individual characteristics (wealth, ownership of assets, etc.) and social relations (ethnicity, social capital, etc.). Finally, information (qualitative data from interviews) on how the implementation of the FA 2005 has changed patterns of conflict from SP1 will be used to provide an analysis of livelihood impacts in a broader sense, i.e. including considerations of feeling of security, etc.

Concerning the attribution of observed outcomes to the CFA, the investigations will use basic research design theory to create a quasi-experimental design in which households from treatment (CFA members) and control (CFA non-members, non-CFA areas) are compared. Potential confounding factors arising from selection bias (i.e. differences between treatment and control groups existing before implementation of CFA) and cotemporaneous factors (i.e. factors that affect treatment and control groups non-randomly over the study period) will be accounted for. The relevant factors to understand and test for the possible effect of confounding factors are indicated by the livelihoods theory as those that affect livelihood outcomes, i.e. assets, institutions and social relations (Ellis 2000). Information about assets and social relations will be obtained from the household survey, whereas information about institutions (e.g. CFA), and the variation between involved communities, will be obtained from SP1-2. The quasi-experimental research design, including sampling procedure, is described in further detail in the next section.

Research questions 3-2 and 3-3 will entail an interrogation of the nexus between material conditions (livelihoods) and social identities in shaping conflict behaviour. Much scholarship on natural resources management and related conflicts focus on differences in (material) interests as a source of conflict and, consequently, focus on understanding conflict patterns along lines of livelihoods (e.g. pastoralists versus agronomists). The case of Mau Forest Complex, however, provokes another perspective – that of identity, exemplified by ethnicity. Consequently, research questions 3b and 3c will contribute to a more refined understanding of how livelihood interests and identities interact to shape conflict behaviour. Rather than interrogate actual behaviour, however, as this can be shaped by a multiplicity of factors – thus blurring the empirical picture, the research will focus on understanding attitudes and norms and the variation in these among groups with different identities (defined as ethnicity) and livelihood strategies. This will be done following the approach of the Theory of Planned Behaviour, which seeks to investigate how individuals' intentional behaviour can be understood as a consequence of attitudes, norms and level of behavioural control (Ajzen 1991). The Theory of Planned Behaviour has been extensively used within a wide range of fields, and a number of recent applications within related areas exist, such as natural resource management, including wildland fuel management (Vogt et al. 2005), conservation practices (Beedell and Rehman 2000), and agriculture (Burton 2004, Fielding et al. 2005, 2008).

4 Methods

The research questions will be answered through a collection of quantitative data on livelihoods, identities, attitudes, and norms that can be analysed statistically. Accordingly, the sampling procedure will aim at providing for a quasi-experimental research design to answer research question 3-1, while allowing for variation in the data to enable a meaningful analysis of questions 3-2 and 3-3.

Sampling procedure
Sampling should distinguish among three groups of households: CFA members (in CFA areas), non-members in CFA areas, and households in non-CFA areas. Given that the project works in two CFA sites and two non-CFA sites, we will sample twice as many households in CFA sites as in non-CFA sites to enable an efficient sample that allows for statistical analysis of differences between and within the three groups (along lines of wealth, ethnicity, livelihood strategy, etc). Within CFA based stratum analyses, we will randomly sample 160 households within each of the three strata based on affiliation to the CFA, thereby having a total sample of 480 households (160 non-CFA areas, 160 members and 160 non-members from CFA areas). We will work with local

leaders and, in CFA areas, the CFA committee members to create total lists of households within the administrative location and, in CFA areas, to distinguish between CFA members from non-CFA members. Based on these lists, we will draw random samples.

Surveys

Initially, a scoping mission using appraisal approaches (e.g. resource use mapping, livelihoods calendar) will be performed to develop an understanding of local livelihoods, resource use patterns and issues of relevance to identities, attitudes and norms. On the basis of this information a household survey questionnaire will be developed to elicit information to: characterise individual households' position in the community social hierarchy (wealth, ethnicity, etc); estimate forest dependency (i.e. the share of total income derived from forests, cf. Angelsen et al. 2011); identify factors shaping the household access to forest values and; elicit proxies for attitudes, norms and behavioural constraints in accordance with the Theory of Planned Behaviour. Following the preliminary analysis, a round of follow-up qualitative interviews will be conducted to further understand causal relations underlying observed correlations in the data.

5 Time schedule
2012 PhD student and SP responsible partners develop a plan for executing the SP
2013 Initial field study - appraisal methods, development, test and implementation of survey
2014 Data entry, checking, and preliminary analyses; Follow-up qualitative interviews
2015 Final analyses; Results presented in manuscripts and at conferences; PhD thesis submitted

6 Expected outputs
A database of 480 households (anonymity will be maintained) providing comprehensive data on livelihoods, identities, attitudes, and norms. A PhD thesis within the area of the SP. At least two articles submitted to international peer-reviewed journals. Suggested titles:

1. Livelihoods impacts of decentralized forest management: evidence from the Mau Forest Complex in Kenya
2. Ethnicity in the forest: bringing back social identity to studies of natural resources conflicts

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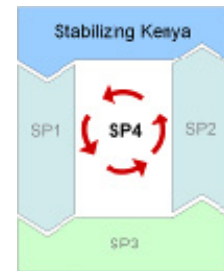
SP4: Synthesis – Research meets Practice

1 Background
Law-makers require theoretical and practical tools to formulate, assess, enact and implement effective laws that facilitate good governance and people-oriented economic development (Seidmans et al. 2007). Civil society groups also benefit from theoretical and practical tools that enhance their capacity and confidence to actively engage in and take responsibility for participatory and democratic decision-making processes (van Tongeren et al. 2005). O´Leary and Bingham (2009) conclude that a new framework is required to comprehensively understand and evaluate the challenges for public management in a world of shared power.

Given the identified need for increased knowledge, capacity and tools to support and design democratic decision-making processes as the point of departure, the overall aim of SP4 is firstly to ensure that the research results created in SP1-3 are developed into a broad knowledge base for the development of initiatives that improve inclusive governance and conflict resolution mechanisms at State and community levels. Based on the interaction between state governance and community structures, a selection of effective tools for responding to typical policy dilemmas comprises the final aim of SP4. Focus will be on both processes and content of such tools, taking the need for local variation and nuances and community responsibility into consideration.

The contacts established during the extensive research in SP1-3 and the knowledge and results derived from the research will form the basis of inclusive governance and thus give rise to innovative solutions that can be tested. In this way, research meets practice. At the same time, the tools will be of an intentionally general nature, to allow them to be tailored to fit other contexts.

2 Objectives
SP4 builds upon the research results of SP 1-3 to provide an improved understanding of conflict drivers and the role of State-led and civil society based governance for developing and disseminating recommendations and tools for inclusive governance approaches. It aims to achieve the following specific objectives:

4-1   Synthesise results of SP1-3 into a comprehensive analysis of drivers of conflict and of the potential for improved conflict management and mitigation through inclusive governance approaches

4-2   To develop a framework to identify critical features of law making and community conflict situations and design interventions that address those critical features

4-3   Develop early warning tools and analytical frameworks to assist the development of context specific conflict intervention procedures

4-4   Disseminate the research findings and associated frameworks and tools in a manner that strengthens the capacity of law and policy-makers and other actors to favour inclusive governance approaches

4-5   Support communities and other actors around Mau Forest Complex to alleviate existing and mitigate future forest related conflicts

3 Theory and conceptual framework

Most conflicts feature a dense landscape of political, tribal, power, gender, resource and poverty aspects. The complexity and multi-dimensionality of conflicts (e.g. substance, procedures, relationships, institutions, norms, perceptions and socio-psychological processes) inhibit the development of a general, overarching theory to guide responses (Deutsch and Coleman 2000, Derman et al. 2007). To organize thinking and design effective actions in the face of conflict complexity, Daniels et al. (2011) proposes a strategy based on the identification of the *critical features* of conflict situations by using a comprehensive situation assessment framework. The ambition of SP4 is to develop (i) an academically oriented conflict assessment and intervention framework as well as (ii) practically oriented (locally adapted) tools.

Actions by social researchers of this nature requires participation of those affected (i.e. stakeholders), ensuring transparent, accountable and, as far as possible, participatory decision-making processes (Nhema and Zeleza 2008, Seidmans et al. 2007). Information gathered by social scientists can then assist law-and-policy-makers in effectively utilizing local realities to design appropriate laws to transform the inherited institutions.

In this project we address the need for comprehensive and flexible frameworks which contain effective goal-oriented strategies to address community level conflicts over natural resources in Kenya and elsewhere. The framework should emphasize a thorough and systematic analysis of conflicts across social aggregation scales (formal vs. informal; individual/community and societal levels) before entering into law-making and should serve as a foundation to understand the uniqueness of each situation and develop balanced and tailored responses (Daniels and Walker 2001, Moore 1996). The framework we seek has the clear purpose of helping to design meaningful interventions to effectively address social conflict by constructive and inclusive means. The strategy of identifying the critical features of conflict situations represents state-of-the-art and a most promising point of departure for SP4.

Based on the comprehensive framework, we will develop tools to assist the conflicting parties (whether official lawmakers, officials and community leaders, elders, church leaders etc.) in identifying conflicts in their earliest stages (Austin 2004, Gurr 1993, 1996), as well as tools to assist constructive, timely conflict resolution. By framing conflict resolution processes as a mutual learning process the parties improve their relationship as well as enhance their insights in how to solve possible future conflicts. This is at the core of sustainable and long-lasting conflict resolution activities and goes beyond "best practices". A fundamental challenge is to simplify and reduce the analytical frame enough to make it useful in practice, while at the same time keeping it appropriately nuanced to mirror the complexity of real life.

4 Methods

SP4 will be implemented in close collaboration between senior researchers. An overview of the overall activities and associated methods is provided below.

1. Comprehensive desk analysis based on the data and analyses from SP1-3. Generic conflict assessment and management frameworks will be developed and adapted to the specifics of the Kenyan context by means of the data and knowledge generated in SP1-3.

2. Transformation of the academic insights into locally adapted operational tools and manuals. The transformation and adaption of the framework into operational tools, including an early warning tool, focus on striking the right balance between simplicity (it needs to be operational and broadly applicable at community level) and nuanced enough to capture the complexity of real life. To strike this balance, input from researchers as well as potential users of the tool is needed, therefore mutual learning workshops will be organized at the community level (end 2014 – see Gantt chart 1e-1) to further develop the tools towards practice.

3. Design and implementation of workshops, training packages and dissemination materials. The training and dissemination materials will be distributed in workshops at the community level (early 2015 – see Gantt chart 1e-1), short courses aimed at extension officers, and a national policy level conference.

The frameworks, tools, training packages and dissemination materials outlined herein will build upon previous tools and manuals developed by other research and development organizations in Kenya.

5 Time schedule
2013 Initial analyses of results from SP1-3. Initiate adaptation of generic framework.
2014 Analysis and identification of critical features of situations at hand. Adaptation of the framework and tools to local context. Synthesis of results from SP1-3. First round of community workshops.
2015 Development and conducting of interventions, workshops and training packages. Second round of community workshops.

6 Expected outputs
The results of the project including the analytical framework and practical tools will be disseminated to a variety of audiences: political, academic, professionals and civil society.

Research outputs:
At least three articles submitted to international peer-review journals. Suggested titles:

1. Drivers of conflicts: Empirical evidence from the Mau Forest Complex in Kenya

2. Search and destroy: a framework for the assessment and management of resource related conflicts in rural areas of developing countries

3. Violence around the corner? Developing an early warning system to alleviate consequences of violent conflict around the Mau Forest Complex, Kenya

Outreach outputs:
1. A series of workshops at the community level to provide for mutual learning for further adaptation of the conflict assessment and management tools and early warning tool (four in

2014, one in each community) and for presenting and training of community members (four in 2015) in the tools that will be compiled and presented in a booklet.

2. Development and first implementation of two short courses on (i) conflict resolution and (ii) Participatory Forest Management (PFM) tailored to extension officers to be offered by KeFRI. The developed materials will also be accessible for use by the other partners.

3. Four policy briefs presenting research findings and recommendations for legal reforms and associated inclusive governance approaches.

4. A 2-day policy conference focusing on policy-and-law makers, top-level bureaucrats and leaders of relevant national NGOs.

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