

**UNIVERSITY OF NAIROBI
DEPARTMENT OF SOCIOLOGY AND SOCIAL WORK**

**THE PROCESS OF FARMER GROUP DEVELOPMENT AND ITS INFLUENCE ON
THE EFFECTIVENESS OF COLLECTIVE ACTION: THE CASE OF BUNGOMA
COUNTY (KENYA) AND KAPCHORWA DISTRICT (UGANDA)**

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DECLARATION

I declare that this project is my original work and has never been presented to any institution for any award.

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DEDICATION

This project is dedicated to my loving mum Milcah Kisoyan, my grandmother Linah Kisoyan and my late grandfather Hosea Kisoyan.

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LIST OF ACRONYMS

CBO	Community Based Organization
CIG	Common Interest Group
FBO	Farmer Based Organization
ICRAF	International Centre for Research in Agro-Forestry
IFAD	International Fund for Agriculture and Development
IGA	Inter Group Association
LBA	Licensed Buying Company
NGOs	Non Governmental Organizations
PBC	Produce Buying Company
RELMA	Regional Land Management Unit
ROPPA	Reseau des Organisations Paysannes et des Producteurs Agricoles de l’afrique de l’ouest
RPO	Rural Producer Organization
SACCOs	Savings and Credit Cooperative Society
SADP	Small Holder Agri- business Development Project
SFOAP	Support to Farmer Organizations in Africa Programme
SRI	Strengthening Rural Institutions
STGT	Small Holder Tea Growers Trust
TASC	The After School Cooperation
TCCCO	Tanzania Coffee Curing Company
UGFCC	United Ghana Farmer Cooperative Council
UNEP	United Nations Environmental Programme

ABSTRACT

This study investigates the influence of structural and functional arrangements on the effectiveness of collective action, even as groups develop overtime. A survey was conducted with 195 farmer groups in Kenya and Uganda, these was supplemented with focus group discussions and key informant interviews. Results indicates that farmer groups have been changing differently by adjusting their structural and functional arrangements; even though the changes varied hence some changes were much more pronounced than others. Results shows that there is a significant relationship ($P < 0.05$) between number of leadership positions, frequency of replacing leaders, replacement system, having bank accounts, auditing of accounts, system of regulating conduct, having additional committees, frequency of committees meetings and number of records kept with the effectiveness of collective action. On the other hand, there was no significant relationship ($P > 0.05$) between group type, gender composition, area of operation with the effectiveness of collective action. Analysis of variance indicates that there was no statistical difference ($P > 0.05$) between group size and age with the level of collective action and ability of the groups to meet their objectives. Principal components analysis (PCA) results show that trainings have a significant relationship with effectiveness of collective action. Principal components that influence effectiveness of collective action in Bungoma County were identified to include the level of trust, leadership skills, unity and effective participation. In Kapchorwa District on the other hand, the principal components that were identified to influence effectiveness of collective action were leadership skills and Effective participation. This study concludes that effectiveness of collective action can be attributed to many factors such as, having effective leadership and governance structures in place, level of commitment of members to group activities, group capacity which is acquired from capacity development support from various partners such as; government, Non Governmental organizations and other farmer groups. This study recommends that as farmer groups progress overtime, they should focus on structural and functional changes that increase their effectiveness. Group members should also be committed to group activities and strive to meet their objectives and serve their collective interests. Finally, partners that support groups should focus on building capacity of group members through trainings to ensure that they are able to effectively run their group activities and achieve their objectives.

CHAPTER ONE

INTRODUCTION

1.0 Background

Farmer groups in Sub-Saharan Africa have existed since the pre-colonial period, even though they are currently of different types and structures and have taken on various paths of evolution. The earliest forms of farmer groups were informal and seasonal self-help groups established by members to help one another in the farms in terms of labor (Wennink et al. 2007). Presently farmer groups range from small informal groups to large formal cooperatives (Poole & Frece 2010). Formal groups are legally registered whereas informal groups do not have a legal status (Wennink et al. 2007).

The formal form of collective action in Africa originated from the colonial administration who established agricultural cooperatives (IFAD & ROPPA, 2005). The first in Kenya was the Lumbwa Cooperative Society formed in 1908 by European farmers with the main purpose of purchasing seeds, chemicals, fertilizers and other farm inputs and marketing their produce collectively to benefit from economies of scale, on the other hand the first cooperative in Uganda was a growers' association set up in 1913 (Poole & Frece 2010).

The development of the formal form of collective action has undergone through various stages; colonial period, post-independence and structural adjustment period (Salifu et al. 2010). At the post-independence period the governments used cooperatives as a means through which farmers could obtain credits to purchase farm inputs, this incentive influenced many farmers to join the cooperatives (Wanyama et al, 2009, Develtere et al. 2008). However with the structural adjustment reforms in the 1980s and 1990s followed by economic liberalization, the government control of cooperatives reduced and these groups evolved to profit oriented private farmer groups. (Salifu et al. 2010, Wanyama et al. 2009, Develtere et al. 2008, Temu 2009).

Group arrangements evolved from the state controlled cooperatives to now include: farmer field schools, farmer research committees, self-help groups, producer groups, farmer cooperatives such as agricultural, savings and credit societies, farmer marketing companies and societies, multi-purpose organizations, farmer associations, Commodity based organizations, community

based organizations, network organizations, multi-purpose cooperatives, common interest groups and special interest groups (Burpee et al. 2007, Baah 2008, Ngugi & Kariuki 2009, Sonam & Martwanna 2011) . Farmer groups can be classified as male, female or mixed groups (Lema & Kapange 2006). The IFAD funded, ICRAF project “Strengthening Rural Institutions” (SRI) in 2012 categorized farmer groups as women groups, youth groups and mixed groups and these groups were assessed to be either novice, intermediate or mature in their development. The farmer groups in this project include self help groups, community based organizations and Cooperatives.

Regardless of the form and level of development, farmer groups are membership-based and premised on the principle of collective action, which entails members voluntarily collaborating as a group and directing their actions in solving a common problem (Wennink et al. 2007, Shiferaw et al. 2006). Collective action is a dynamic process and entails pooled decisions within a group (Dorward et al. 2009, Meinzen-dick et al. 2004). The need for collective action depends on the resource type, extent of cooperation and the time required in achieving the desired outcomes (Shiferaw et al. 2006).

Collective action in the form of farmer group is an important avenue for providing solutions to the various constraints faced by small holder farmer groups (Gyau et al. 2013, Ampaire et al. 2013). These constraints include: insufficient credit, high interest rate, lack of storage facilities, lack of marketing facilities, lack of technical skills, high marketing and transaction costs leading to production of low quality and volumes, inability to access affordable production inputs such as finance, technology, land and water and are locked out of markets (Sikwela & Mushunje 2013, Shiferaw et al. 2006, Haque et al. 2011, Abaru et al. 2006). Because of these challenges small holder farmer groups are highly vulnerable to poverty (Curtis 2013).

For a group to be effective, farmers need to be well organized (Bosc et al, 2001). Groups should have the capacity to deliver relevant services which allows smallholder farmers to participate actively in collective action at the grass root level (Mukindia 2012). The ideal farmer groups are those that represent farmers’ interests and have emerged as a result of their own needs and not

imposed by external forces, however external catalyst can play a big role in developing such groups and widening their perspectives (Abaru et al. 2006).

One strategy for small scale farmer groups to enable them compete with large scale farmer groups would be to evolve to new collective forms of organization that would enable them reduce transaction costs and benefit from better bargaining power in marketing their produce and procuring of production inputs (Shiferaw et al. 2006). This is possible because farmer groups are a dynamic set and their activities evolve overtime, they start up with one activity and later on change their objectives and activities (Aldana et al. 2007, Bosc et al, 2001). Successful farmer groups can be foundations for larger organizations if their capacity is built (Lema & Kapange 2006).

It follows therefore that evolution of groups can occur from one level to another (Wennink et al. 2007). As groups evolve often their structure and function also change (Bosc et al. 2001). Political leadership, enabling environment and group member characteristics, influence the evolution of groups (Shiferaw et al, 2006), therefore both internal and external drivers can influence evolution of groups. Members' participation in groups is determined by the level of benefits they attain through their membership, it is therefore crucial for the groups to focus on fulfilling members' needs and expectations related to the group activities, irrespective of the group typology and the level of development, (Sonam & Martwanna 2012).

In Kenya and Uganda, just like the rest of Sub-Saharan Africa have seen the growth and increase of different typologies of groups in the post liberalization period. These groups are of different structures and are formed for different purposes. This study will therefore focus on two sites from the two countries; Kapchorwa District in Uganda and Bungoma County in Kenya due to the presence of farmer groups with different structural arrangements and functionalities.

1.1 Problem statement

Collective action in form of farmer groups is increasingly recognized as a transformative force for improving rural livelihoods in Sub-Saharan Africa (Place et al. 2004) With the majority of smallholder farmers being members of farmer groups, these groups have been used as important

avenues for reaching the very poor at the grassroots level(Bernard et al, 2008). However, Collective action alone is not sufficient in enhancing sustainable development, these groups should have the capacity to meet their objectives and serve the needs of members(Abaru et al. 2006).

Farmer groups are of different types, have different organizational structures and perform different functions that benefit their members and their stakeholders. Subsequently different scholars have done research on different typologies of groups and have defined the groups differently depending on their structures and functionalities. These includes producer groups (World Bank 2008, SFOAP 2013, Curtis 2013) ,cooperatives (Develtere et al. 2008, SFOAP 2013) and common interest groups(Abaru et al. 2006).

Several Scholars have conducted studies on evolution of various typologies of farmer groups, level of development, and challenges groups encounter in the liberalized economy. Arguably Wennink et al. (2007) classified groups based on the origin, legal status, membership base, functions, purposes, scale and level of operation, organizational structure, governance and management procedures. Whereas Bosch et al (2001), analyzed various case studies, paying specific attention to the nature of farmer organizations, diversity, functions played by farmer organizations, the challenges that these organizations encounter, the support that these groups get from different sources and how these groups have evolved overtime.

Wanyama et al. (2009) studied evolution of cooperatives, from the former state managed organizations specializing with one activity to the private profit oriented multi-purpose cooperatives owned by farmers. Specifically, the study analyzed the impact of liberalization measures on the status of cooperatives in Africa.

Doward & Omamo(2009) in a study of institutions explored the nature of institutions, functions of different types of institutions in economic activity and the process of institutional change. The SRI project (2012) identified the level of organizational maturity using a maturity assessment tool. The Rural Institutions Maturity assessment tool categorized the grassroots organizations' maturity into three levels, namely; beginners, intermediate and mature. The criteria used in

categorizing groups covered governance, management, leadership, resilience and capacity development characteristics.

Therefore these studies of farmer groups have focused on identifying typologies, structures, functions, level of development, challenges, and evolution over time. However, most of the studies that have looked at evolution of groups have focused on temporal changes as opposed to the structural and functional changes. Therefore, detailed information to link the path of evolution taken by farmer groups on the effectiveness of collective action has not been adequately captured, consequently missing the key lessons on the structural and functional arrangements that increase effectiveness of collective action.

This study aims at investigating the structural and functional changes overtime, drivers of change and the influence of the various structural and functional arrangements on effectiveness of collective action even as groups evolve overtime. To achieve this endeavor, the study was guided by the following objectives;

1.2 Overall Objective

To determine the influence of farmer groups' development on the effectiveness of collective action

1.2.1 Specific Objectives

1. To identify the structural and functional changes in farmer groups
2. To find out the internal and external drivers of change in farmer groups
3. To identify the influence of structural and functional arrangements on the effectiveness of the groups' collective action.

1.2.2 Research questions

1. What have been the structural and functional changes in farmer groups?
2. What have been the internal and external drivers of change in farmer groups?
3. How has the structural and functional arrangements influenced the groups' effectiveness in collective action?

1.3 Justification

Agriculture is the mainstay of the economy in Sub-Saharan countries. It is the main contributor of GDP in the African region, a major source of subsistence crops and provides livelihood for a large proportion of Africa's population (UNEP 2003). Majority of the population in Sub-Saharan Africa live in rural areas and are dependent on agriculture as a source of livelihood (World Bank 2008, Salifu et al. 2010). Therefore agriculture is one of the most promising instruments in reducing poverty and securing local livelihoods (Ochola 2007, Salifu et al. 2010).

However, three out of four poor people in Africa live in rural areas and most of them depend directly or indirectly on agriculture for their livelihoods (Dorward et al. 2009). It is evident therefore that majority of the populations in Sub-Saharan Africa are dependent on agricultural products as a source of food and income. Therefore farmer groups are important entry points for improving agricultural production and income in these countries. Subsequently farmer groups have been used as means through which farmers can link with the government, donors and development partners engaged in rural development to improve agricultural production (Nyang et al. 2010, Bernard et al. 2008, Peters & McDonald 2010).

Majority of households in rural areas are members of farmer groups of which has increased the community participation in their own development and the building of the rural economies (Develtere et al. 2008). Therefore many rural households affect and are affected by farmer groups, hence these groups are important instruments in the lives of rural people and worth investigating.

The market liberalization and structural adjustment reforms that led to the withdrawal of the state from economic and development functions of the cooperatives enabled the emergence and increase in many farmer driven grass root groups over the years. (Bernard et al. 2008, Develtere et al 2008). However this liberalization has not subsequently led to the agricultural growth which is needed in curbing rural poverty and increasing food security (Dorward et al. 2009)

In Kenya and Uganda, the withdrawal of the government regulatory powers of cooperatives in 1997 led to widespread corruption and mismanaging of cooperatives (Donovan et al. 2008). This

was because farmers were not well prepared to take over the role of managing groups from the government after liberalization (Abaru et al. 2006). Hence this study seeks to provide information on how farmer groups in the rural areas evolve, provide and access services in a liberalized economy.

The findings from this research will guide farmer groups on the structural and functional arrangements that influence effectiveness of collective action, even as the groups evolve overtime. Furthermore the results will also inform policies and enhance the development of a policy support that is needed to facilitate effectiveness of collective action. It will also enable the government and organizations that support groups to channel their support in an approach that will enable these groups to still be effective. Finally the information will be useful to the science domain as it would provide information to scholars who are interested in research on farmer groups.

1.4 Scope of the study

The study was conducted in Kapchorwa District in Uganda and Bungoma County in Kenya. 195 farmer groups were sampled from a population of 311 farmer groups. These involved 110 groups in Kapchorwa District and 85 groups in Bungoma County. The scope of the study was bound by the number of sampled groups in each site, the change in structural and functional arrangements, the internal and external drivers of change, and the influence of structural and functional arrangements on the effectiveness of collective action.

CHAPTER TWO

LITERATURE REVIEW

2.0 Formation process of groups

Fischer & Qaim (2012) in a study of farmer groups in central Kenya, specifically on collective marketing of bananas found out that members were likely to form and participate in groups if their membership is of benefit to them, results further indicates that individuals living far away from the roads are more likely to participate in group activities compared to those living closer to the road, other factors that determine formation and participation in group activities include; possession of mobile phones of which facilitates effective communication, age of the members whereby the youth are less likely to participate in group activities compared to older members.

Baah (2008) studied farmer associations engaged in cocoa holdings in Ghana and found out that farmers organized themselves as early as 1892 in order to mobilize finances for the purchase of virgin land for growing cocoa. Lema & Kapange (2006) in a case study of farmer organizations in Tanzania found out that some farmer organizations were formed by members whereas others were influenced by external drivers, results further indicate that the farmer organizations that are formed through members own initiative are more sustainable as farmers take ownership to the group because they are formed in order to accomplish certain goals, whereas the groups that are formed through external drivers such as the government and non-governmental organizations may not be sustainable after the withdrawal of external assistance.

Abaru et al. (2006) undertook studies on farmer organizations in East Africa and found out that for organizations to be cohesive, the process of establishing them should be slow, to allow time for members to self-select themselves and develop their own vision and should be supported by favorable policies and extension services that respond to their requirements. Chirwa & Kydd (2009) in a study of small holder farmers in Malawi found out that the government of Malawi and privatization commission unified small holder tea growers under one association known as Small Holder Tea Growers Trust (STGT).

However the larger scale, better educated and more powerful farmers were unhappy about the restructuring and privatization process believing that the process was done through a top down approach which may not meet the interests of the members. As of the small holder farmers STGT was seen as a tool for maintaining status quo in which they are forced into an association which is not of their own making, the elite farmers therefore started influencing other farmers to form their own associations.

Small holder farmers therefore started forming their own associations while maintaining the club and business-centre structures of STGT. It was evident therefore that the top down approach of forming farmer organizations was not sustainable enough and farmers preferred forming their own association. Small holder desks managed by small holder farmers were also created in order to promote small holder farmer organizations and were channels of obtaining donor funding. Three other associations later on emerged as breakaways from STGT. Findings of this study indicate that the changes that occurred to these organizations of tea growers in Malawi since 2002 were possible because of the freedom of association and a democratic political dispensation.

Salifu et al, (2012) undertook studies of farmer based organizations in Ghana and found out that many FBOs were formed in anticipation of receiving free services or hand outs from development programs. On the other hand, the groups that engage in processing and marketing come together based on an identified market with the hope of attaining collective benefits. Out of 24 FBOs in the study, 16 were involved in collective production, with the hope of receiving training from agricultural extension agents. The findings from the survey indicate that 75 % of the FBOs received training from Agricultural Extension Agents among other agents. These groups also receive support in the form of inputs (fertilizer, herbicides), storage facilities and land preparation (ploughing).

Place et al. (2004) in a study of farmer groups in central province of Kenya, found out that most groups were autonomously formed with only 17 % formed with strong involvement of external organizations (with cash or material support). Most of the groups surveyed had been operational since 1990 (81%) and 48% had been established since 1995. self help and risk coping were the

major purposes for the formation of groups, other common purposes were merry go rounds and to obtain credit, building, to obtain household assets ranging from utensils to water tanks, enterprise and marketing of products such as coffee and milk, improve farming and soil management and improved breeding for dairy animals.

2.1 The functions of groups

Zivenge & Charles (2012) analyzed the factors that influence the market channel access by communal horticulture farmers in Chinamora District in Zimbabwe. The findings indicates that most farmers market their products individually, however if farmers join cooperatives their chances of accessing the production in puts increases. From a study of farmer organizations in East Africa, Abaru et al. (2006) found out that if farmers are organized in groups, they can assist each other to access inputs and adapt to technology, it was also evident that farmer groups enable members to pool their labor to help one another on the farms, in some areas farmer groups have gone to an extent of engaging in campaigns in order to ensure that every household has a proper latrine, a fuel saving kitchen and rainwater harvesting tank where water is scarce.

Fatemi & Jafari (2011) in a study of agricultural production cooperatives in Iran, found out that these cooperatives bring together individual farmers to help them pool their resources and lobbying powers as a legal entity to more effectively obtain and manage resources and securing more advantageous terms in the market place.

Salifu et al. (2012) in a study of farmer based organizations in Ghana found out that the common collective action activities by members of these organizations include; production, processing, marketing, input procurement and community development .Other forms of collective action activities that had been practiced in Ghanaian rural societies include; mutual labor support, welfare services and internal credit schemes.

Mutual labor support and welfare services existed in Ghanaian pre-colonial period, more than two thirds of the FBOs engage in mutual labor support, whereby members assist one another on the farms. Members of these groups had a time table to ensure that all members of the group attain labor support on their farms, in the form of; tilling, sowing, transplanting, raising

seedlings, weeding, pruning and harvesting. Welfare services included in kind or monetary contributions to meet the costs of; school fees, health care, wedding, funerals, naming among other functions.

According to Poteete & Ostrom (2003), Collective action take many forms and members engage in different functions such as; development of institutions(e.g. rules of resource management),resource mobilization(such as hiring of guards or investing in maintenance activities),coordination of activities and information sharing.

Nyagaka et al.(2010) studied the technical efficiency in resource use by small holder Irish potato farmers in Nyandarua North District in Kenya. Findings indicate that there was a positive correlation between membership in a farmers' association and technical efficiency, this implies that farmers who belong to an association share information regarding farming technology of which therefore influences the production practices of members through peer learning, in addition membership to these associations enhances better access to inputs and to information on improved farming practices.

According to Van den Ban (1998) farmer associations perform two main roles; they try to collectively influence decisions by the government in such a way that the interest of their members are taken into account. Secondly they support their members in fields for which they have specialized knowledge such as the representation of their members in conflict situations with the government over land use regulations or tax assessment.

Baah (2008) in a study of cocoa farmers association in Ghana found out that membership to a farmers' association enables farmers to access credit, facilitates collective responsibility in pest control, which is a major challenge facing cocoa farmers and in addition making the process cost effective, enhances bulk purchases of inputs of which facilitates timely distribution of inputs at a reduced cost, farmer associations are also a medium through which technological innovation can be disseminated by extension agents and researchers.

Shiferaw et al. (2006) studied farmer marketing groups in Eastern Kenya and found out that well organized groups will be able to connect directly with retailers without going through the brokers, they can better coordinate production and facilitate farmer access to production inputs such as fuel, seed and machinery at fair prices. Farmers that are able to market their produce collectively will attain economies of scale and bargaining power to negotiate for better market arrangements and price.

Curtis (2013) in a research report of over 990 organizations that are supported by fair-trade foundation across the world, found out that producer organizations offer prospects that small holder farmers would not have achieved individually, which includes; securing land rights, running business more efficiently, and access better market opportunities, members are also able to achieve group discounts on inputs such as fuel, seeds and machinery. Cooperative members can call upon advice and support not only from farmers in the same position, but also from agronomists and experts. Accordingly Successful farmer groups are able to improve agricultural production, facilitate accumulation of assets and alleviation of poverty, enable members to pool their resources together, benefit from economies of scale, strengthen their market position and enhance farmers' access to credit and information.

Ngugi & Kariuki (2009) assessed the association between membership to farmer organizations and household attributes by small scale farm entrepreneurs in Kenya .Findings indicates that the households that had joined farmer organizations performed better in agricultural production, accumulation of assets and poverty alleviation. Membership to these organizations enable members to secure land rights, Improve access to credit and extension services, enhances greater bargaining power, enables the production, processing and marketing of crop and livestock commodities. Membership to these groups generally brings about economic benefits to farmers as well as promote their general welfare.

Ates & Terin (2011) in a study of farmer organizations in rural Turkey found out that there were low level of participation in farmer organization by farmers, results further indicates that organizations contributes to higher standards of living, facilitates effective utilization of resources and increases the income level of members. This is because, farmer groups are

important channels for farmers to better exploit resources, increase revenues and achieve agricultural development.

An assessment of membership to farmer organizations in Tanzania indicates that farmers join these organizations because it is a means through which they can access credit, get market information and other agricultural information like new agricultural technologies, market their produce collectively, access inputs and get extension advice(Adong et al. 2013).

2.2 Evolution of groups

Place et al. (2004) in a case study that involved 82 groups from central Kenya found out that most groups prefer to build on their past experiences by taking on new activities rather than forming new groups. Findings also indicate that at inception between 1990 to1995, the groups had an average of 36 members, but this number increased to 45 by the year 2000. Whereas women members of the group comprised of two thirds of the total membership, and this figure was constant overtime. Results also indicate that within the 5 years after inception the number of group activities reported had increased.

According to Kirsten et al. (2009), different typologies of institutions that emerge is dependent on many factors such as; power relations, information structures, legal environment, historical accident and path dependence. Findings also indicate that in order to understand today's institutions, it is vital to track the incremental evolution of institutions because history helps in explaining institutional transformation. Therefore the changes in institutions is path dependent, hence a narrow focus on the current state of affairs is incomplete because the current state of affairs may have been influenced by conditions in the past. Specifying the past situations is therefore crucial to understanding evolution.

According to Doward & Omamo (2009), the functions and benefits that institutions offer to different stakeholders evolve overtime. The study further indicates that the evolution of institutions is based on path dependency which is basically a buildup of previous functions of the institution. According to the World Bank (2008),after the withdrawal of the state from marketing, provision of input and credits to farmer organizations, producer organizations have

expanded in terms of number and membership, in an effort to fill the gap left by the state and take advantage of the democratic openings that allows greater participation of civil society in governance.

Temu (2009) in a study of institutional changes in Tanzania's coffee market examined the structure of the coffee market before and after liberalization, market conduct, institutions and organizational linkages that influence market performance were also identified. Results indicates that before the market liberalization, the state controlled the marketing cooperatives and marketing boards, therefore farmers and cooperatives had no alternative market arrangements or channels for exchange. However after liberalization, these market conditions changed and the new institutional arrangements after liberalization provided different exchange arrangements that affected the nature and extent of transaction costs.

Before liberalization two and three tier system existed for export-crop marketing in Tanzania, in both system, private traders were not allowed to perform domestic marketing functions, farmers participation in the market was coordinated by primary cooperative societies, regional cooperative union, crop cooperative and marketing boards.

After liberalization coffee started moving faster from the farm gate to the export market. Liberalization therefore served to improve performance; this is because before liberalization only about 50 % of the coffee crop was marketed in the first 6 months. Whereas between 1996/1997 more than 80% of the coffee produced in northern Tanzania was auctioned in the first six months of the marketing season .Tanzania's fresh coffee now gets into the international market early therefore enabling traders to get premiums on freshness.

In a study of Common Interest Groups (CIGs) that engage in the production and marketing of products such as; bananas, livestock rearing, growing of annual crops(mainly maize, beans and millet),vegetables, fish, fruits and bee keeping in Mbarara, Abaru et al. (2006) found out that an average CIG had been formed in 1999 with an average membership of 10-15 members but by June 2006 the number had increased to 25.This growth was attributed to the by-laws developed

by the groups, engaging in income generating enterprises, having elected leaders and drawing of work plans.

Thompson et al. (2009) Studied farmer organizations in Kenya, Ethiopia and Malawi and found out that many of the farmer groups have been evolving in a predictable way by adjusting their roles over time and broadening their scope to become higher level organizations. In some cases, they begin with a limited mandate such as input access and provision and progressively take on other activities and functions that serve the interests of their members and the wider community. Other groups begin with a broad mandate but later own narrow their scope and specialize in certain activities.

Aldana et al.(2007) in a study of farmer groups for agro-enterprise in Asia, Africa and Latin America, found out that groups that were formed for one purpose change over time regardless of their initial objectives and engage in additional activities, the most common were groups that engage in internal savings and lending, of which later on evolve and engage in agro-enterprise development.

Rau (2013) studied community based organizations in India, specifically targeting the community based organizations that are supported by Avahan Aids initiative program. This program supported the development of informal groups of community members as part of its HIV prevention strategy. The groups that gathered in that site later on organized in a formal manner in order to address issues such as; violence, enable them to access health services from the government among other services. The informal groups evolved into legally registered community based organization of which is attributed to the emergence of leaders amongst them.

Baah (2008) in a study of farmer associations that deal with Cocoa in Ghana, conceptualized evolution of groups from a historical perspective, he reviewed literature from the earliest forms of farmer associations which were reported to have begun in 1892 in order to purchase virgin land for cocoa production, these cooperation led to the expansion and growth of the cocoa industry in Ghana, later on the department of agriculture in 1929 introduced the formal form of

cooperatives. From then on these groups continued to evolve in terms of the objectives and functions.

By 1937 cooperatives had grown into both marketing and credit granting institutions and later on farmers established the first Cooperative bank in 1938. In 1950's cooperative marketing activity that involves coffee farmers expanded. However in 1962 the government policy brought all cooperatives under the umbrella of politically controlled United Ghana Farmers Cooperative Council (UGFCC) of which subsequently led to the loss of gains, hence farmers lost their confidence in these cooperatives and they quit, since then cooperatives played a minimal role in cocoa production and marketing. With the death of UGFCC a loose kind of non registered cooperative groupings evolved based on the UGFCC structure but devoid of political influence and managed by elected committees consisting of a chairman, secretary and four other members. With the liberalization of internal cocoa marketing these organizations are also disintegrating from their monolithic structure around Produce Buying Company (PBC) with smaller groups operating around a registered licensed buying agents (LBA). This new development has created opportunities for evolution of competitive cooperative farmers' marketing units.

2.3 The internal drivers of change in groups

Abaru et al, (2006) in a study of Farmer organizations in East Africa that are supported by Regional Land Management Unit (RELMA), found out that groups that are small and cohesive are able to mobilize their own resources and produce a marketable product, have the ability to grow as common interest groups and join up into inter-group associations even after the withdrawal of RELMA.

Fatemi & Jafari (2011) in a case study of Sabzdasht agricultural production cooperative in Iran found out that the organization was established in 1994 with an initial capital of approximately 1000\$. The cooperative had 5 employees and was managed by a director. At the time of the study, the group had a capital of 81,000\$ and covering 7500 ha of land in 6 rural districts and had 550 members of which 15 were women. Results indicate that the organization had limited resources; it had one seeder disk, one fertilizer spreader, one leveler, four tractors and four

ploughs. The cooperative had a 400m² room as its office and a small building for storing its equipments.

Results further indicate that the cooperative had received approximately \$50,000 as loan from the government and planting machinery as grant from the government. However the assistance from the government was not enough because the organization had not grown enough to be able to provide loans to the members. If the group had financial resources, they would have been able to benefit from technical and financial assistance from the cooperative.

The study concludes that an inclusive organizational planning is needed for enhancing organizational growth, of which involves good staff relations, effective communication and information system undertaken in a systematic way such that the whole entity evolves in harmony. The study concluded that Cooperation among members is essential for success of group. In addition members should be aware of their groups' objectives, principles of operation, their roles and responsibilities as the stake holders.

Rau (2013) in his studies of CBOs in India found out that CBOs were two or three years old or even younger when they formed a network. This was possible because the groups had supportive membership and effective leadership. Expansion of groups therefore depends on internal organization and its ability to meet the interest of the members as effectively as possible. Therefore participation of members' and good leadership influences sustainable functioning and development of organizations.

Shiferaw et al. (2006) in a study of producer marketing groups in Eastern Kenya, found out that majority of groups were willing to expand group functions and broaden their operations into new directions. In order of importance the groups wanted to engage in; marketing of agricultural inputs, marketing of alternative high value crops, water shade management and value addition. Generally the groups intended to diversify from pre-production to marketing and consumption value chain. Results however indicate that the achievement of these objectives is hindered by external shocks and structural constraints in the group. The continued existence of groups

depends on the ability to organize farmers at a higher level of coordination and their ability to handle technological and financial problems.

Baah (2008) in a study of cocoa farmers associations in Ghana, found out that these groups were formed based on the needs of the farmers and have been evolving overtime, based on farmers own initiative. Accordingly these farmer groups have underwent various challenges through different time periods but out of these have emerged new types of associations based on farmers own inventiveness .

2.4 The external drivers of change in groups

According to World Bank (2008) donors and governments can assist farmer organizations by facilitating their right to organize, training leaders and empowering weaker members ,however the creation of such assistance makes organizations dependent of which may impede sustainability of these organizations.

Poole & Frece (2010) studied the farmer groups in Malawi and found out that informal farmer groups evolved into formal farmer association with the support of Smallholder Agribusiness Development Project (SADP).This project supported smallholder farmers by improving their access to input, enabling higher returns on agricultural sales, information dissemination and the promotion of collective action through farmer associations. The studies concluded that the development of farmer groups in many countries in Africa will continue to depend on external players for management and provision of technological inputs as such achieving independence and sustainability of such groups is a long term process.

Wennink et al. (2007) noted that after liberalization and subsequent withdrawal of the state from managing cooperatives in Sub-Saharan Africa, several groups developed through the support of development co operations, donors and agencies. Bosc et al. (2001) undertook case studies of various rural producer organizations all over the world and found out that rural producer organizations are a dynamic set; their functions and relationship with other actors evolve over time. These changes are as a result of the social, economic, political and institutional environment in which they are based. Results further indicates that there is no common path of

RPO evolution, they may begin by taking a broad range of activities then later narrow down these activities, whereas others may begin with a narrow focus and progressively take on other activities and functions that are of interest to their members or the wider community.

Abaru et al. (2006) in a study of farmer organizations in East Africa, found out that strong Common Interest Groups will be able to form inter group association. Results further indicate that the strength of a common interest group will determine the growth and strength of inter group association. However if the common interest groups are weak, then the Inter-group association will not be sustainable. The study further indicates that for the farmers' Organizations to be effective there is need for supportive policies that encourage the growing of organizations with farmers taking control; this is because external drivers can play a role in developing such organizations and widening their scope.

According to Thompson et al. (2009), farmer groups have little resources, limited organizational and technical capacities and need external support to start-up or expand their operations. Therefore governments, donors and NGOs have been promoting the expansion and diversification of farmer organizations activities and membership base. The study also identifies that if the external support is not well targeted the groups will be over dependent on external assistance of which may hinder the sustainability of their projects after the withdrawal of the support.

Sonam & Martwanna (2012) in a study of performance of dairy farmer groups in Bhutan, found out that Small holder farmer groups that are supported both technically and financially by government, become very reliant on the government such that it hinders the sense of ownership among members as they believe that the government is the co-owner of the group. Support by the government should be well targeted and should involve capacity building of the group to make the members cohesive and aware of their roles so that they are able to commit and invest in group activities.

Friedman (2008) in a study of Community Based Organizations that are supported by The After School Cooperation in New York found out that many of the CBOs also get support from several

levels of government. These organizations have opportunities to attain funding from the government which would have enabled them employ qualified staff. However some of the CBOs are not fully utilizing the opportunity

2.5 Effectiveness of collective action

2.5.1 Factors influencing effectiveness of collective action

According to Place et al. (2004) the measurement of collective action is a challenge because groups take on many activities overtime making the analysis and comparison of performance very complicated. Therefore the best way to measure groups' effectiveness (performance) would best be done by use of the out puts generated by the group activities. Therefore the ability of groups to effectively produce achievements (performance), can be measured best by the use of direct out puts. In a study of groups in central Kenya, the common types of direct benefits included; cash or credit from merry go rounds or risk coping groups, animal fodder ,improved livestock breeds, household goods, knowledge and spiritual uplifting of members. Although this can be difficult to quantify therefore the proxies that reflect these benefits need to be identified.

Salifu et al. (2012) assessed the influence of leadership and management on the effectiveness of collective action activities among farmer based organizations in Ghana, results indicates that despite the majority of FBOs claiming to practice democratic principles in selecting leaders, on the contrary the basis of selecting a chairperson has been the age, socio-economic status and the role that individual played during the group formation process. The role of secretary was often left for a member with the highest level of education, whereas the position of a treasurer was often reserved for a female member of the group unless it's a purely male group.

Findings further indicate that the leadership and group members were not aware of what is contained in the constitution and the bylaws. Despite these, the groups organized themselves to suit to their specific collective action activity. It was observed that farmer based organizations that come up with rules and management styles that uniquely suit them are able to successfully manage themselves.

It was evident from the study that the group formation process did not influence the effectiveness of collective action. Whether the group was formed by members or external drivers could not be easily distinguished because members organized themselves into groups' in order to obtain benefits from the government or other sources. The motivation behind the formation of an FBO was found to be a better indicator of effectiveness and not the individuals behind its formation.

Thompson et al. (2009) presented the seven habits of highly effective farmer organizations which were described as the essentials of success in high performing farmer organizations in Africa. The seven habits identified were; clarity of mission, sound governance, strong responsive and accountable leadership, social inclusion and rising of voice, demand driven and focused service delivery, high technical and managerial capacity and effective engagement with external actors. Accordingly these habits offer a useful checklist of working principles and practices to assess the performance of farmer organizations in Africa and elsewhere. Organizations can be internally effective by adopting the seven habits; however it can not successfully represent its members in the absence of an enabling legal, regulatory and policy environment that guarantees its autonomy.

Ampaire & Machethe (2012) in a study of factors influencing the effectiveness of second-tier marketing RPOs in Uganda measured the effectiveness of the RPO by the percentage of the members that market their produce using the RPO. The variables included; RPO size which is the total number of members in the RPO, the total number of women members, democratic governance-dummy variable of specifying whether or not the RPO holds at least two all-member meetings annually and has at least two additional committees (marketing, audit, finance, disciplinary, savings and loans), excluding the executive committee. Generated funds per member, leaders with business experience, Percentage of leaders (RPO chairperson, vice chairperson, secretary, treasurer and manager) that had ever managed a business such as buying and selling agro-produce and petty trade), Bulking distance, km (average distance from member residence to the RPO bulking/collection center).

Results show that RPO size, democratic leadership and higher proportions of women membership in RPOs have a significant positive influence on RPO effectiveness. On the other

hand, the proportion of RPO leaders trained in leadership and involved in related business activities have a significant negative effect on RPO effectiveness. Aldana et al. (2007) in a study of 40 farmer groups in India, Uganda and Bolivia found out that the success of a group depends on the acquisition of skill sets such as; group organization and management, internal savings and lending, sustainable production, ability to access and apply new technology and market skills. Akpabio & Aboh (2007) in an attempt to identify the significant factors affecting the success of women NGOs working with local women groups in Ibom state Nigeria found out that; ability to fulfill beneficiaries expectations, high volume of credit provision and income affects the success of groups.

Ampaire et al.(2013) investigated the factors influencing the effectiveness of second-tier rural producer organizations (RPO) in linking their members to output markets in Uganda. Effectiveness of the RPO was measured using percentage of RPO members who used the RPO for marketing of at least some of their produce. It was found that RPO size, democratic leadership and higher proportion of women membership have a significant positive influence on the effectiveness of the RPO. On the other hand RPO leaders trained in leadership skills and involved in related business activities have a significant negative influence on the effectiveness of RPO.

Rau (2013) in a study of a network of Community Based Organizations in India,found out that the factors that influence effectiveness of a network of Community Based Organizations include: Enthusiasm and commitment among CBO members in support of the networks, Implementing partners with creative ideas, sound technical skills, willingness to negotiate important political relationships on behalf of communities, Innovation and flexibility that permit ideas to be tested and adapted to suit the circumstances of each state network, skills in analysis, communication and problem solving, as well as having skills in organizational management and a common goal so that differences do not divide members within it.

Luvai, Kyalo (2012) in a study of the factors that influence effectiveness of Community based organizations (CBOs), based his research on four variables; governance, resource mobilization, CBO formation process and internal management. He found out that the four variables taken

jointly are significant in influencing the effectiveness of community based organizations but not as an individual independent variable. However resource mobilization and effective internal management can be influenced to determine CBO effectiveness.

Haque et al. (2011) measured effectiveness of Community Based Organization (CBO) micro credit programmes supported by Concern World Wide in Bangladesh based on the ability of a member to access, use and repay loans on time. Results indicates that repayment performance of CBO micro-credit programmes was highly satisfactory, the respondents income and loan receipt amount, positively contributed to loan repayment whereas respondents age, education, family size and forced saving negatively affected loan repayment. Results further indicate that almost all respondents repaid their loan on time with the hope of getting loan in future. Self consciousness and proper supervision by the CBO staff and concern worldwide field workers were the other important contributing factors for repayment performance.

Chamala & Shingi (1997) identified three categories of factors that influence the effectiveness of community groups; Internal factors; group composition, group structure and size, group atmosphere, cohesion, group standards and norms, leadership styles, balance between group maintenance needs, individual needs and task needs, development phase of a group, group culture(empowering, controlling) and level of group “ think” characteristics. Government and non governmental agencies; technical capabilities of extension staff, skills in managing groups, staff attitude and commitments to groups, types of planning method(directive or participative, top down or bottom up or a balance of method) support for field extension officers and formation process of groups. Community factors; groups are part of the community in which they exist hence the community influences the success of a group.

Gyau et al. (2011) studied the role of collective action in improving market access of small holder producers of agro-enterprise products in Cameroon. Results indicate that Collective action will succeed when internal factors such as; favorable group size, group norms, knowledge of market information and voluntary collaboration among members exist. These should be in the context of an enabling environment, which includes favorable policies and regulations.

Collective action has been conceptualized differently by different scholars, arguably McCarthy et al. (2002) conceptualized collective action to mean cooperation. Further, the success of collective action was found to be a function of individuals' motivation to contribute to maintenance and abide by rules and regulations of the institution. Collective action involves the capacity of a community as a whole to cooperate and it's influenced by the overall policy environment in which these institutions operate.

Shiferaw et al. (2006) argued that, depending with the problem under study, certain indicators can be identified as proxies for the different levels of collective action (those that capture the level of cooperation or group action) and the degree of effectiveness of such collective action in attaining the groups stated objectives. This kind of separation allows the assessment of the level in which such collective action can be attributed to good performance in the form of the final outcomes. The level of collective action and its effectiveness can be understood by commitment attributes of the individual members to the group activities and objectives, these includes the extent to which individual members relate with other members of the group within the existing institutional mechanism, commitment and the extent to which members share a common vision to the group ideals and organizational structure.

In a study of producer marketing groups in Makueni and Mbeere Districts in Eastern Kenya, six indicators of collective action were identified; number of elections held since formation of the group, number of members respecting the bylaws of the group, attendance of meetings, annual member contributions to the group, cash capital and agreed annual subscription fees. In order to assess whether high level of collective action influences performance of groups, two indicators were utilized; total assets built over a period of time and total volume of grains traded. The results show that the number of elections held, involvement of members in decision making, initial startup capital and membership fees are positive correlates of group performance, on the other hand distance to the markets and number of villages covered by the group are negatively associated with the effectiveness of the marketing functions of the groups.

2.5.2 The influence of group structure and functions on the effectiveness of collective action

Odindo (2009) in a study of community based organizations in Kenya, found out that within community based organizations there is a variation in terms of size and structure, the level of knowledge and skills in running their projects also varies. Some CBOs are formally registered, with a written constitution and a board of directors also known as the committees, while others are informal and much smaller. CBOs that aim to receive recognition or support from the government or others sources are required to register with the local government. In order to be formally registered, groups should have a management committee composed of a chairman, treasurer, secretary, two committee members and a bank account.

Curtis (2013), assessed three tea organizations in Malawi that are supported by fair-trade foundation and found out that the fair trade certification has influenced change of these organizations both structurally and procedurally, leading to greater democracy, transparency and accountability in addition to enabling members access markets which they were previously unable to access. The support by fair trade foundation has led to improved communication and transparency in these organizations hence farmers are able to voice their opinions at meetings and are kept informed about how funds are being invested. The groups have become more participatory and make decisions in a democratic manner also smallholder farmers now have the opportunity to be directly involved in the planning and implementation of development projects in their communities. Increased income through the fair trade premiums has enabled these organizations to become a more representative and participatory farmer organization by enabling it to hold meetings more regularly (from a few times in a year to more than once per month).

Nyang et al. (2010) in a study of five marketing associations in Kenya Tanzania and Uganda, found out that a common structure of farmer associations in East Africa is that, at the lower level there were individual farmers and the farming community, followed by farmer groups such as self help groups, producer groups, common interest groups and special interest groups. At the higher level there were cooperatives and farmer associations. Farmer associations is an umbrella of various farmer groups, the farmer association needs to be well structured and managed in order to defend the needs of the farmer groups such as better market prices.

Results indicate that as groups develop from lower to higher levels, their roles also change. The roles of self help groups, common interest groups and special interest groups were; book keeping, commercial agricultural production, providing members input requirement, marketing of raw products and creating social capital through group cohesion. On the other hand the roles of organizations at the district level includes; Linking with national institutions and other organizations, collection and dissemination of information, Commodity market identification, collective marketing, bulk purchase of inputs, engage in agricultural extension and technology transfer, monitoring and evaluation of performance.

The findings further shows that the farmer associations had clear constitutions and structures, however some farmer associations did not operate in a democratic process hence hindering leadership performance and transparency, there was also a gender bias in terms of representation of women in leadership whereby the committee was dominated by male leaders, women in leadership roles were only at the affiliate group level and not at the apex association. Uganda had a better representation of women in leadership compared to Kenya and Tanzania.

The structure of the farmer associations enabled the association to engage in functions such as; communication and information management for members, capacity building, development of alliances with other partners and organizations, collective marketing, business development, resource mobilization and policy advocacy. This facilitated improved incomes due to collective marketing of the products. Other benefits of the association to the members included; technical training on agronomy, post harvest loss reduction, value addition, increased market focus, economies of scale which led to better prices, increased leadership skills for women and provision of savings and credit facilities.

Donovan et al. (2008) undertook case studies of rural community enterprises from Africa, Latin America, United States, Caribbean and Asia. The case studies were aimed at giving a better understanding of the nature of RCE's ,their asset building potential, the factors that contribute to their success or failure and their ability to evolve into viable business enterprises. The RCE's were found to take different forms such as; cooperatives, rural producer association, cooperation and communal land grants. The cooperative was found to differ from other RCEs because it was

governed by organizational principles which are; voluntary and open membership, democratic member control, member economic participation, autonomy and independence and education of members.

Producer associations were more often preferred to cooperatives because they are more flexible and less complex, although the basic structure is almost similar to that of the cooperatives because both have board of directors, who include; the chairman, vice chairman, secretary and an oversight committee. However, in an association members have more flexibility to decide how the RCE interacts with external actors and are less interfered by the government compared to cooperatives. As opposed to cooperatives the associations may not necessarily be meant for business ventures and may not permit the distribution of profits to their members.

The study also assessed the multi tier organizational structure. The multi tiered organizational structures was found to represent an option of reducing the high fixed cost associated with marketing, certification and investment in processing in high value markets. At the first tier activities were often related to extraction and production, at this level the groups are more flexible and less complex in terms of structures. The activities include; first stage processing and the bulking of products among individual members. First tier organizations can either be formal or informal often organized by second tier organizations. Whereas the second tier engage in bulking for first tier, the facilitation of certification (e.g. organic, fair-trade and forests) and financial services (Mainly credit or advance payments), they provide technical and managerial support, capacity development and reduces high fixed costs associated with marketing.

According to Kirsten et al. (2009) institutions can either be formal or informal, formal institutions consist of formal rules, has a legal environment and property rights whereas informal institutions has informal rules such as norms and conventions, these rule are normally unwritten and are informally sanctioned which are equally important as the formal rules in structuring conduct of the members. Such informal (rules) once established, forms constraints for individual actors. Therefore both formal and informal rules can provide checks on the conduct of the group members.

Place et al (2004) in a study of farmer groups in central Kenya developed two models for the study. The first model examined the effect of location and structural variables of 40 groups. The other model added functional variables such as the level of formality of the group, the characteristics of the group leader and whether the group changed its purpose overtime. Results indicate that geographical location had no effect on group performance since the drought had hit the area in the year 2000 of which equally affected the nurseries in the location. The results further indicate that the groups that had changed the purpose and taken new directions performed better than the ones that did not.

Friedman (2008), in a study of Community Based Organizations that are supported by The After School Cooperation (TASC) in New York, found out that neither the size of an organization nor its history influences its performance. Not all large and old organizations are effective, this is because others still struggle with administrative weaknesses and fail to meet their objectives. On the other hand smaller and less funded organizations can perform even better.

Farmer groups evolved from the cooperative model which was the main form of farmer groups; this was made possible through modification in structure and concept so as to handle management weakness, improve stakeholders' participation, make commercial activities in the group a priority, increase members' investment, secure other forms of investment, and provide loans to the members. This has led to improved performance (Poole & Frece 2010).

Loevinsohn et al. (1994) in a study of cooperatives and informal associations in Rwanda found out that members of cooperatives manage their land collectively, while farmers in the informal associations work together only when they feel fit to cooperate. The informal associations avoided forming cooperatives, because of the closed structure in the cooperatives. The cooperatives had continued to exist due to their flexibility and the delegation of responsibilities to the members.

Results indicate that the associations devote 100% of the land for seasonal cultivation of rice, whereas the cooperatives have maintained approximately between 25% to 40% of their land on rice, and are planted on rotation basis hence ensuring that rice is present in all seasons, the

cooperatives have also ensured that they have great diversity of crops which include; sweet potatoes, maize/sorghum, egg plant, rice and they also own a fish pond.

The associations strived to ensure economies of scale and also expanded by recruiting new members, while the cooperatives on the other hand were better able to maintain the diversity of their farming system. The cooperatives were also more persistent and more successful in the adoption of a complex but also scale neutral green manuring technology.

According to Shiferaw et al. (2006), Small groups would be able to compete with large scale producers and farmers if they evolve to new collective forms of organization that would help them reduce transaction costs and benefit from better bargaining power in marketing their produce and obtaining production inputs.

According to Abaru et al, (2006), mature groups are those that: have a constitution and rules that have been developed by members, have leaders who understand the group dynamics and can effectively manage the group, the group that regularly monitors and grade their performance and a functioning savings and credit scheme and book keeping skills. This makes the groups more cohesive in working together. Successful farmer groups are able to access extension services, have the ability to demand relevant technologies and high quality agricultural services and they also create social capital, encourage savings and increase farmers' incomes. Successful groups have a strong degree of independence and are able to move to the next level, of forming an inter-group association.

From a case study in Uganda, it was found out that strong Common Interest Groups(CIGs) formed Inter-group Association(IGA).These IGAs market produce for the members, gather market information and business contacts on behalf of the members from the district trade office, NGOs and private traders and communicate the information to their members. CIGs also saves money to IGAs which increases their stake in the association, this enables members get access to credit from micro-finance institutions.

Rau (2013), in a study of networks of Community Based Organizations in India, found out that Community Based Organizations that developed and formed networks, were able to monitor state and national policies and initiatives that affect large numbers of Community Based Organizations. In addition, the networks could give CBO leaders a platform to influence policies, engage in program planning and implementation at district or national levels.

Peters & McDonald (2010) studied the contribution and performance of Grenadian NGOs after a natural disaster and found out that the role of NGOs in developing countries have expanded as international donors have lost confidence with the national governments due to their inability to deliver services effectively therefore they have resorted to supporting NGOs.

The expanded role was due to the ability of the NGOs to promote micro-development initiatives and their flexibility to working at the grass root level; however their new and expanded role was not necessarily accompanied by improvement in skill and competencies, services or performance which is a requirement for the sustainability of these NGOs. This was due to certain constraints such as; having limited personnel with formal project management training, absence of a well developed formal project management culture, which is usually associated with the ability to facilitate the design and implementation of projects, low capacity due to financial dependency of which may hinder the sustainability of the projects after the donor funding has been withdrawn. Even though the NGOs succeeded in their interventions in the Grenadian disaster, more would have been achieved if not for challenges such as; obstruction by government, low wages, limited staff and loose project management processes.

Thorp et al. (2003) in a study of the role of groups in economic development, specifically on poverty reduction, found out that groups may engage in functions that increase income in many ways. The study categorized group functions into three main types; overcoming market failures or efficiency functions, claim functions and pro bono functions. Overcoming market failure group that was covered by study include; producer associations, credit and savings group and natural resource management group. Results indicate that overcoming market failure group evolved in order to enable members to effectively overcome market failures.

According to Kitetu, Wawasi (2005), merry go rounds are informal groups whereby members meet regularly, to contribute money to each household in turn. On the other hand the cooperative is a large formal movement. However the cooperative movement has not had much success due to its bureaucratic nature and political interference hence may not be able to serve the interests of small holder farmers hence triggering the formation of smaller groups, which can serve the needs of small holder farmers.

2.6 Summary of the literature review, conceptual framework and theoretical framework

2.6.1 Summary of the literature review

Formation process of groups vary, other groups are formed from the members own initiative whereas others are influenced by external drivers such as the government, donors and development partners. However most groups are initiated by group members in order to obtain benefits from the government, NGO or other development partners who support farmer groups

The functions of groups include; Procurement of inputs for members at a lower cost due to economies of scale, peer learning of which enables members to get information and also enhances adoption of technology by members. Groups provide support to the members from production, processing and marketing and members also engage in other community development activities. Membership to groups enables members to gain extension advice, obtain credit from both within the group and also from external sources. Groups can also collectively influence government decisions on issues that serve the interests of its members.

There is no particular path of groups evolution, some groups start with a limited mandate then later own increase their activities, other groups start with a broad mandate but later on reduce these activities and specialize in one area, other groups change their objectives completely and engage in new activities, whereas others form new organizations and other groups form an inter group association which is an umbrella body that serves all the groups under it.

The drivers of change vary, other groups change due to the influence of external drivers (government and Non Governmental Organizations) these drivers influence change in groups through capacity building, financial and in kind support, whereas other groups change due to the

members own initiative so that they are able to access certain services which they were unable to in their previous status. Other groups are influenced by a combination of both internal and external drivers.

With evolution, some groups become more effective in that they are able to access certain services, engage in other activities which they were unable to before evolution and are able to meet their objectives. However not all groups that evolve become effective, some groups may not be able to effectively achieve their stated objectives after evolution.

2.6.2 Conceptual framework

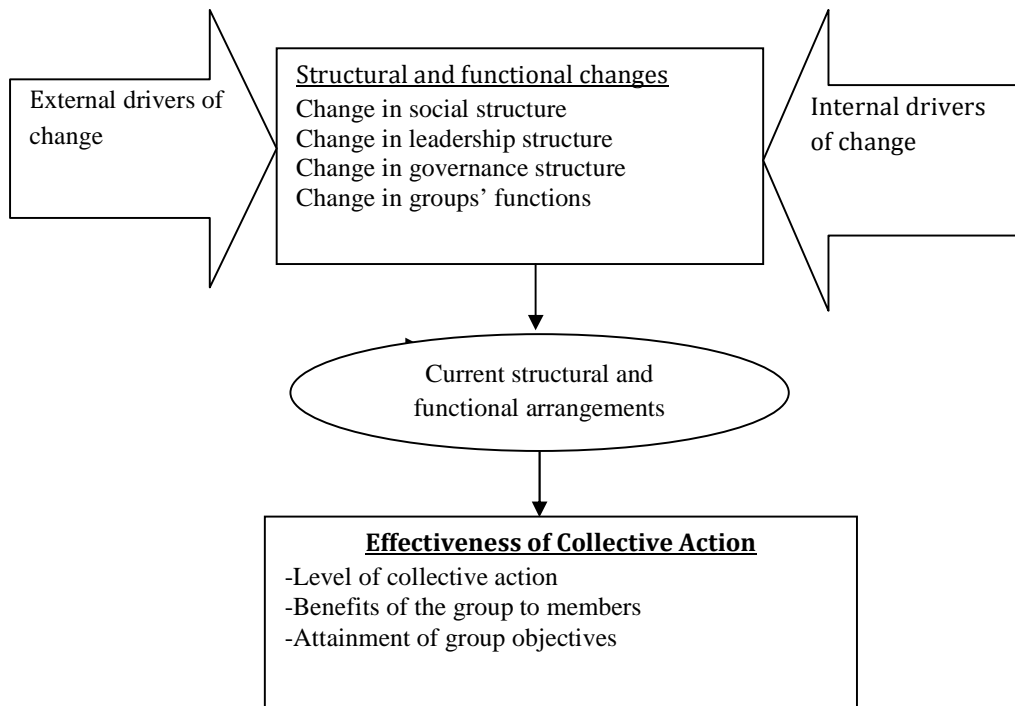


Figure 1: Conceptual framework

Source: Author

2.6.2.1 Summary of the conceptual framework

The study looked at the structural and functional changes in groups. Identified the internal and external drivers of change and how the various structural and functional arrangements influences effectiveness of collective action.

2.6.3 Theoretical framework

2.6.3.1 Modern organization theory: Systems approach

The systems theory is one of the modern approaches to organizational characteristics. This modern theory is based on the concept that the organization is an adaptive system which has to adjust to the changes in the environment. The systems approach is composed of three aspects: Components, linking process and goals of the organization. The component includes; the individual, the formal and informal organization, patterns of behavior, role perception and the physical environment. Linking process consists of communication, balance and decision analysis. Goals of the organization consists of growth, stability and interaction (Asopa & Beye 1997)

Table 1: Systems approach

Components	Linking process	Goals of an organization
The individual	Communication	Growth
The formal and informal organization	Balance	Stability
Patterns of behavior	Decision analysis	Interaction
Role perception		
The physical environment		

Source: (Asopa & Beye 1997)

This study looked at farmer groups, these groups are a collective of individuals who work together to achieve common goals. The study identified that groups in the study sites were either formal or informal. For the groups to achieve their goals, they have to effectively resolve conflicts to enhance stability. Members need to work together which involves interactions and pooled decisions.

2.6.3.2 Multi-linear theory of social change

Multi-linear theory of social change is based on the concept that every society is unique and different, and the path of evolution varies depending on the cultures, time and place. According to this theory, there is no specific evolutionary change that is experienced by all cultures universally. Even though there is no specific evolutionary change for all cultures in the universe,

human societies still evolve/progress in various ways in their own context (Pauls 2013). This study therefore aims to understand how farmer groups evolve overtime. It acknowledges that groups evolve differently and there is no specific path of evolution that all farmer groups take on

CHAPTER THREE

METHODOLOGY

3.0 Site description

3.0.1 Kapchorwa District

Kapchorwa District is located in the eastern part of Uganda, covering an area of 354.6km. It consists of two counties, 11 sub-counties and 1 town council. The sub counties and town council are; Kapchorwa town council, Chenye, Kaptanya, Kaserem, Kawowo, Sipi, Tegeres, Ngege, Kwanyiny, Kapreron and Benet sub counties (Ministry of water and environment,2010). In 2010, the district had a population of 109, 300, out of this 53,200 were male whereas the female were 56,100 of the total population (Uganda Communications Commission, 2010).

Kapchorwa district has been categorized into three agro- ecological zones; agro-ecological zones are areas that share the same natural features and agricultural characteristics. The three agro-ecological zones are: Mount Elgon high farmlands, Kapchorwa farm forests and North Eastern short grass plains with clay soils. The rainfall varies from less than 1000mm in the north to over 1200 mm in the foot hills of Mt Elgon and then increases to 2000 mm on the higher slopes of Mount Elgon. The average temperature is over 20⁰ C in the north and 20⁰ C or less in the south(Kapchorwa District State of the Environment Report,2004).

The district is bordered by Kween District to the north and east, Sironko District to the south and Bulambuli District to the east and northeast. The headquarters is located approximately 65 kilometers by road, northeast of Mbale which is the nearest large city. The coordinates of the district are: 01 24N, 34 27E. Subsistence agriculture is the main economic activity in Kapchorwa District. Common crops grown include: millet, cabbage, wheat, tomatoes, potatoes, beans, simsim, passion fruit, onions, cotton and sunflower.

3.0.2 Bungoma County

Bungoma County is located in Western Kenya and constitutes of six constituencies namely: Mount Elgon, Kimilili, Webuye, Sirisia, Kanduyi and Bumula. Bungoma North, Bungoma South, Bungoma East and Bungoma West were mapped in this county in order to provide county estimates (Kenya Open Data survey 2014).

Bungoma County is located along the border with Uganda and borders Busia, Kakamega and Trans Nzoia counties. The county covers an area of 3,032.2 sq km and the temperatures range from between 15-30 degrees Celsius depending with the season. The county has two rainy seasons with average rainfall ranging from 1200 mm to 1800 mm per annum. The county capital is Bungoma town which has 7 local authorities namely: Municipal councils of Bungoma, Webuye and Kimilili, county council of Bungoma and Mount Elgon and town council of Sirisia and Malakisi. (Bungoma County Facts and Details, 2013).

The main economic activity in the county is agriculture, sugar cane and maize are the major crops grown in the county of which accounts in part on the county's income. In addition, the region has good livestock breeds which have led to the growth of beef and dairy industries. Small scale irrigation is practiced from the rivers that cut across the counties. The Kenya Uganda Railway passes through the county and has significantly supported businesses in the county and led to development of densely populated urban centers. This has attracted financial institutions and retail businesses. Industrial centers exist in Nzoia sugar milling industry. This industry has provided employment and supported agricultural production in particular sugar cane production. (Bungoma County Facts and Details, 2013).

3.0.3 Site selection

Bungoma and Kapchorwa were selected for the study, because these two areas are highlands thus the main economic activity is farming. Therefore the population is mainly composed of small holder farmers who are members of farmer groups.

3.1 Research design

The research design was a case study which enabled in depth study on the various structural and functional changes in group's overtime, drivers of change and the influence of structural and functional arrangements on the effectiveness of collective action of farmer groups. Before the actual study, pilot study was first conducted.

3.2 Unit of analysis

3.2.1 The change in structure and functions of the group

The study looked at the changes in the structural and functional arrangements of the group. The structure of the group involved the Social structure (number of members, composition in terms of gender, group age and group type). Group leadership structure included (Number of leadership positions, succession system and duration of time that leaders can serve in office before replacement. Governance structures included (group internal control systems-by laws, constitution etc, committees, frequency of committee meetings, and record keeping). Functions of the group involves the group activities, beneficiaries and area of operation.

3.2.2 The internal and external drivers of evolution

The internal drivers of change are forces within the group that influenced change. These involves changes that were initiated by group leaders and members

External drivers of change are forces outside the group that have influenced change in groups. These include external actors such as the government, civil society groups (NGO's FBO's etc) and other farmer groups.

3.3.3 The influence of group structure and functions on the effectiveness of collective action

The analysis looked at how the change in various structural and functional arrangements of groups influenced the effectiveness of collective action. Effectiveness of collective action was measured by the level of collective action, ability of the groups to meet its objectives and the various benefits that members obtained from the group.

3.4 Unit of observation

The units of observation were farmer groups.

3.5 Sampling

3.5.1 Sample size

The study looked at a total of 195 farmer groups, 110 groups in Kapchorwa District (Uganda) and 85 groups in Bungoma County (Kenya). The sample size was arrived by using Cochran's (1977) sample size formula for categorical data

$$\underline{n}_0 = \frac{(t)^2 * (p)(q)}{(d)^2}$$

Where;

n- Sample size required

t- Value for selected alpha level of 0.05 in each tail is 1.645

(p)(q)-Estimate of variance= 0.25

d- Acceptable margin of error for proportion being estimated=0.05

This formula is followed by Cochran's (1977) correction formula

$$\underline{n}_1 = \frac{\underline{n}_0}{(1 + \underline{n}_0 / \text{Population})}$$

Where;

n0=required return sample size according to Cochran's formula

n1=required return sample size

3.5.2 Sampling frame

The study was based on the samples from the baseline survey conducted by SRI. The farmer groups in Kapchorwa are 187, whereas the farmer groups in Bungoma are 124, giving a total population of 311 groups to be sampled in this study.

3.5.3 Sampling techniques

3.5.3.1 Stratified random sampling technique

This was administered in order to capture the gender composition of the farmer groups (Men, women, mixed), group level (local, cluster platform) and evolution (Simple, medium, complex).

3.5.3.2 Systematic random sampling technique

Utilized for selecting the groups from each stratum above

3.5.3.3 Purposive sampling technique

Used for selecting groups for in depth focus group discussions

3.6 Methods of data collection

Mixed method technique was used for data collection, whereby both quantitative and qualitative was collected.

3.6.1 Survey method

Survey method was used for the collection of mainly quantitative information from six members of the group; three group leaders and three ordinary members

3.6.2 Focus group discussions

Focus group discussions were utilized for the collection of mainly qualitative data.

3.6.3 Key informant interviews

Key informant interviews were used to gather information from individuals who were highly knowledgeable about the groups and who helped in providing expert advice. Each site had one key informant

3.7 Tools for data collection

3.7.1 Questionnaires:

In this study questionnaires were prepared and structured to meet data information collection needs. One questionnaire was administered in each of the farmer groups and was used to get information from the six members of the groups; three leaders and three members.

3.7.2 Interview schedule

An interview schedule was developed for in-depth discussions with one person from each site that were highly knowledgeable about the groups and gave expert advice. Each study site had had one key informant.

3.7.3 Focus group discussion guide

The focus group discussions were facilitated using a facilitation guide; approximately 12 members of each farmer group were invited to participate in the discussions of which facilitated gathering of detailed information on the groups.

3.8 Ethical issues

Before the study commenced permission to undertake the studies was first requested from local authorities in the study area, and consent requested from the sampled groups before undertaking the study.

3.9 Data analysis

Both qualitative and quantitative data were cleaned and coded for analysis.

3.9.1 Structural and functional changes of the group

The analysis of the change in structural and functional arrangements was analyzed by use of frequency distribution tables, percentages and charts.

3.9.2 The internal and external drivers of change

The internal and external drivers of evolution change were analyzed by use of frequency distribution tables, percentages and charts.

3.9.3 The influence of structural and functional arrangements on the effectiveness of collective action

The analysis of influence structural and functional arrangements on the effectiveness of collective action utilized Anova, chi square tests and principal component analysis

CHAPTER FOUR
DATA PRESENTATION AND ANALYSIS

4.0 Survey respondents

In this study a survey of 195 groups was undertaken, in each group approximately 6 members were interviewed whereby three were group leaders and three were group members. In the mixed gender groups, the ratio of men to women interviewed in Kapchorwa District was 0.53 and 0.47 respectively; men had the highest proportion at 53% compared to women (47%). In Bungoma County on the other hand, the proportion of men to women interviewed was 0.43 and 0.57 respectively. Women had the highest proportion at 57% compared to men (43%).

4.1 Group Characteristics

4.1.1 Group types

The study identified six group types; self help groups, inter group associations/unions, Community based organizations (CBOs), Cooperative societies; farmers' field Schools and a federation. Self help groups were the majority whereas farmers field schools, federation and cooperatives had the least number as evident in the table below:

Table 2: Group types in Bungoma county and Kapchorwa District

Typology	Bungoma		Kapchorwa	
	Frequency N=85	Percentage (%)	Frequency N=110	Percentage (%)
Self help group	73	86	95	86
Intergroup association/union	4	5	4	4
Community based organization	5	6	9	8
Cooperative societies	1	1	2	2
Farmers field schools	1	1	0	-
Federation	1	1	0	-

In Bungoma County, self help groups were 86% and Inter group association/union were 5%. On the other hand, self groups in Kapchorwa District accounted for 86% of all the groups interviewed while inter group association/union accounted for only 4% of the groups.

Community based organizations in Bungoma County accounted for 6% of all the groups interviewed, whereas in Kapchorwa District they accounted for 8% of groups interviewed. Cooperative societies were at 1 % in Bungoma County and 2% in Kapchorwa District. Farmer's field school and federation were only present in one site (Bungoma County) and they accounted for 1% each of the total group types in the site.

Self help group had the highest number, owing to the fact that these group types are relatively many in both sites. These groups are the smallest group type compared to the others; they also have very few numbers of members. Self help groups mainly operate at the village level and their main role is to serve the immediate needs of the group members only. These groups are not obliged to support other community members, unless it is in their own free will.

Community based organizations and inter group associations/unions usually has more members, these groups are also an aggregation of self help groups. Community based organizations, mostly operate beyond the village level, they not only serve the immediate needs/interests of group members but they also serve other members of the community as well. CBOs are also mandated to engage in cooperate social responsibilities such as cleaning the environment, repairing roads etc as a way of giving back to the community. Farmer's field schools have many members and its membership is not only comprised of members from a village, but it also has membership beyond the village level. Farmers' field school is a form of adult education that enables farmers to learn agricultural practices through field observation and experimentation.

Cooperative societies comprises of more members compared to self help group, the cooperatives that were identified in the study sites were Savings and Credit Cooperative Societies. These cooperatives have members not only from the village but beyond the village as well. Cooperatives enable farmers to save and obtain loans at lower interest rates.

The federation in Bungoma County was mainly for collective marketing of bananas by farmers, it is arguably the biggest group type and comprised of 111 self help groups and 11 Community based organizations. Getting the exact number of members in this federation was not possible because it had very many members spread across the county.

4.1.2 Education level of members

The study identified that the highest level of education of group members ranged from lower primary to tertiary level .However the percentage of members with university degree certificates were the least, whereas those with upper primary and secondary education were the majority. This is indicated in the table below:

Table 3: Education level of the group members

Highest level of education	Bungoma		Kapchorwa	
	Frequency N=1847	Percentage (%)	Frequency N=2317	Percentage (%)
Degree	16	1	53	2
Diploma	69	4	77	3
College Certificate	162	9	194	8
Secondary	597	32	638	28
Upper primary	784	42	824	36
Lower primary	219	12	531	23

In Bungoma County, group members that had completed their secondary education were 32% compared to 28% in Kapchorwa District. The group members that had left school after finishing primary education were 42% in Bungoma County and 36% in Kapchorwa District. Generally farmer groups operate in the rural areas, and the more educated members of these areas moved to urban areas in search of formal employment. Most of the highly educated members (Degree, diploma and college certificate holders) in these groups were mainly teachers and retirees

4.1.3 Gender composition of leaders

The gender composition of group leaders varied per site, In Bungoma county women occupied majority of the leadership positions, whereas in Kapchorwa District most of the leadership positions were occupied by men, except for the position of treasurer and assistant secretary which was dominated by women. This is evidenced in the table below:

Table 4: Gender composition of the group leaders

	Bungoma		Kapchorwa	
	Women (%)	Men (%)	Women (%)	Men (%)
Chairperson	55	45	32	68
Vice chairperson	64	36	50	50
General secretary	55	45	33	67
Organizing secretary	50	50	45	55
Treasurer	82	18	80	20
Assistant treasurer	76	24	45	55
Assistant secretary	77	23	100	-
Other leadership positions	53	47	38	63
Total leadership positions	62	38	48	52

In Bungoma County the positions of chairperson were occupied by women and men in 55% and 45% of the groups respectively. In Kapchorwa District on the other hand the positions of chairperson were occupied by women and men in 32% and 68% of groups respectively.

In both sites women were seen to be highly trusted with the group finances and they were mostly given the position of the treasurer. In Bungoma county 82% of groups had women as their treasurer compared to only 18% of groups that had men as their treasurer. In Kapchorwa District, even though men dominated most leadership positions, 80% of the groups had women as their treasurer compared to 20 % of the groups that had men as their treasurer.

Generally, In Bungoma County, women were identified to occupy more leadership positions at 62% compared to men who occupied only 38% of all the leadership positions. In Kapchorwa District on the other hand men occupied slightly more leadership positions (52%) compared to women who occupied 48% of all the leadership positions. The difference in gender participation in leadership in both sites can be attributed to the fact that women were more involved in group activities in Bungoma County compared to Kapchorwa District. In Kapchorwa District, it was evident that the participation of men and women in group activities was almost the same.

4.1.4 Frequency of group meetings

The frequency of all members meetings by majority of the groups were held monthly and weekly, few groups met yearly and semi annually. This is indicated in the table below:

Table 5: Frequency of group meetings

Frequency of meetings	Bungoma		Kapchorwa	
	Frequency N=85	Percentage (%)	Frequency N=109	Percentage (%)
less than a month	49	58	30	28
Monthly	34	40	50	46
Quarterly	0	-	20	18
Semi annually	0	-	4	4
Yearly	2	2	5	5

Most self help groups held their meetings weekly and monthly. In Bungoma County however, one self help group and the federation held one meeting per year for all members. In the federation, the all member meeting is referred to as the Annual General Meeting (AGM). However despite having whole member meetings annually, these groups cited that their leaders and the various committees met more often.

Compared to Bungoma county, Kapchorwa District had more groups that met quarterly(18%), semi annually(4%) and Yearly(5%), most of these groups were larger organizations such as inter group associations/unions, cooperatives, community based organizations, hence convening regular meetings for members was a challenge. Being an aggregation of groups, these larger organizations met less often. One group in Kapchorwa District did not specify the frequency of their meetings as they don't have specific timelines for holding group meetings and only met whenever there was need to.

4.1.5 Group activities

Most groups engaged in mixed farming as their main activities. In Kapchorwa District, 38% of the groups engaged in crop farming and 25% in animal keeping, as their main function. In Bungoma County, 45% of the groups were mainly involved in animal keeping and 30% of the groups practiced crop farming. This is evident in the figure below:

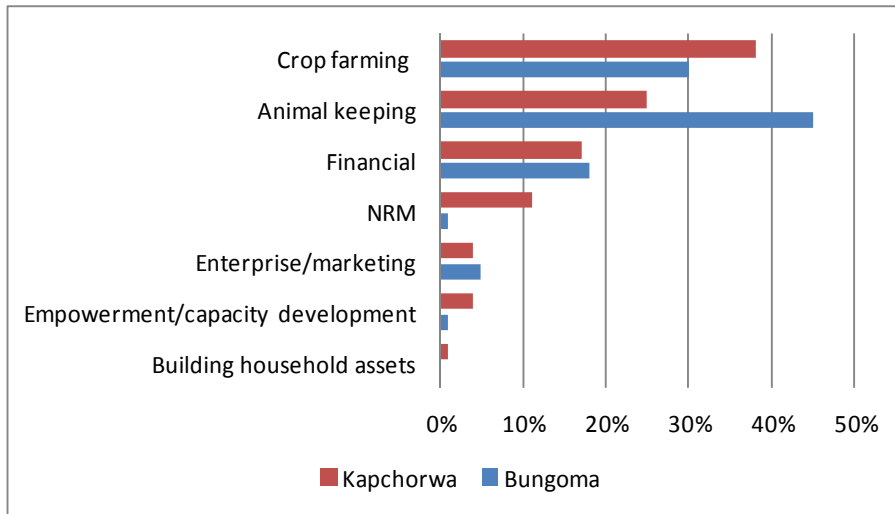


Figure 2: Main activity of groups

Evidently more than 60 % of the farmer groups in both sites had mixed farming (Crop farming and livestock rearing) as their main activity. This is because farmers mainly organize themselves in groups in order to acquire skills on effective farming practices, source agricultural inputs collectively and market their agricultural products collectively. These results are akin with the findings of Adong et al. (2013), who identified that most farmer groups engage in agricultural activities.

Bungoma County however mainly keeps animal compared to Kapchorwa District, given that the county has a more favorable environment for animal rearing. According to Mudavadi et al. (2001), livestock management is practiced in Bungoma due to its role in the livelihood of the communities as well as its resistance to diseases. The County has good livestock breeds which have resulted to growth in beef and dairy industries (Bungoma County Facts and Details, 2013). The farmer groups in the hilly highlands of Kapchorwa District mainly engage in crop farming compared to Bungoma County. This can be attributed to the environment being more favorable for crop farming. The district has good soils and experience heavy rainfalls favorable for both food and cash crops (The Republic of Uganda, 2000). Food and cash crops are therefore the main source of income in households of Kapchorwa District (UNDP 2013). In addition, Natural resource management is practiced more in Kapchorwa District than Bungoma County. This is because the locale is highly likely to experience soil erosion, due to the highly terrain of the

District (UNDP 2013). Thus farmer groups engage in soil and water conservation activities mainly through planting trees and terracing to prevent soil erosion.

Other groups had financial, enterprise/marketing, empowerment/capacity development and building household assets as their main activity. Financial groups were 18% in Bungoma County and 17% in Kapchorwa District. Enterprise and marketing groups comprised of 5% of the groups in Bungoma County compared to 4% of the groups in Kapchorwa District. Enterprise and marketing groups are involved in either collective enterprises such as having a milk bar for selling milk products or a general merchandise shop, or collectively selling their farm products for example bananas which are usually assembled at one point referred to as collection centers. Financial groups are involved in lending and borrowing of money in form of loans which are later paid with interest, whereas Natural Resource Management groups (NRM) are involved in Agroforestry, soil and water conservation such as terracing.

The major crops grown in Bungoma County include: Maize, beans, bananas, avocado, tomatoes, onions and kales, while in Kapchorwa District the crops grown are mainly bananas, maize, coffee and sunflower. In Bungoma County, the animals kept are mainly cows, dairy goats and poultry (chicken), whereas in Kapchorwa District the animals kept include cows and poultry mainly chicken. Even though the main economic activities in both sites was mixed farming, Bungoma County had more bias in animal rearing, since it has a more favorable environment for animal keeping. The hilly highlands of Kapchorwa District had more bias on crop farming since the environment was more favorable for growing both food crops and cash crops.

4.2 Emergence and evolution of groups

4.2.1 Group age

Most of the groups in both sites were formed in the last 15 years; this is evidenced in the table below:

Table 6: Group age in Bungoma county and Kapchorwa District

Group age	Bungoma		Kapchorwa	
	Frequency N=85	Percentage (%)	Frequency N=110	Percentage (%)
1-5	26	31	53	48
6-10	36	42	35	32
11-15	14	16	20	18
16-20	5	6	1	1
21-25	1	1	0	-
26-30	2	2	1	1
31-35	1	1	0	-

In Bungoma County, 31% of the groups had their ages ranging from 1-5 years, 42% were between 6-10 years old, 16% were between 11-15 years and 6% were between 16-20 years. In Kapchorwa district, 48% of the groups had their ages ranging between 1-5 years, 32% were between 6-10 years and 18% between 11-15 years. Evidently most of the groups were formed in the last 15 years from around 1990 during the post liberalization period and the number of groups has been increasing through the years. More farmers are increasingly forming and joining groups to benefit from collective activities.

4.2.2 Group formation process

Findings from this study indicate that most of the groups were formed by group members as opposed to external actors. This is indicated in the table below:

Table 7: Formation Process of groups

Formation process	Bungoma		Kapchorwa	
	Frequency N=85	Percentage (%)	Frequency N=110	Percentage (%)
Group members	78	91	104	94
Government	4	5	6	5
NGOs/Development partners	4	5	1	1

In Bungoma County, 91% of the groups were formed by the group members, 5% by government and 5% by non-governmental organizations (NGOs). In Kapchorwa District, 94% of the groups were formed by group members, 5 % by government, whereas 1% was formed by NGOs. These results are comparable to the findings of Salifu et al. (2012) who identified that farmer groups are mainly formed by members. However the results differs with the findings of Place et al. (2004) who established that most farmer groups were likely to be initiated by external organizations as opposed to individual farmers. Patently, most farmer groups were formed by group members as opposed to external actors in the two East African nations. This shows that most farmers are increasingly recognizing the importance of working collectively through farmer groups as oppose to individually.

4.2.2.1 Reasons for forming groups

Results from focus group discussions show that groups were formed for various purposes. These include revolving funds (merry-go-rounds), soil and water conservation and to increase agricultural productivity. Other reasons for formation were to enable members engage in collective activities such as sourcing of agricultural inputs and marketing of agricultural products. These results are consistent with the findings of Fischer & Qaim (2012) and Baah (2008) who identified that people were likely to form and participate in groups if their membership would be of benefit to them. Thus farmers in the study sites organized themselves into groups to benefit from collective activities.

4.2.3 Change from informal to formal groups

Most groups started as informal groups but majority of these groups were later on registered .In Bungoma County, all the groups have been registered compared to Kapchorwa District whereby 25 % of the groups are still operating as informal groups. In Kapchorwa district 33% of the groups were registered in the year of formation whereas 57% were registered 1-5 years later after formation. In Bungoma county on the other hand 44% of the groups were registered at the year of formation whereas 48% were registered 1-5 years later after formation.This is indicated in the figure below:

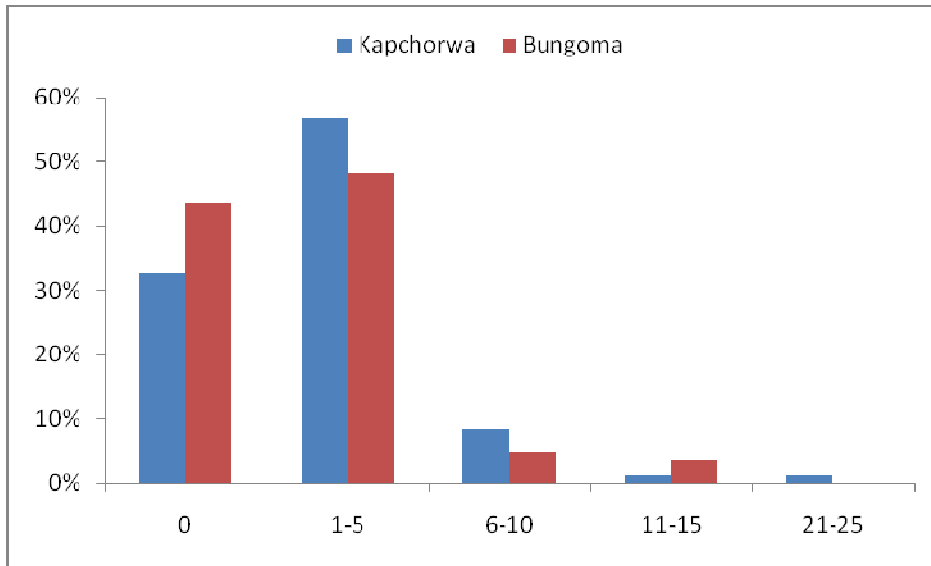


Figure 3: Number of years taken for groups to be registered

The difference in duration of time taken to register groups is informed by the fact that what different groups consider as important varies, some groups do not see the value of registration, provided the group is operational to them there is no point of formalizing the group. On the other hand other farmer groups value formalizing their groups for recognition purposes by various partners. Evidently majority of formal groups in both sites were registered several years later after formation. Findings from focus group discussions also indicate that even for the groups that were registered at the year of formation, the registration was done several months later after formation.

4.2.3.1 Reasons for change from informal to formal groups

Groups are usually registered in order to be recognized by various partners and to operate formally. In Bungoma county, the farmer groups gave various reasons on why they registered their groups, this includes: Recognition by government and other stakeholders (49%), to legally engage in collective action activities such as village savings and loaning (20%), to be able to access credit from government and financial institutions (15%), to get support from government and other stakeholders (9%), to be able to engage in partnerships with other organizations, government and be part of CBOs (4%) and to enable members open and operate bank accounts (3%). In Kapchorwa District on the other hand the reasons given for group registration include; To get support from government and other organizations (60%), to be recognized by the

government and other stakeholders (20%), to legally engage in collective activities (13%), to access credit (3%), requested to register by government and other stakeholders (3%) and to be able to open and operate bank accounts (1%).

4.2.4 Change in group type

In Bungoma County, only 1 % of the groups had changed their group type compared to 8% of groups in Kapchorwa District. On the other hand, 99% of the groups in Bungoma county and 92% of the groups in Kapchorwa District did not change the group type. This is shown in the table below:

Table 8: Change in group type

Change	Bungoma		Kapchorwa	
	N=85	(%)	N=110	(%)
No change in group type	84	99	101	92
Change in group type	1	1	9	8
Type of change				
Self help group to a federation	1	1	-	-
Self help group to a CBO	0	-	7	72
Self help group to cooperative societies	0	-	1	14
Self help group to intergroup association/union	0	-	1	14

In Kapchorwa District the few groups that changed the group types preferred to change from self help groups to community based organizations (72%), other changes include change from self help groups to cooperative societies (14%) and from self help groups to inter group association/union (14%).

In Bungoma county one group had changed from an informal self help which was established mainly for capacity development to a federation that markets bananas for farmers, the federation currently comprise of 111 self help groups and 11 Community Based Organizations (CBOs). The federation was formed in order to facilitate economies of scale and negotiate for better

prices of their products in the market, owing to the fact that the residents were being exploited by middlemen.

Kapchorwa District exhibited more changes in group type compared to Bungoma county, as groups in Bungoma county preferred to form an umbrella organization such as a federation to address their collective needs. The groups in Kapchorwa experienced more organizational change owing to the fact that they wanted to attain certain benefits which they could not have attained in the previous status. Generally, it was evident from the study that most groups do not form new organizations, as indicated by the large number of groups which did not change the group type. These results are comparable to the findings of Place et al. (2004) in a study of farmer organizations in central Kenya, the study identified that most groups do not form new organizations but instead they diversify their activities.

4.2.4.1 Reasons for change in group type

The groups that had changed their group types cited various reasons for change which includes: To attract more farmer groups, engage in loaning to earn interest for the group; take on collective marketing in order to earn more profits due to economies of scale; to benefit from donors and civil society organizations; to be recognised by government and get their support; to enable them offer services to farmers; to expand their market; to broaden their knowledge and attract funding from development partners as well as access more funding from donors.

4.2.5 Change in group size

Bungoma County registered an increase of 60% in group size and Kapchorwa district registered increase in group size at 30% .Whereas the majority of the groups in Kapchorwa (54%) remained constant. In Kapchorwa, 16% had reduced in group size compared to 25% of groups in Bungoma County. This is indicated in the figure below:

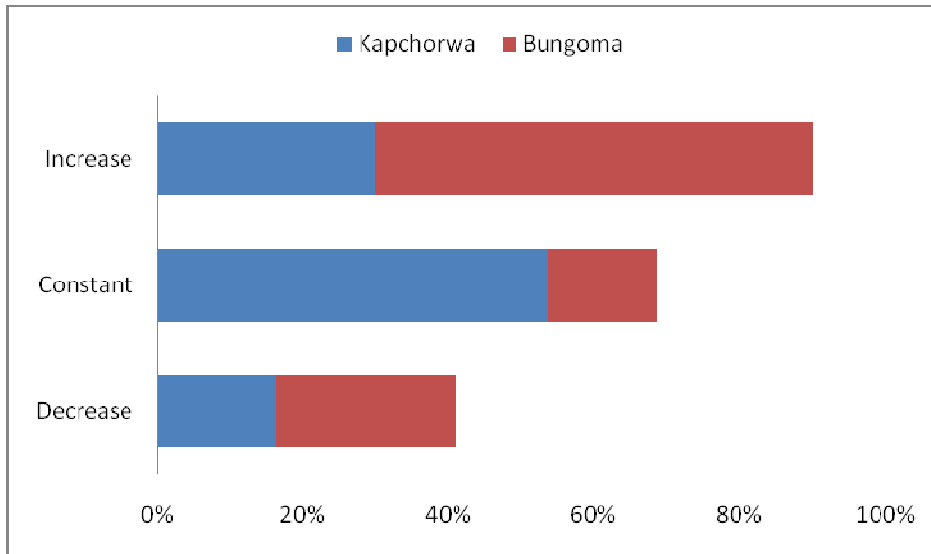


Figure 4: Change in group size in Bungoma and Kapchorwa

It is evident that more groups in Kapchorwa District had group size remaining constant. Hence 54 % of the groups had neither increased nor decreased in size. This can be attributed to preference by farmers in Kapchorwa District to form new groups as opposed to joining existing groups. Consequently, Kapchorwa District have more new groups which were formed 1-5 years ago, compared to Bungoma County which had less of these young groups. Whereas in Bungoma County only 15% of the groups had their size remaining constant, because most farmers prefer to join the already existing groups as opposed to organizing themselves to form a new group. This explains why there are more farmer groups in Kapchorwa District than Bungoma County.

More farmers are recognizing the need of joining groups and engaging in collective activities. For that reason, the percentage of groups in both sites that had increased in size was higher than those that had decreased in size. Evidently, more farmers are recognizing the need of joining groups and engaging in collective activities.

4.2.5.1: Reasons for increase in group size

Findings from survey and focus group discussions indicates that the group size had increased due to many reasons, which includes : New members wanted to benefit from the group activities and get support from government and NGOs; who mainly channel their support through groups as opposed to individual farmers ,and to also engage in collective marketing. This is indicated in the table below:

Table 9: Reasons for increase in group size

Reasons for increase in group size	Bungoma (%)	Kapchorwa (%)
To benefit from group activities	39	31
Success of the group	36	29
Benefit from government/NGO support	13	20
Engage in collective marketing	3	6
Change in gender composition of group	3	3
Reduction in membership fee	-	3
Mobilization	1	6
Trainings on importance of groups	4	3
Replace those that had dropped out	1	-

Other reasons include; The success of groups which influenced farmers to join groups; change in gender composition of the group from single gender group to mixed gender group influenced men and women to join some groups; reduction of membership fee also contributed to increase in group size, as other members joined the group because they could afford to pay membership fee; mobilization of community members as well as trainings on importance of joining groups influenced other members of the community to join groups; Some members joined groups in order to replace those that had dropped out. These results are consistent with the findings of Abaru et al. (2006) who identified that groups increase in size as new members join groups in order to benefit from collective activities.

4.2.5.2: Reasons for reduction in group size

Groups that had reduced in size cited aspects such as failure to pay membership fee, death and relocation as some of the major factors that led to decline in group size. This is indicated in the table below:

Table 10: Reasons for reduction in group size

Reasons for reduction in group size	Bungoma (%)	Kapchorwa (%)
Absenteeism/not attending meetings	6	-
Failure to pay membership fee	2	14
Loan defaulters	6	7
Not abiding by rules and regulations	-	9
Relocation	14	11
Post-election violence	2	-
Poor leadership	2	-
Unable to afford the membership fee	9	2
Death	20	9
Denied by spouse	2	-
Expectation not met	5	18
Sickness	5	-
Misuse of funds by leaders	3	7
The group didn't get support from government / donors	3	-
Caught up with other household activities	5	5
Joined another group	3	5
Self-withdrawal without specified reasons	8	11
Conflict	3	-
Accomplished their mission	2	2
Religious differences	2	-
old age	2	-

Other factors that led to decline in group size in both sites include old age, religious differences, conflicts, self-withdrawal without specified reasons, others left in order to join other groups, caught up with other household activities, some members left after the group failed to get support from the government, poor leadership and misuse of funds by leaders which discouraged members hence they left the group, some members got sick and could not actively participate in group activities hence they quitted from the group, failure to meet their expectations hence others left, absenteeism and loan defaulters.

In Bungoma county, the site specific aspects that led to decline in group size include the 2007/2008 post election violence as some of the members had to relocate, some spouses mainly

husbands did not allow their wives to participate in group activities as they viewed it as a waste of time. Information gathered from focus group discussions also indicated that men viewed women participation in group activities as a forum for idling and gossiping. Whereas in Kapchorwa District, the site specific aspect that led to decline in group size was failure to abide by the rules and regulations

Worthwhile to note is that in both sites some members (2%) had left the group after they accomplished their mission; hence they no longer reasons for participating in group activities.

4.2.6 Gender composition of groups

Most groups in the two sites were mixed gender groups. Men only group had the least number and was only present in one site (Kapchorwa District). In Kapchorwa District men only group were 3%, women group were 19% and mixed gender groups were 78%. In Bungoma county on the other hand, mixed gender group comprised 91% and women only group 9%. This is evident in the figure below:

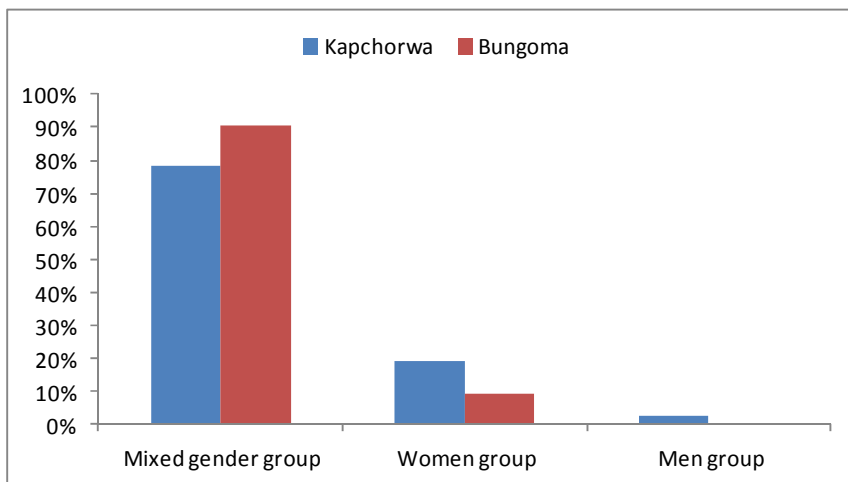


Figure 5: Gender composition of groups

Men only group is unique as most groups are either mixed gender groups or women only group. The reasons for having men only groups in Kapchorwa District varied from group to group. Some groups engaged in bee keeping as their main function and the main economic activity is to sell honey, this is regarded as men dominated work hence women were hesitant to join these groups. Other groups cited that women dropped out of the group after they realized that the

group was not beneficial to them. The third group is a youth group comprising of only young men, and they chose not to integrate young women in the group activities.

4.2.6.1 Gender composition in the mixed gender groups

In the mixed gender group the percentage of men and women varied in each site, Bungoma County had more women compared to Kapchorwa District. The proportion of men to women in the mixed gender groups in Bungoma County was 0.36 and 0.64 respectively. Women had the highest proportion at 64% compared to men who were only 36%. In Kapchorwa, the proportion of men to women was 0.49 and 0.51 respectively; women had a slightly higher proportion at 51% compared to men who were at 49%.

In Bungoma County, women participated more in groups compared to men, as some men in Bungoma county did not see the value of participating in group activities. Feedback from focus group discussions in Bungoma County indicated that some men viewed women participation in group activities as a waste of time and a forum for idling and gossiping and some men did not allow their wives to participate in groups. In Kapchorwa District on the other hand both men and women equally participated in group activities.

4.2.6.2 Change in gender composition of groups

The current gender composition has not been the same for all the groups since formation, because 22% of these groups in Bungoma County had changed their gender composition overtime. On the other hand, only 9% of the groups in Kapchorwa District had changed their gender composition. It is also noticeable that change from women group to mixed gender groups had the highest number. In Bungoma County, 63% of the groups had changed from women group to mixed gender group compared to 50% of the groups in Kapchorwa District. Groups that had changed from men group to mixed gender group accounted for 37% of groups in Bungoma County and 30% of groups in Kapchorwa District. This is indicated in the table below:

Table 11: Change in gender composition of groups

Change in gender composition	Bungoma		Kapchorwa	
	Frequency	(%)	Frequency	(%)
Change	19	22	10	9
No change	66	78	100	91
Type of change				
Men group to mixed gender group	7	37	3	30
Women group to mixed gender group	12	63	5	50
Mixed gender group to women group	0	-	1	10
Mixed gender group to men group	0	-	1	10

It was also clear that only 10% of the groups had changed from mixed gender groups to women group and men group in Kapchorwa District. From these results, it is evident that most groups that change their gender composition are moving towards mixed gender groups as opposed to a single gender group, with the highest number being change from women group to mixed gender groups followed by change from men group to mixed gender groups. In both sites men and women are recognizing the need of working together to bring in synergies as opposed to working as single gender groups. These groups are increasingly recognizing the importance of their complementary roles.

4.2.7 Leadership positions

The leadership positions that were identified in the study include the positions of chairperson vice chairperson, general secretary, organizing secretary, treasurer, assistant treasurer, assistant secretary and other leadership positions such as patron and team leader.

4.2.7.1 Change in the number of leadership positions

Majority of the groups in the study sites did not change the number of leadership positions overtime. In Bungoma County, 21% of the groups had increased the number of leadership positions compared to 6% of the groups in Kapchorwa District. In Bungoma county 79% of the groups had not changed the number of leadership positions compared to 94% of groups in Kapchorwa District. Leadership positions were increased by the groups to provide support to

leaders who were already in place. Other factors include the requirements by government for registration purposes

4.2.7.2 Process of replacing group leaders

The process of replacing leaders include regular elections and consensus, this is indicated in the table below:

Table 12: Replacement system

Replacement system	Bungoma (%)	Kapchorwa (%)
A leader voluntarily resigns	-	14
Regular elections	96%	49
Consensus	4%	30
Status in society	-	1
In case of non performance	-	5

In Both sites, democratic systems of replacing leaders through regular elections, was the most popular. In Bungoma County, 96 % of the groups conducted regular elections whereas 4% replaced their leaders through consensus. In Kapchorwa District on the other hand, 49% of the groups conducted regular elections, 30% replaced their leaders through consensus, 14 % cited that leaders stayed in office as long as they still want to serve in office and voluntarily resign at their will, 1% of the groups picked their leaders depending with their status in society and 5% cited that a leader serves in office as long as he/she performs well and evicted from leadership only in cases of non performance.

In Kapchorwa District replacement system did not matter much provided members are in agreement and leaders are performing their designated roles effectively. In Bungoma County on the other hand, regular elections was of more essence hence leaders were democratically elected and served on specific period of time before replacement.

4.2.7.2 Change in process of replacing group leaders

In Bungoma County, 7% of the groups had changed the process of replacing leaders compared to 5% of the groups in Kapchorwa District. Majority of the groups in the two sites exhibited no change in the process of replacing leaders; Bungoma (93%) and Kapchorwa (95%).

4.2.7.2.1 Reasons for change in the process of replacing leaders

In the two sites, the groups that had changed the succession system, changed to democratic systems of replacing leaders, they cited that they resorted to regular elections after they were enlightened through trainings and also wanted to avoid over dominance of few people who impose leaders.

4.2.7.3 Frequency of replacing group leaders

The frequency of replacing group leaders varied from group to group and from site to site. This is indicated in table below:

Table 13: Frequency of replacing group leaders

Frequency of replacing group leaders	Bungoma		Kapchorwa	
	Frequency	(%)	Frequency	(%)
Less than one year	1	1	2	2
Yearly	18	21	14	14
Bi annually	14	17	26	26
Tri annually	43	51	13	13
Above three years	6	7	25	25
Un specified	2	2	19	19

Few groups replaced the leaders in a span of less than one year, whereas majority replaced the leaders after they had served in office for more than one year. Other groups did not have specific timelines for replacing leaders; these comprised 19% of groups in Kapchorwa District and 2% of groups in Bungoma County.

In Kapchorwa District group leaders served in office much longer whereas a number of groups did not have specific timelines for replacing leaders. A good number of groups in Kapchorwa District (19%) did not find specified duration of leadership tenure as of essence.

4.2.7.4 Change in duration of leaders' term in office

In Bungoma county 5% of the groups had changed the duration of time that leaders can serve in office before they are replaced, compared to 7% of groups in Kapchorwa District. Majority of the groups exhibited no change in the duration of leader's term in office. The groups that had not changed the frequency of replacing leaders accounted for 95% of groups in Bungoma and 93% of groups in Kapchorwa. The change included minimizing the duration of time that leaders could serve in office

4.2.7.4.1 Reasons for change in duration of leaders term in office

The reasons given for changing the frequency of replacing leaders in Kapchorwa District include: To remove leaders who over stay in office, to give opportunities for others to lead and take control of the group, to grant other members an opportunity to participate in leadership, enhance sustainability of the group by allowing other members to take charge. In Bungoma County, the reasons given for changing the frequency of replacing leaders include: Advised to reduce the leaders' term in office by their partners, to reduce conflicts and ensure leaders finish their tasks.

4.2.8 Committees in the group

4.2.8.1 Presence of committees

All the groups in the study sites had executive committees who included the chairman, secretary and treasurer. Some of these groups later on incorporated other additional committees such as welfare committee, production committee, finance committee, marketing committee. The roles of these additional committees were to support the executive committee in decision making and on the day to day management of the group activities and projects.

Results from the two sites indicates that in Bungoma county 15% of the groups do not have additional committees compared to 30% of the groups in Kapchorwa District. Groups that had

additional committees in Bungoma County were 85% compared to 70% of the groups in Kapchorwa District.

Table 14: Presence of committees

Committees	Bungoma		Kapchorwa	
	N	(%)	N	(%)
Presence of committees				
Have additional Committees	72	85	77	70
Do not have additional committees	13	15	33	30

4.2.8.2 Incorporation of committees in groups

In Bungoma County 14% of the groups had appointed the additional committees at the year of formation, compared to 22% of the groups in Kapchorwa District. In Bungoma County, 71% of the groups appointed committees several years after formation compared to 48% of the groups in Kapchorwa District. Evidently majority of the groups had added the committees' years later after formation, which indicates change in the governance structure through incorporation of additional committees to the groups. This is depicted in the table below:

Table 15: Incorporation of committees in the groups

Presence of additional committees	Bungoma		Kapchorwa	
	N	(%)	N	(%)
Have no additional committees	13	15	33	30
Had additional committees since formation	12	14	24	22
Appointed additional committees years after formation	60	71	53	48

4.2.8.3 Timelines for Incorporation of committees in groups

In both sites majority of the groups incorporated additional committees between 1-3 years after formation, followed by 4-6 years. This is indicated in the table below:

Numbers of years taken before committees were appointed

Years	Bungoma		Kapchorwa	
	Frequency	%	Frequency	%
1-3	33	55	37	70
4-6	15	25	8	15
7-9	6	10	2	4
10-12	2	3	4	8
13-15	0	-	1	2
16-18	1	2	0	-
19-21	1	2	0	-
22-24	2	3	1	2

Very few groups appointed committees more than 10 years after formation. From these results, it is evident that most of the groups in the two sites appointed the additional committees in a span of less than ten years after formation.

4.2.8.4 Reasons for Incorporation of committees in groups

The additional committees were appointed due to various reasons, with the majority of the groups in both sites citing the main reason for appointing committees was to facilitate effective management of the group. This is indicated in the figure below:

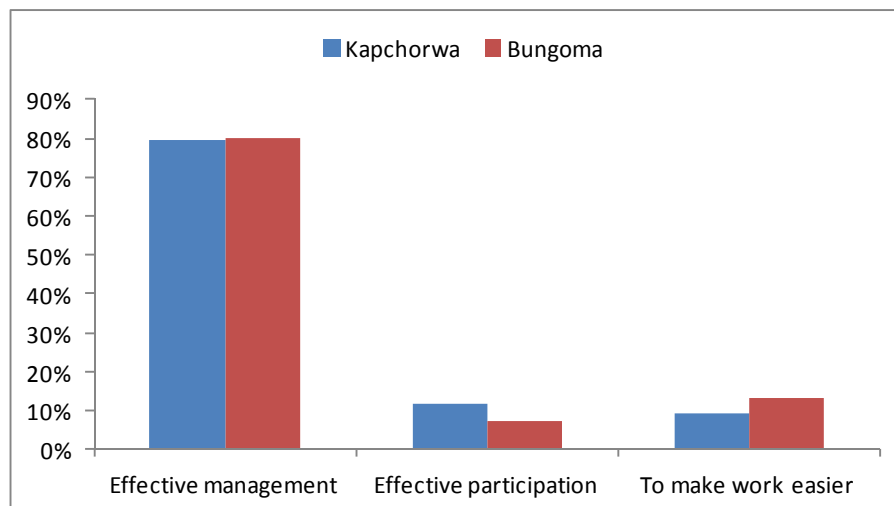


Figure 6 : Reasons for appointing committees

In Bungoma County 80% of the groups appointed committees in order to facilitate effective management of the group activities compared to 79% of the groups in Kapchorwa District. 7% of the groups in Bungoma County appointed committees in order to ensure effective participation

of the group members compared to 11% of the groups in Kapchorwa District. Lastly 13% of the groups in Bungoma County appointed committees in order to make work easier compared to 9% of the groups in Kapchorwa District.

4.2.9 Record keeping

In Bungoma county 100% of the groups kept records compared to 97% of the groups in Kapchorwa District. Therefore, 3% of the groups do not keep records in Kapchorwa District.

4.2.9.1 Type of records kept

The study further identified that the various type of records kept by the groups include: Minutes, financial records, group activities reports and progress reports. This is indicated in the table below:

Table 16: Type of records

	Bungoma		Kapchorwa	
	Frequency	(%)	Frequency	(%)
Minutes	85	100	101	97
Financial records	82	96	64	62
Group activities report	71	84	27	26
Progress reports	41	48	20	19

Majority of the groups kept minutes compared to all the other records. In Bungoma County all the groups (100%) kept minutes, compared to 97% of the groups in Kapchorwa district. In Bungoma county 96% of the groups kept financial records, 84% kept the group activities report and 48% had progress reports. In Kapchorwa District, 62% of the groups kept financial records, 26 % kept group activities report whereas 19% kept progress reports.

4.2.9.2 Roles of the different records kept

Minutes are records that describe events of a meeting and decisions made, financial records helps in understanding how finances are spent, profits and losses made. Group activities report is meant to capture all the activities undertaken by the group as well as the planned activities to be done in future plus their timelines. Progress reports keeps track on the group progress, on

whether the group is improving in their service delivery and whether they are meeting their objectives as per their planned activities.

4.2.9.3 Incorporation of record keeping

In Bungoma county 51 % of the groups have been keeping records since the groups were formed compared to 44% of the groups in Kapchorwa district. In Bungoma County, 49 % of the groups started keeping records years later after formation compared to 51% of the groups in Kapchorwa district. This is evident in the table below:

Table 17: Incorporation of record keeping

	Bungoma		Kapchorwa	
	Frequency (N=85)	Percentage (%)	Frequency (N=110)	Percentage (%)
Record Keeping				
Don't keep records	0	0	6	5
Kept records since formation	44	52	47	43
Started Keeping records years later	41	48	57	52
Number of years taken				
1 year	13	15	23	21
2 years	7	8	14	13
3 years	8	9	6	5
4 years	2	2	6	5
Above 4 years	11	13	8	7

All these records are written and shared to members mostly by reading them during group meetings.

4.2.9.4 Reasons for keeping records

Groups kept these records for various reasons as indicated in the figure below:

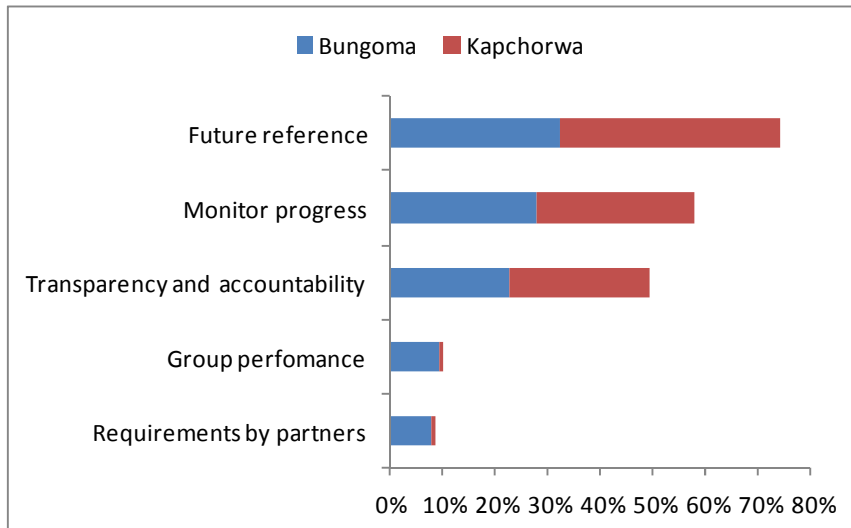


Figure 7: Reasons for keeping records

The reasons given by the groups for keeping records include: For future reference, to monitor progress, ensure transparency and accountability, to enhance group performance and to meet the requirements of partners to allow them get support e.g. loans and grants. Generally, majority of the groups cited that they were keeping records for future reference.

In Bungoma County, 32% of the groups kept records for future reference compared to 42% of the groups in Kapchorwa District. In Bungoma County, 28% of the groups kept records in order to monitor progress, 23% kept records to enhance accountability and transparency, 9% to facilitate group performance whereas 8% cited requirements by partners. In Kapchorwa District, 30% of the groups kept records in order to monitor progress, 27% cited that they were keeping records to facilitate transparency and accountability, 1% kept records in order to enhance group performance whereas 1% cited requirements by partners as reasons why they kept these records.

4.2.10 System of regulating group conduct

The systems of regulating group conduct are used for enforcing group rules and regulations. These systems are put in place to ensure adherence to rules and regulations. The various enforcement system utilized by groups in order to enforce rules and regulations include: Verbal

warning, written warning, payment of fine, suspension, expulsion. Other groups indicated that the system to be used in regulating group conduct depends with the provisions in the group constitution. This is indicated in the table below:

Table 18: System of regulating group conduct

	Bungoma		Kapchorwa	
	Frequency	(%)	Frequency	(%)
Verbal warning	67	79	63	57
Written warning	40	47	26	24
Payment of fine	53	62	45	41
Suspended	27	32	20	18
Expelled	34	40	28	25
As per the constitution	35	41	21	19

In Bungoma County, 79% of the groups used verbal warning, 47% utilized written warning, 62% had members paying fine after breaking group rules, 32% suspended members from the group, 40% would expel members from the group and 41% would act as per the provision in the constitution.

In Kapchorwa District, 57 % used verbal warning, 24 % utilized written warning, 41% had members pay fine, 18% suspended members from the group, 25% would expel members from the group, whereas 19% claimed they dealt with members that break the groups as stipulated in the group constitution. It was evident that groups in Bungoma County utilized more systems to regulate group conduct than Kapchorwa District.

4.2.11 Change in the systems of regulating group conduct

There were no major changes in the system of regulating group conduct in both sites, In Bungoma county 7% of the groups had changed the enforcement system of dealing with members who break group rules compared to 10% of the groups in Kapchorwa District. Thus, 93% of the groups in Bungoma exhibited no change in dealing with members that break the group rules compared to 90% of the groups in Kapchorwa District.

The changes in the system of regulating group conduct in Bungoma county included: Addition of payment of fine from initially giving verbal warning enforced by the disciplinary person, addition of suspension of the group members who break the group rules from only giving verbal warnings, incorporating written warning and expulsion of the members from only giving verbal warnings, From giving only verbal warning to being subjected to the disciplinary master and from verbal warning to written warning.

In Kapchorwa District on the other hand the changes in systems of regulating group conduct include: Change from verbal warning to expulsion, verbal warning to paying fine, written warning to suspension pending investigation, from just giving verbal warnings to payment of fines and expelling members, from written warning to suspension from the group and from only giving verbal warning to expelling members who break group rules.

4.2.11.1 Reasons for change in the systems of regulating group conduct

In Bungoma county, the reasons given by the groups for diversifying the enforcement systems include: Development of a constitution which specified how to deal with members who break group rules, this was because most members were not abiding by the group's rules; members had become hard headed and this slowed down the group's progress which hindered development; they were taught on leadership structure which prompted them to consider other methods; to make the disciplinary system official and keep evidence for future reference.

In Kapchorwa District the reasons given by groups for the changes in enforcement systems were: Members were becoming stubborn; verbal warning was not being taken seriously; members were not responding to warning; to deter the members from breaking the bylaws; the group started utilizing the constitution guidelines; to get rid of late comers during group meetings and when undertaking group activities; to allow the members time to reform; to make members law abiding; to remove stubborn/ uncooperative members; some people were rich & unable to understand problems of the disadvantaged group for example the disabled and widows; members were not taking the group rules seriously; some members had refused to pay fine; to strengthen the group and make the group effective; to reduce in discipline among members; rampant cases of misconduct.

4.2.12 Bank accounts

In Bungoma county groups that had bank accounts were 91% compared to Kapchorwa District whereby only 35% of the groups had bank accounts. Therefore, 9% of the groups in Bungoma County do not have bank accounts compared to 65% of the groups in Kapchorwa District. This is indicated in the table below:

Table 19: Bank accounts in groups

Bank accounts	Bungoma		Kapchorwa	
	Frequency	(%)	Frequency	(%)
Do not have bank accounts	8	9	71	65
Had bank accounts since formation	10	12	6	5
Opened bank accounts several years after formation	67	79	33	30

More groups in Bungoma County have bank accounts because of the rules in the Kenyan constitution which requires groups to have bank accounts in order to be registered. This aspect is less emphasized in Uganda hence fewer groups own and operate bank accounts. Most of the groups that have bank accounts opened these accounts several years after formation. The number of years taken to open bank accounts ranged from 1 year to more than 5 years as indicated in the table below:

Table 20: Number of years taken before groups open bank accounts

Number of years	Bungoma		Kapchorwa	
	Frequency	(%)	Frequency	(%)
1 year	11	16	5	15
2 years	12	18	4	12
3 years	16	24	8	24
4 Years	7	10	2	6
5 years	6	9	3	9
Above 5 years	15	22	11	33

4.2.12.1 Reasons for opening bank accounts

In Bungoma County, the reasons that were cited for opening bank accounts include: savings, ensuring safety of their finances, received funding from partners who requested that the finances

be deposited in a bank account, to facilitate easy transactions and operations such as making payment through cheques, make the work of the treasurer easier, for transparency and accountability, to enable group access loans, grants and donations.

In Kapchorwa District, the reasons for opening bank accounts include: Savings for future use, safe keeping of group finances, avoid embezzlement of funds and unnecessary expenses that comes with having cash at hand, for transparency and accountability purposes, to get financial assistance from government and other partners, to access credit and earn interest from financial institutions.

4.2.13 Accounts auditing

Most groups in Bungoma County audit their accounts (77%) compared to 30% of the groups in Kapchorwa District. On the other hand, 24% of the groups in Bungoma County do not audit their accounts compared to 70% of the groups of the groups in Kapchorwa District. More groups in Bungoma County have bank accounts compared to Kapchorwa District, which explains why more groups audit their accounts in Bungoma County than Kapchorwa District. Most of the groups in both sites that audit accounts, did not audit these accounts at formation but instead they started auditing the accounts several years later after formation. This is indicated in the table below:

Table 21: Accounts auditing

	Bungoma		Kapchorwa	
	Frequency (N)	Percentage (%)	Frequency (N)	Percentage (%)
Do not audit	20	24	77	70
Audit accounts	65	76	33	30
Audited accounts since formation	13	15	6	5
Accounts audited years after formation	52	62	27	25
Number of years				
1 year	12	14	7	6
2 years	6	7	4	4
3 years	7	8	3	3
4 years	4	5	4	4
5 years	5	6	1	1
6 years	5	6	5	5
Above 6 years	13	15	3	3
Total	85	100	110	100

In both sites, the accounts are mainly audited by internal auditors, which are basically members of the group. In Bungoma County 93% of the groups cited that they utilized internal auditors to audit group accounts whereas only 5% had external auditors being consulted to audit accounts. While in Kapchorwa District, 89% of the groups utilized internal auditors to audit their accounts whereas 11% consulted the services of external auditors

4.2.13.2: Reasons for auditing accounts

The reasons for auditing accounts in Bungoma County are: To know the financial status of the group, for transparency and accountability, to avoid embezzlement of funds by leaders, for safety of group savings, to update on the group progress, to know the financial status of the group and how the finances have been spent and for safety of the groups finances. In Kapchorwa District, the reasons for auditing accounts include: Transparency and accountability, to avoid embezzlement of funds, to know the financial status of the group and for proper financial management and planning.

4.2.14 Functional changes

4.2.14.1 Diversification of group activities

Functional changes were identified to include increase and diversification of group activities and change in the area of operation. It was evident from the study that most groups had increased and diversified their group activities. Bungoma district had highly diversified their group activities, than Kapchorwa District. Therefore, apart from the main function of the group, 100% of the groups in Bungoma County engaged other collective activities. In Kapchorwa district, 86% of the groups had diversified their activities and engaged in more than one activity.

In Bungoma county, the groups that engaged in 1- 2 extra activities were 41% and those that engaged in 3- 4 extra activities were 44% of the groups. In Kapchorwa District, 66% of the groups engaged in between 1 to 2 extra activities and 17 % engaged in 3-4 extra activities as evidenced in the table below:

Table 22: Diversification of group activities

Site	Extra activities				
	0	1-2	3-4	5-6	7-8
Kapchorwa	14%	66%	17%	2%	1%
Bungoma	0%	41%	44%	14%	1%

The extra activities that groups engaged in, besides their main function are indicated in the figure below:

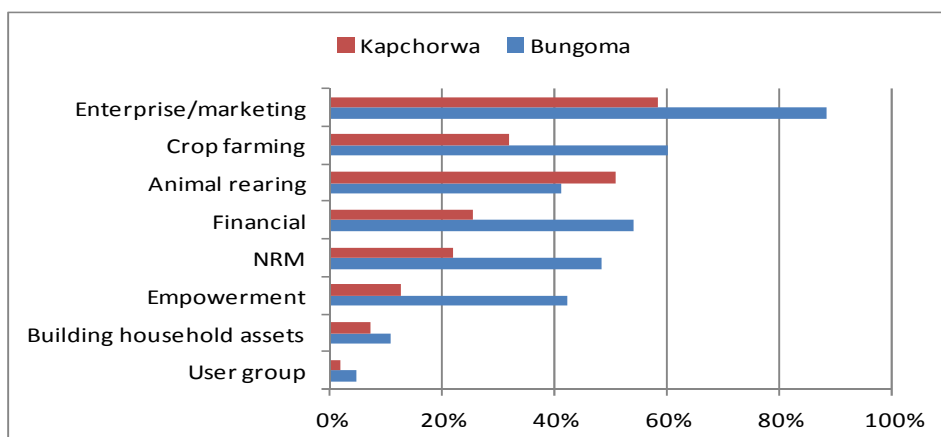


Figure 8: Other activities of the groups

These activities includes enterprise/marketing ,animal keeping, crop farming, Natural Resource Management, financial, empowerment and capacity building, building household assets and users group. Majority of the groups engaged in enterprise/marketing, mixed farming and NRM as their extra activities.

In Kapchorwa District, groups that engaged in animal keeping as extra activities comprised 24%, crop farming were 18% of the groups, NRM (19%), financial groups (11%), empowerment and capacity building (11%), enterprise/marketing (58%), building household assets (5%) and user group (water/forest users) (2%). In Bungoma County, 20% of the groups engaged in crop farming as extra activities, animal keeping (14%), NRM (16%), financial (18%), empowerment and capacity building (14%), enterprise/marketing (88%), building household assets (4%) and user groups were at 2%.

The groups that engaged in more extra activities provided its members with more benefits than groups that engaged in fewer activities, enterprise/ marketing enabled groups to earn income and improve their livelihoods.

4.2.14.2 Group beneficiaries

It was evident from the study that some farmer groups not only serve the immediate needs of their members but also serve other farmer groups as well as other members of the community. In Bungoma County, 24% of the groups served other groups compared to 7% of the groups in Kapchorwa District. In Bungoma county 49% of the groups served other members of the community compared to 26 % of the groups in Kapchorwa District, on the other hand, 5% of the groups in Bungoma County engaged in Corporate Social Responsibilities compared to 2% of the groups in Kapchorwa District. This is evident in the figure below:

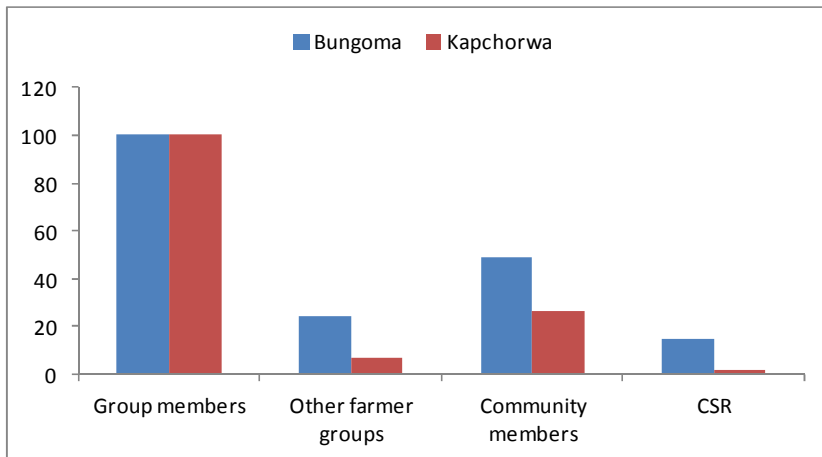


Figure 9: Beneficiaries of the group

In Kapchorwa District the roles the group played in the community are: Capacity Development (57%), Natural Resource management (11%), Loaning (24%) and In kind support (8%). In Bungoma County, 33% of the groups engaged in Capacity development, 48% provided in kind support which includes provision of farm inputs and supporting the needy, whereas only 1% engaged in loaning.

Corporate Social Responsibilities (CSR) are roles that are implemented in the community voluntarily, these includes clearing of roads and cleaning the environment. These activities were done by most groups in Bungoma County than Kapchorwa district. Corporate social responsibilities are much more emphasized in Kenya and its usually mandatory for community based organizations to engage in Corporate Social Responsibilities in order to give back to the community.

4.2.14.2.1 Change in group beneficiaries

In Bungoma County, 25% of the groups had changed their group beneficiaries overtime, compared to 19% of the groups in Kapchorwa. On the other hand 75% of the groups in Bungoma exhibited no change in group beneficiaries, compared to 80% of the groups in Kapchorwa. The change in group beneficiaries included, not only focusing on the immediate needs of the group members only but also serving other groups and members of the community through capacity

development, in kind support, natural resource management, construction of roads and providing loans.

4.2.14.2.1 Reasons for change in group beneficiaries

In Bungoma county, the triggers of change in group beneficiaries were: Groups had received trainings from various organizations on effective agricultural practices and hence wanted to pass information; they had enough savings and wanted to loan to community members so as to earn interests; support education of children which would eliminate idleness and reduce crime rates; the roads were impassable hence repaired them in order to ease movement; they had enough inputs and animal feeds which they could share with the community; had livestock breeds such as dairy goat buck which they could share with the community; wanted to implement environmental conservation practices and to expand their functions so as to promote development in the entire community.

In Kapchorwa District, the triggers for change in group beneficiaries from serving the immediate needs of the group members to serving other members of the community include: To expand the group roles so that they are able to serve other groups, to make community members adopt soil and water conservation practices e.g. through sensitizing members to plant more trees, to sell their products to the community, offer trainings and capacity development to the community e.g. on groups formation and its importance, to train members of the community so that they are able to adopt certain agricultural technologies, to build relations with other groups, enable members of the community to adopt certain agricultural practices such as sunflower farming, attract more members to their groups, had enough savings hence wanted to offer loans to the community to earn them interest.

4.2.14.3 Area of operation

Majority of the groups (82%) operated at the village level in Bungoma County, compared to 52% of the groups in Kapchorwa District. This is evident in the figure below:

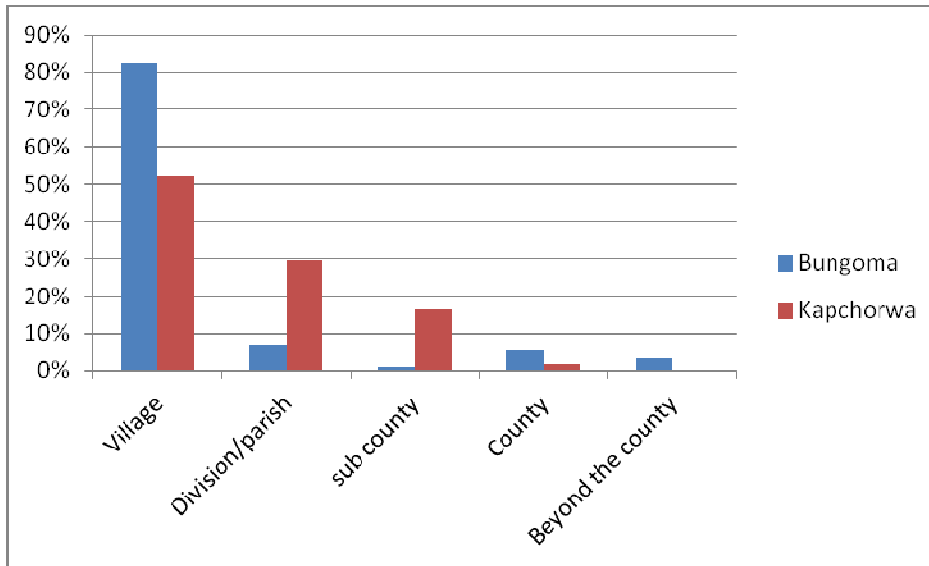


Figure 10: Area of operation

In Kapchorwa District, 29% of the groups operated at the Division/Parish level, compared to 7% of the groups in Bungoma County. 17% of the groups in Kapchorwa District operated at the sub county level, whereas only 1% of the groups in Bungoma County operated in the same level. In Bungoma county 6% of the groups operated at the county level and 4% operated beyond the count level. In Kapchorwa District 2% of the groups operated at the county level whereas none operated beyond the county.

Majority of the groups operated at the village level because they were self help groups whose main role is to address the immediate needs and welfare of the groups, therefore the group was formed within the neighborhood mainly to offer support for the members. The other group types such as federations, Community Based Organizations, cooperatives and farmers field schools are much bigger organizations with more members hence they mostly operate beyond the village level.

In Bungoma County, 12% of the groups had changed their area of operation compared to 23% of the groups in Kapchorwa District. On the other hand, 88% of the groups in Bungoma exhibited no change in the area of operation compared to 77% of groups in Kapchorwa. The groups that had changed their area of operation had expanded their activities and operation beyond the

village/location level to operate at the Division, sub county, county and beyond the county levels. Groups had expanded their areas of operation in order to reach more members.

4.2.14.3.1 Reasons for change in area of operation

In Bungoma county the reasons for change in area of operation were: To pass knowledge to the community, their work effort had increased thus had more produce, hence wanted to expand their markets, to be recognized by the government so that they have a sense of belonging, to get more knowledge from groups at higher levels and to network more and get ideas and increasing demands of their products and services outside their jurisdiction.

In Kapchorwa District on the other hand, the reasons for change in area of operation include: To Spread knowledge on crop management , growing of trees, strengthen the group by including more members, to obtain financial help from sub county programmes, to extend services to the entire sub county and District as well, to sensitize the community on proper farming practices e.g. rearing improved cattle breeds, more members wanted to join the group because of the various benefits they saw members had accrued from groups, to have more members engaging in certain farming activities e.g. growing sunflower, mobilization of more farmers so that they can produce products in bulk and have bargaining power in the market, to attract funds from NGOs and government, to provide loans to non-members in order to earn interest and increase the profit margin of the group.

4.3 Drivers of change

4.3.1 Presence of partners

It was evident from the study that majority of the groups had interacted with various partners such as government, NGOs and other farmer groups. In Bungoma County, 88% of the groups have had partners compared to 77% of the groups in Kapchorwa. Only 12% of the groups in Bungoma and 23% of the groups in Kapchorwa have never had partners. A diagrammatic presentation in form of pie chart that shows the existence of partners in both sites is indicated in the figure below:

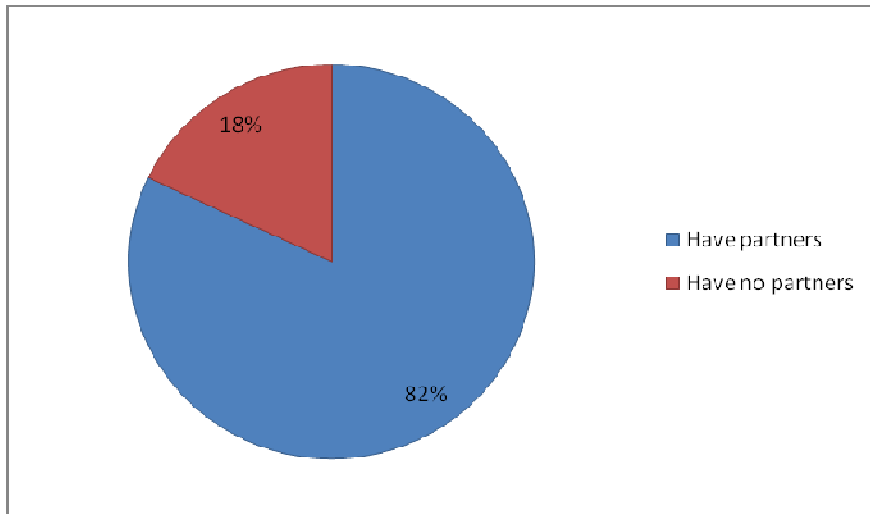


Figure 11: Presence of partners in Bungoma and Kapchorwa

From the figure above, it is evident that 82% of the groups in both sites have had partners compared to 12 % of the groups who have never had partners.

4.3.2 Partner types

The partner types in the two sites included NGOs, government and other farmer groups. Most groups cited that NGOs and government were the major partners. In Bungoma County, NGOs had the highest percentage (60%), government (36%) and other farmer groups (4%). In Kapchorwa District, NGOs were at 35%, government 38% and other farmer groups 27% as indicated in the figure below:

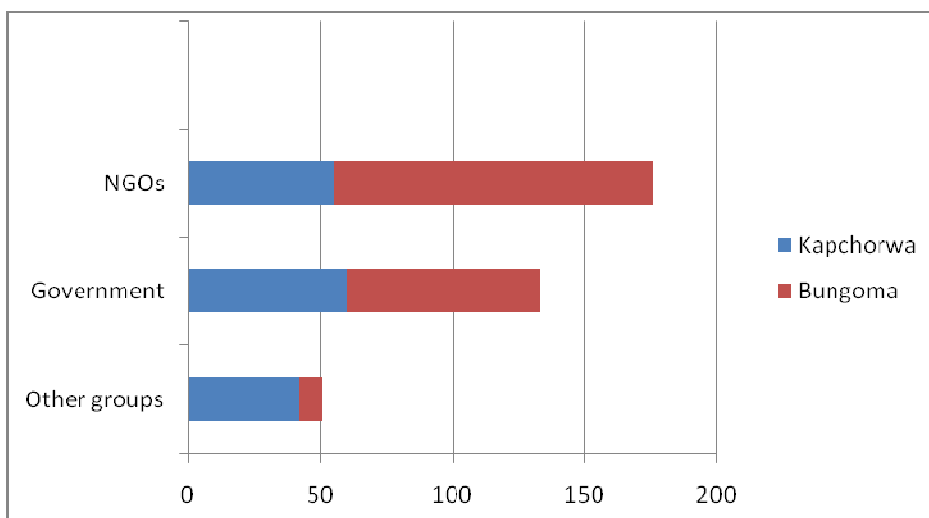


Figure 12: Types of partners

4.3.3: Roles of the various partners

The roles of the various partners include capacity development (mainly trainings), in kind support (such as provision of inputs) and financial support in form of loans or grants. This is indicated in the figure below:

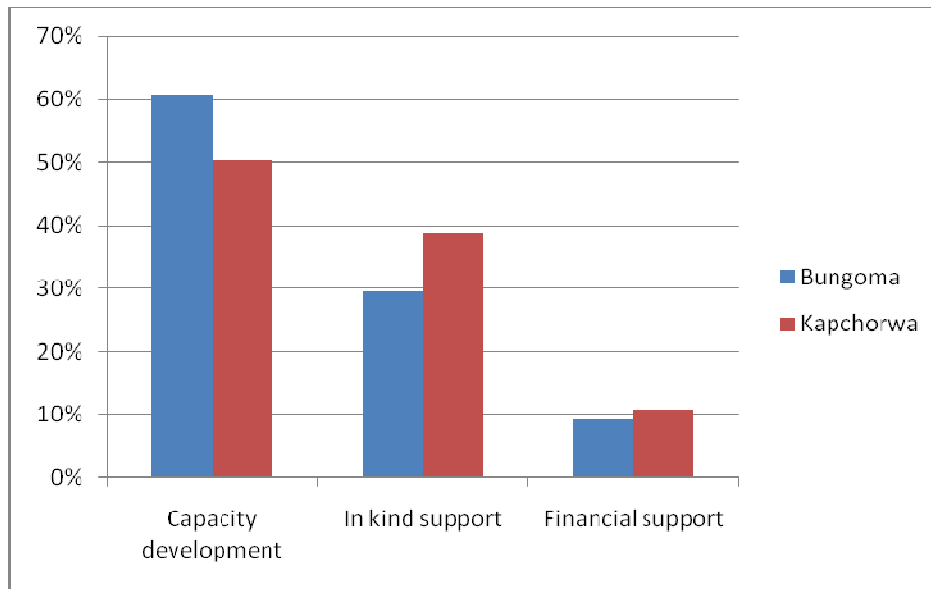


Figure 13: Roles of partners

In Bungoma County, 61% of the groups were supported through capacity development, 30% of the groups were provided with in kind support and 10% were supported financially. In Kapchorwa District, 50% of the groups were supported through capacity development, 39% through in kind support and 11% were provided with financial support. Evidently majority of group partners preferred to build capacity of farmer groups as opposed to providing financial and in kind support.

4.3.4 Topics that group were trained on

The trainings that members of the groups have received from the various partners include: Records management, group dynamics, leadership structures, constitution development, financial management, book keeping, funds solicitation, livestock rearing and value addition. This is indicated in the table below:

Table 23: Topics groups have been trained on

	Bungoma		Kapchorwa	
	Trained (%)	Not trained (%)	Trained (%)	Not trained (%)
Records management	80	20	46	54
Group dynamics	72	28	15	85
Leadership structures	80	20	18	82
Constitution development	74	26	11	98
Financial management	76	24	27	73
Book keeping	69	31	16	84
Funds solicitation	53	47	9	91
Livestock rearing	92	8	71	29
value addition	67	33	52	47

The major influence of these partnerships ranged from increased production, increased income, practice change, improvement of infrastructure, market access and acquisition of skills. This is evident in the table below:

Table 24: Major influence of partners

Major influence of partners	Bungoma (%)	Kapchorwa (%)
Practice change	47	64
Increased production	16	21
Increased income	15	9
Acquisition of skills	13	3
Market access	4	3
Infrastructure	3	1
Provision of inputs	4	-

Majority of the groups cited practice change as the, major influence, followed by increased production and increased income. Practice change include aspects such as change in livestock breeds from indigenous to improved breeds, value addition of products such as milk, hence some groups changed from selling raw milk to selling milk in form of yoghurt and sour milk. This earned them more income.

The capacity development activities provided to the various farmers groups, imparted knowledge to members leading to acquisition of skills, this led to improved production hence increased income. Some partners helped the group construct infrastructure such as roads which facilitated easy movement, building collection centers for their products such as banana collection centers. Other partners supported groups to enable them access markets for their products. Some groups cited that the major influence of their partners was the provision of farm inputs; these farm inputs included seedlings and fertilizers.

4.4 Factors influencing effectiveness of collective action

Farmer groups in the study sites had changed differently by adjusting their organizational arrangements. Organizational arrangements that had moderately and highly changed include diversification of group activities, change in group size, record keeping and inclusion of committees. Organizational arrangements with minimal changes include group type, gender composition, leadership positions, enforcement mechanisms, replacement system of leaders and leadership tenure. But to what extent do the changes in the organizational arrangements influence effectiveness of collective action?

4.4.1 Group age and size

Analysis of variance of group size, age with the level of collective action and ability of the group to meet objectives indicates that there was no significant difference ($p>0.05$) between group size and age with the group level of collective action and ability to meet objectives as indicated in the table below:

Table 25: ANOVA of group size and age with the effectiveness of collective action

		Sum of Squares	Df	Mean Square	F	Sig.
Level of collective action	Group age	28.789	2	14.395	.553	.576
	Group size	5070.319	2	2535.160	1.100	.335
Ability to meet objectives	Group age	9.894	2	4.947	.190	.827
	Group size	3459.916	2	1729.958	.744	.476

From these results, it is evident that the number of years a group has been in existence does not have any influence on the level of collective action and ability of groups to meet objectives. Young and old groups are equally likely to perform well. Younger groups could have more committed members and effective organizational structures in place that enable groups to meet their goals. Older groups could be composed of undedicated members and poor organizational structures hindering achievement of their goals. This is consistent with the findings of Place et al. (2004) and Sonam & Martwanna (2012) who observed that there was no significant relationship between group age and effectiveness of groups. However the results differ with the findings of Barham & Chitemi (2009) who concluded that older groups are more mature hence they performed better than younger groups.

It is clear from these results that group size does not have any significant difference with the level of collective action and ability of groups to meet objectives. Groups that have many members and those that have few members are equally likely to perform well. Therefore increase or decrease in group size does not necessarily influence effectiveness of groups. These results are consistent with the findings of Shiferaw et al. (2006) , Friedman (2008) and Barham & Chitemi(2009) who identified that group size does not have any influence on the effectiveness of collective action. However the results contradicts the findings of Place et al. (2004), Njoku, Mathews et al. (2009), Gyau et al. (2011), Sonam & Martwanna (2012 and Ampaire et al. (2013) who established that favorable group size positively influences effectiveness of collective action.

4.4.2: Structural and functional arrangements

4.4.2.1: Structural and functional arrangements and level of collective action

Further analyses were conducted using chi-square statistic test to identify the relationship between structural and functional arrangements and level of collective action. The chi-square results indicates that there is a relationship ($P > 0.05$) between number of leadership positions, leadership tenure, replacement system, having bank accounts and auditing of accounts with the level of collective action. This is indicated in the table below:

Table 26: Relationship between organizational arrangements and level of collective action

		Low level (%)	High level (%)	Sig.
Group type	Self help group	33	67	0.675
	Other group types	37	63	
Gender composition	Single gender groups	35	65	0.799
	Mixed gender groups	33	67	
Committees	Have committees	32	68	0.441
	Do not have committees	38	62	
Frequency of committee meetings	Weekly	35	65	0.170
	Monthly	34	66	
	Semi-annually	12	88	
No of leadership positions	1-3 positions	44	56	0.014**
	4 positions	44	56	
	5 positions	20	80	
	Above 5 positions	26	74	
Bank accounts	Have bank accounts	22	78	0.00***
	Do not have bank accounts	51	49	
Accounts auditing	Audit audits	26	74	0.017**
	Do not audit accounts	42	58	
Replacement system	Elections/consensus	25	75	0.002**
	Do not have a system	50	50	
Frequency of replacing leaders	Have timelines	30	70	0.004**
	No timelines	63	37	
Group beneficiaries	Group members only	37	63	0.200
	Group members and community	28	72	
Enforcement mechanisms	1-2 mechanisms	37	63	0.441
	3-4 mechanisms	29	71	
Area of operation	Village level	32	68	0.743
	Beyond the village level	34	66	

Pearson Chi-square test for significance: *at 1%, **at 5%, * at 10%**

The leadership positions in the groups include: Chairperson, Vice chairperson, General Secretary, Organizing secretary, Treasurer, Assistant treasurer, Assistant secretary and other leadership positions such as a patron and team leader. Having more leadership positions in the group reduces domination of few individuals in the running of the group activities. Groups that had more leadership positions had a higher level of collective action as opposed to groups that only had one leadership position such as the position of a chairperson only. The results show that as the number of leadership positions increases, the level of collective action also increases. The

groups that had 5 positions performed better than groups that had less than 5 positions, however at 5 positions the groups reach an optimum level of performance and effectiveness begins to decline when the number of leadership positions exceeds 5 positions. This could be attributed to conflicts and duplication of roles that come in when the number of leadership positions becomes too many, thus hindering the level of collective action.

Replacement systems in the study sites were identified to include consensus and elections. However there were groups that did not have replacement systems in place. Groups that had replacement systems had a higher level of collective action than groups that did not have replacement systems. Putting in place a replacement system indicates commitment to group activities; it is also an indicator of order in groups and shows that the group is organized.

Groups that did not have specific timelines in place that the leaders could serve in office before they were replaced had a lower level of collective than groups that had specified timelines in place. With timelines in place, leaders are in office for a specified period of time before they are replaced thus reduces domination of few individuals who may over stay in office. This thus facilitates cohesion hence increasing the level of collective action.

Having bank accounts and auditing financial accounts were identified to have an association with the level of collective action. Groups that had bank accounts and audited their financial accounts had a higher level of collective action than groups that neither had bank accounts nor audited their financial accounts. Having bank accounts and auditing financial accounts enhances transparency, accountability and trust in groups hence increasing the level of collective action.

Results however shows that there was no association ($P>0.05$) between group type, gender composition and area of operation with the level of collective action. Hence whether a group is a cooperative society, community based organization or a self help group, mixed gender group, women group or men group, does not influence the level of collective action. Additionally groups that served only the group members and those that served the group members and the community were likely to have the same level of collective action. Similarly, groups that

operated at the village level and those that operated beyond the village level were equally likely to have the same level of collective action.

4.4.2.2 Organizational arrangements and ability of groups to meet objectives

Chi-square statistic test results shows that the organizational structures that have a relationship ($P < 0.10$) with the ability of the groups to meet their objectives include; number of leadership positions, the number of enforcement mechanisms for regulating group conduct, presence of committees to support executive leaders, frequency of committee meetings and having clear timelines that leaders can serve in office before replacement. Whereas the gender composition of groups, group type and replacement system of leaders does not have any significant relationship ($P > 0.10$) with the ability of groups to meet their objectives. This is illustrated in the table below:

Table 27: Relationship between organizational arrangements and ability to meet objectives

Organizational arrangements		Non-achievement (%)	Moderate achievement (%)	Highly achieved (%)	sig.
Group type	Self-help group	14	26	60	0.923
	Other group types	11	26	63	
Gender composition	Mixed gender group	12	27	61	0.623
	Single gender group	19	25	56	
Number of leadership positions	1-3 positions	11	37	52	0.009***
	4 positions	11	27	62	
	5 positions	6	19	76	
	Above 5 Positions	29	29	43	
Frequency of replacing leaders	Have specific timelines	14	24	62	0.071*
	Do not have specific timelines	16	47	37	
Replacement system	Elections	15	25	60	0.675
	Consensus	13	32	55	
Presence of committees	Have committees	10	28	62	0.067*
	Have no committees	23	21	55	
Frequency of committees meetings	Weekly	12	27	62	0.015***
	Monthly	7	27	66	
	Semi-annually	33	28	39	
Enforcement systems	1-2 systems	16	31	53	0.041**
	3 and above	11	19	71	

Pearson Chi-square test for significance: *at 1%, **at 5%, * at 10%**

It is clear from these results that as the number of leadership positions increases, the ability of the groups to meet their objectives also increases. However, it reaches an optimum number of leadership positions beyond which the ability of groups to meet their objectives declines with an increase in number of leadership positions. A Considerable number of leaders in groups are

therefore viewed as essential in influencing effectiveness of collective action. This is shown in figure below:

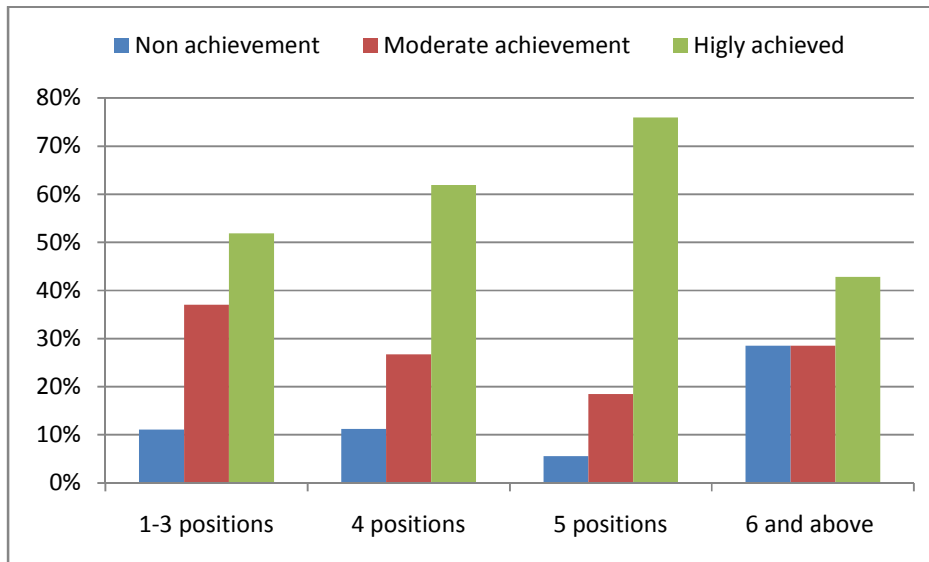


Figure 14: Number of leadership positions and ability of groups to meet their objectives

More leadership positions in the group reduce the domination of a few individuals in running the group activities. Hence groups are able to meet their objectives better. However, too many leadership positions in groups can probably bring in duplication of roles and conflicts which hinders the attainment of group objectives. More leadership positions as opposed to few number of leaders are fundamental in influencing the effectiveness of groups, however, too many leadership positions are detrimental to group effectiveness.

Groups that had put in place definite timelines on duration of leadership tenure were more effective than groups that did not have specified timelines. Therefore, clear specific timelines that leaders could serve in office before they are replaced, has a significant relationship with the ability of groups to meet objectives. Groups that did not have specific timelines on leadership tenure cited that leaders served in office as long as they still want to take charge and resign from office voluntarily. Clear timelines on leadership tenure gives other members an opportunity to take charge, eliminates domination of a few individuals and enhances democracy leading to progress.

Groups that had committees who frequently held meetings were more effective in achieving their objectives. Involving members in committees than having only the executive leaders (Chairman, secretary, treasurer), serves to influence commitment of members as they are involved in management of group activities and projects. These results agree with the findings of Ampaire et al. (2013) who identified that the factors that positively influence effectiveness of rural producer organizations include having numerous sub-committees. Committees that met more often were more effective compared to those that met less often. Frequent meetings (Weekly and Monthly), as opposed to less frequent meetings (semi-annually) show commitment in group activities and projects. Holding frequent meetings gave committees an opportunity to timely plan and implement the tasks that they had been assigned. Aldana et al. (2007), agree that frequent meetings increases cohesion and strength of groups.

Institution of more enforcement mechanisms enhances the groups' ability to meet its objectives. As such, groups can handle different cases of misconduct with gross misconduct leading to suspension and expulsion. The more systems in place enhance progress in groups as they prompt members to abide by rules and regulations and avoid negative repercussions due to non-adherence. These results are comparable with the findings of Gyau et al. (2011), Fatemi & Jafari (2011) and Salifu et al. (2012), who established that efficient norms, rules and regulations adopted by groups positively influences their effectiveness.

Chi-square tests results however indicate that there was no significant relationship between group types with the ability of the groups to meet objectives. Whether a group is cooperative society, community based organization or a self-help group, does not influence the ability of the groups to meet objectives. These results are consistent with the findings of Kitetu, Wawasi, (2005) who identified that group types do not have any influence on their effectiveness. Accordingly, self-help groups such as merry-go-rounds even though they are small groups, they can meet their objectives better than large movements such as cooperatives. Friedman (2008) elaborates that not all large organizations are effective; others still struggle with administrative weaknesses and fail to meet their objectives.

From these results it is evident that gender composition of groups does not have any relationship with the ability of groups to meet their objectives. Thus women only group, men only group and mixed gender groups were equally likely to perform well. Similarly Barham & Chitemi (2009) found that gender composition did not have any significant association with group performance. However the results contradicts the findings of Westermann et al. (2005) who identified that women only groups were more effective than men only groups and mixed gender groups.

Results further show, replacement system of leaders, whether elections or consensus did not have any statistical relationship with the ability of groups to meet objectives. Instead, the number of leadership positions and having clear timelines group leaders can serve in office before they are replaced were important leadership structures that have a relationship with the ability of groups to meet objectives.

Findings from focus group discussions show that groups that had diversified their group functionality provided their members with more benefits than groups that engaged in one activity. The more activities groups engaged in, the more benefits members obtained from the groups. Given that the majority of the groups in both sites had diversified their activities, it was not statistically possible to establish whether groups that had diversified their activities were more effective than those that engaged in one activity. Barham & Chitemi (2009), however found out that groups that take on more than one activity performed better than groups engaging in only one activity. This could be attributed to more activities requiring effective structures in place for sustainability purposes.

4.4.3: Principal components that influence effectiveness of collective action

Principal components analysis identified three categories of aspects that were important in enhancing effectiveness of collective action in Bungoma County and two categories in Kapchorwa District. In Bungoma County the main aspects influencing effectiveness of collective action were level of trust, unity and effective participation. In Kapchorwa District, the main aspects identified to influence effectiveness of collective action include unity and effective participation. This is indicated in table below:

Table 28: Principal components that influence effectiveness of collective action

Site	Theme	Loadings	Component		
			1	2	3
Bungoma	Level of trust	Trust	.796	.137	
		Financial accountability	.759	.180	.388
		Effective conflict resolution	.742	.129	.195
		Profits sharing	.722	.130	.269
		Leadership skills	.566		.353
		Participatory decision making	.512	.375	.156
	Unity	Common objectives		.843	.103
		Knowledge sharing	.186	.799	
	Effective Participation	Resource mobilization			.819
		Attending group meetings	.229	.296	.625
Kapchorwa	Unity	Participatory decision making	.706	.282	
		Common objectives	.691	-.153	
		Regulation system	.690	.221	
		Financial accountability	.633	.495	
		Knowledge sharing	.605	.319	
	Effective participation	Financial contribution	-.052	.822	
		Resource mobilization	.281	.748	
		Leadership skills	.328	.698	

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization

The PCA result show that level of trust is important in influencing effectiveness of collective action in Bungoma County. Effective Conflict resolution and equitable profit sharing were key factors in enhancing trust in groups in Bungoma County. Whereas in Kapchorwa District, level of trust and its components such as equitable profit sharing and effective conflict resolution was not found to be significant in influencing effectiveness of collective action. This could be attributed to trust having already been built in Kapchorwa thus conflicts are minimal and profits equitably shared. Groups that have high level of trust are more likely to have members investing in the group and contributing their resources as they are sure their resources are put in good use. Therefore trust should be built in groups to enhance effectiveness of collective action. Barham & Chitemi (2009) and Ramdwar et al. (2014) also agree that high level of trust is essential for the success of a group.

Unity was found to be crucial in enhancing effectiveness of collective action, without unity then the group would be dysfunctional. Sharing common objectives was identified to be an important component in enhancing unity in groups. Members that have same objectives are more cohesive and will always strive to attain their stated objectives. Absence of common objectives could lead to disintegration as members do not have a common drive. However, Faure (2004) found out that

getting all members of farmer groups to have common objectives is difficult, because members also have individual interests. Despite this constraint, groups should strive to ensure that they have common objectives for them to be successful. Rau (2013) agrees that having common goals positively influences performance of community groups. Common objectives also motivate group members to participate in group activities and projects as it enables them to meet their interests. Motivation and commitment of members in group activities is important in enhancing success of groups (McCarthy et al. 2002).

Knowledge sharing is an essential component in enhancing unity in groups. Knowledge sharing is the ability of team members to share their work, experience, provide know how where required and sharing their expertise with the team (Huang 2009). Therefore, knowledge sharing within the group enables members to learn from each other, thus influencing effectiveness in collective action. These results are comparable to the findings of Huang (2009) and Willy & Holm-Müller (2013) who identified that Knowledge sharing positively influence group performance. Awareness and adherence to regulation system was also found to be a key aspect in enhancing unity in groups. When members adhere to rules and regulations, conflicts are minimal leading to harmony in the group. Groups are better able to focus on their group objectives when there are no conflicts, as they have a peaceful environment that enables members to work collectively. These results agree with the findings of McCarthy et al. (2002) who identified that total number of rules and regulations observed by groups positively influences their performance.

Results show that effective participation of members in groups' activities is important in influencing effectiveness of collective action. When all members of groups are involved in group activities and projects it eliminates free riding. Kramer et al. (2014) also identified that organizational performance of group depends on the team members' ability to perform collective tasks. Important components that were identified to ensure effective participation include participatory decision making, resource mobilization, financial contribution and participation in group meetings. Involving members in decision making brings a sense of ownership in group and ensures that everyone has an opportunity to make contributions. These results are consistent with the findings of Shiferaw et al. (2006), Paumgarten et al. (2012) and Dimelu et al. (2013)

who identified that Inclusive and transparent decision making is key in influencing success and sustainability of grassroots organizations.

Members' participation in resource mobilization and financial contribution is vital in influencing effectiveness of collective action. It shows commitment to group activities and objectives, it also enables implementation of projects. These results agrees with the findings of Shiferaw et al. (2006) who found out that Contribution of members' fee influences performance of groups. Participation in group meetings enhances effective participation in group activities and projects and influences effectiveness of collective action. Group meetings play an important role in bringing group members together, without which the group would be dormant and inexistence. These results agrees with those of McCarthy et al. (2002) which identified that participation in group meetings positively influences group performance. These results also agrees with the findings of Kifanyi et al. (2013) which identified that full participation of members in collective activities influences performance of community groups.

Good leadership skills and financial accountability were also established to be important aspects in influencing effectiveness of collective action. Without good leadership groups would not be sustainable, because leaders play an important role in driving the agenda of the group. These results are consistent with the findings of Joy et al. (2008) Njoku, Mathews et al. (2009) and Ampaire et al. (2013) who identified that the quality of leadership significantly influences performance of groups. Leaders and group members entrusted with group finances should be transparent and accountable. When finances are not effectively accounted for, it reduces the level of trust and members would be more likely to quit from the group. This is consistent with the findings of Paumgarten et al. (2012) who identified that success and sustainability of collective action is dependent on accountable leadership. Without transparency and accountability ,level of trust and performance goes down (Vollan 2012).

4.4.4: Relationship between level of collective action and ability of groups to meet objectives

Further analysis was conducted on the collective action scores in each site with the ability of the groups to meet objectives.

Table 29: Analysis of variance on collective action scores with the ability to meet objectives

	Components	Sum of Squares	Df	Mean Square	F	Sig.
Bungoma	Level of Trust and leadership skills	15.318	3	5.106	5.200	.003**
	Unity	10.486	3	3.495	3.995	.011**
	Participation	4.337	3	1.446	1.674	.180
Kapchorwa	Leadership skills	4.163	4	1.041	.975	.425
	Participation	14.279	4	3.570	3.749	.007**

Significance: *at 0.1%, **at 1%, *at 5%,**

Findings from Bungoma county indicates that level of trust and unity in the group had a significant difference ($P>0.05$) with the ability of the groups to meet objectives. In Kapchorwa District it was identified that there was a significant difference ($P>0.05$) between members participation in group activities with the ability of the groups to meet objectives. It is evident therefore that leadership skills, level of trust, unity and effective participation have a significant relationship ($P>0.05$) with the ability of the groups to meet objectives.

4.4.5 Contributions of capacity development support on group effectiveness

Findings from the study sites indicates that the groups had been trained on various topics, these includes: Financial management , Constitution development , Book keeping , Leadership structures , Funds solicitation, Group dynamics , Records management , crop farming , animal husbandry and Value addition.

Principal component analysis was utilized to identify the trainings with the most significant influence, the analysis categorized the trainings into two principal components in Bungoma County and three principal components in Kapchorwa District as indicated in the tables below:

Table 30: Principal components on trainings in Bungoma County

Components	Component	
	1	2
Financial management	.820	
Constitution development	.805	
Book keeping	.788	
Leadership structures	.757	
Funds solicitation	.651	
Group dynamics	.645	
Records management	.636	
Effective farming methods		.811
Value addition		.729

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization

The principal component analysis on trainings in Bungoma County narrowed down the training topics into two principal components. Component 1 consisted trainings on financial management, constitution development, book keeping, leadership structures, funds solicitation, group dynamics and records management. Whereas Component 2 was composed of topics such as effective farming methods and value addition, all these training topics were identified to be key, otherwise it would have been eliminated during analysis.

In Kapchorwa District, the principal components analysis on trainings narrowed down the training topics into three principal components as indicated in the table below:

Table 31: Principal components on trainings in Kapchorwa District

	Component		
	1	2	3
Leadership structures	.817		
Constitution development	.762		
Book keeping	.752		
Group dynamics	.636		
Financial management		.731	
Funds solicitation		.723	
Records management		.516	
Effective farming methods			.841
Value addition			.743

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization

Component 1 had trainings on leadership skills, constitution development, book keeping and group dynamics. Component 2 consisted of trainings on financial management, funds solicitation and records management, whereas component 3 consisted of trainings on animal husbandry and value addition. All these training topics were identified to be fundamental

4.4.5.1 Analysis of variance on trainings and ability of groups to meet objectives

Further analyses were conducted to identify the impacts of these trainings on the ability of the groups to meet their objectives. This is indicated in the table below:

Table 32: Analysis of variance on trainings and ability of groups to meet objectives

Site	Components	Sum of Squares	df	Mean Square	F	Sig.
Bungoma	Group structure	9.320	4	2.330	2.496	.049*
	Farming and value addition	7.119	4	1.780	1.852	.127
Kapchorwa	Group structure	1.746	4	.437	.415	.797
	Records and financial management	11.407	4	2.852	2.788	.033*

Significance: *at 0.1%, **at 1%, *at 5%,**

In Bungoma county, it was identified that there was a significant difference ($P > 0.05$) between trainings on group structure with the ability of the groups to meet their objectives. In Kapchorwa District, there was a significant difference ($P > 0.05$) between trainings on records and financial management with the ability of the groups to meet objectives. Based on the results in the two sites, It can be concluded that there is a significant difference ($P > 0.05$) between trainings on group structure, records and financial management with the ability of the groups to meet their objectives.

From focus group discussions, it was also evident that trainings on crop farming and animal husbandry led to increased production. Farmers started improving their cattle and goats breed through artificial insemination and purchasing of hybrid livestock which increased milk production and subsequently group income was increased. Trainings on crop farming such as tomatoes, maize, and fruits such as bananas led to improved and increased production, as farmers started growing better breeds and gained skills on how to effectively engage in farming.

Trainings on value addition on the other hand, enabled group members not to sell raw products but value added products. These value added products earns farmers more money as opposed to products that are sold raw, example includes value addition of milk, whereby farmers opened milk bars not only for selling raw milk but value added milk as well, such as yoghurt and sour milk popularly known as “mala”. This has led to increased income as the value added products fetches more income compared to products that are sold raw.

4.4.6 Benefits of participating in group activities: Survey results

Majority of the group members obtained an array of benefits through their participation in group activities. The benefits obtained through participation in group activities include: Trainings, credit, knowledge sharing, social contacts and visits to other groups. This is shown in the figure below:

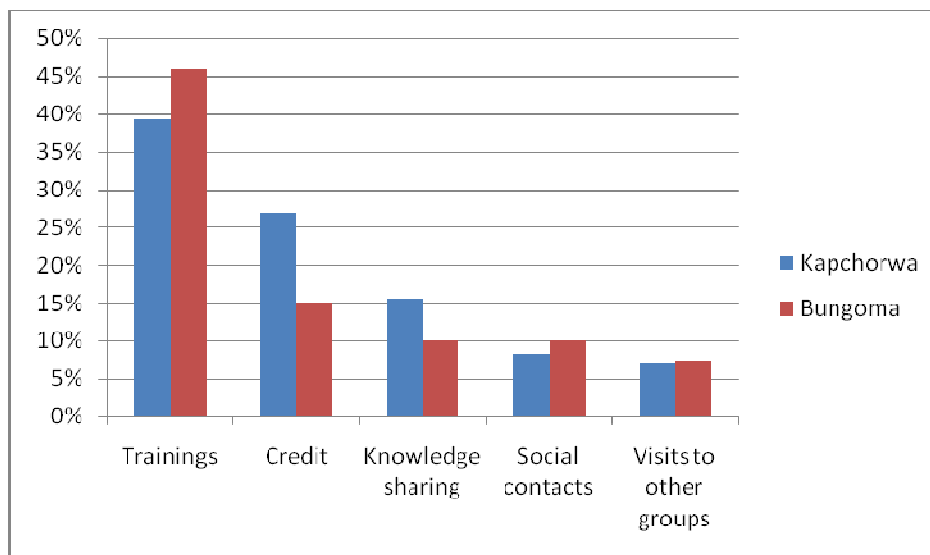


Figure 15: Benefits of participating in farmer groups as perceived by members

Government, Non governmental Organizations and other large farmer groups such as Community based organizations often channel their support through farmer groups as opposed to individual farmers. Hence through participation in group activities farmers were able to access trainings from government and other organizations. These trainings have led to effective management of groups and improved production.

Members also can access credit by virtue of being in a group, the credit can be obtained from either the bank whereby members collectively request for loans, or through the group savings, these includes village savings and loaning. These loans offered by groups are usually repaid with very low interest rates. Women are usually disadvantaged as most of them do not have assets to act as collateral for obtaining loans in banks, participation in group activities provides them with an opportunity to obtain loans, which they would not have otherwise obtained from banks and other financial institutions.

Participation in groups facilitates constructive interactions among members whereby group members share knowledge on agricultural practices among others. These provide members with opportunities to learn from each other. From focus group discussions it was evident that most group members visit each other's homesteads in turns to learn and educate one another on agricultural practices resulting to improved agricultural productivity.

Social contacts with Non-governmental organizations, government and other development partners, were also cited as the benefits group members obtained through participating in group activities. In the focus group discussions members were very excited having been visited and interacted with different organizations. According to them interaction with different organizations has given them exposure. These include seminars in big hotels that they thought they would never board in them in their life time. Other members claimed that these have improved their public speaking skills.

Apart from group members visiting each other, they also made visits to other groups in order to learn from them on various agricultural practices, these tour visits provided them with hands on learning which they replicated. Other benefits attained through participation in group activities include: Participation in collective enterprises and collective marketing of agricultural products, this served to increase income of the members. In Kapchorwa district, 58% of the groups collectively engaged in income generating activities compared to 88% of the groups in Bungoma County.

Participation in group enterprises and collective marketing of products has led to increased income of the members. The income generated from these enterprises has been increasing over the years due to increased production overtime.

Benefits of participating in group activities: Focus group discussions results

Findings from focus group discussions indicate that group members had obtained an array of benefits through participation in group activities, these benefits are summarized in the table below:

Table 33: Benefits of participating in farmer groups

Poverty alleviation
Increased income
Increased assets such as farm inputs, land, livestock
Improved housing (For example, members are able to build iron roofed houses from initially grass thatched houses)
Employment creation
Enhanced knowledge exchange
Payment of dowry
Improved food security hence good nutrition
Group members are able to pay school fees for their children
Reduced household expenses as they plant crops and keep animals
Provide credit to members with low interest
Production and supplying of quality products
Members are now able to pay for their health requirements
Attracted other partners leading to construction of infrastructure

4.5 Discussions

According to Doward & Omamo (2009), the functions and benefits that institutions offer to different stakeholders evolve overtime. In this study ,it was evident that farmer groups had evolved differently by changing the group size, type, gender composition, diversifying their functions, increasing the number of leadership positions, incorporation of committees, keeping records and changing their area of operation. Even though the changes varied, some changes were much more pronounced than others.

Majority of the groups in the study sites, were formed in the last 15 years, evidently most of the groups were formed from 1990 in the post liberalization period and the number of groups has

been increasing through the years. These findings are comparable to the findings of Salifu et al. (2010), Develtere et al. (2008) and Wennink et al. (2007), who identified that most farmer driven groups were formed in the post liberalization after the withdrawal of state regulatory powers of cooperatives in the 1980s and 1990s, and these groups have been increasing over the years.

The mainstream of these groups were formed by group members as opposed to external actors such as government and non-governmental organizations. These groups were mainly formed in order to address the needs of the members. These findings are consistent with the findings of Baah (2008) in a study of cocoa farmers associations in Ghana found out that most groups were formed based on the needs of the farmers. Most of the groups even though they were formed from members own initiative, the motivation factors were not only to improve the members well being but to also enable members gain support from government, NGOs and other stakeholders. This is in accordance to the findings of Salifu et al, (2012) which identified that most of these groups were formed by members with the hopes of obtaining support (Capacity development, financial and in kind) from government, NGOs and other stakeholders.

As evident from the study, most groups started as informal groups but later on were registered to become formal groups and operate legally, in order to be recognized so as to obtain support from government NGOs and other development partners. This is consistent to the findings of Rau (2013) in a study of community based organizations in India who identified that informal groups evolved into legally registered community based organization in order to address the group issues and to enable members' access services from the government.

This study identified various typologies of farmer groups which include: Self help groups, cooperatives, farmers field schools, federations and community based organizations. This is consistent to the findings of Ngugi & Kariuki (2009) who identified that there are various types of groups that farmers can join, in a study conducted in central Kenya, 5 types of groups were identified: Agricultural cooperative societies, self help groups, savings and credit cooperative societies, agricultural associations and multipurpose associations.

It was evident from the study that gender composition of groups varied from men only group, women only group and mixed gender groups, even though the men only groups were the minority and only present in one site. These results are consistent with the findings of (Lema & Kapange 2006) who identified that farmer groups could either be men only group, women only group or mixed gender groups.

Majority of the groups in both sites did not change the group type but preferred to change their functional arrangements by diversifying their activities overtime. These results are comparable to the findings of Place et al. (2004) in a case study that involved farmer groups from central Kenya the results indicated that most groups do not change their group typologies but instead prefer to build on their past experiences by taking on new activities hence group activities had increased since formation of the group. Accordingly, Aldana et al.(2007) in a study of farmer groups for agro-enterprise in Asia, Africa and Latin America, found out that groups that were formed for one purpose change over time regardless of their initial objectives and engage in additional activities. Additionally, Thompson et al. (2009) In a study of farmer organizations in Kenya, Ethiopia and Malawi identified that many of the farmer groups have been evolving by adjusting their roles over time and broadening their scope. They begin with a limited mandate and progressively take on other activities and functions that serve the interests of their members and the wider community.

Findings from this study indicate that most of the groups had increased their group size overtime, whereas a few had reduced in size. This was because farmers wanted to benefit from group activities owing to its success. These results are comparable with the findings of Place et al. (2004) in a study of farmer organizations in central Kenya, the study identified that most groups prefer to increase in size and diversify their group activities as opposed to forming new organizations. Furthermore, Abaru et al. (2006) in a study of common interest groups identified that most groups had increased in size and the reason for increase in group size was because new members wanted to benefit from the group.

Results further indicate that most groups have partners; these partners include government, NGOs and other farmer groups who supported the groups through capacity development (mostly

trainings), financial and in kind support. From focus group discussions it was also evident that internal drivers of change in the study includes changes in the groups which emanated from leaders and members, and was triggered by aspects such as market demands and anticipation that these changes would enable groups effectively perform their functions and achieve their objectives. This therefore influenced the groups to change their functions and structural arrangements overtime.

These results are consistent with the findings of Thompson et al. (2009) who identified that farmer groups have little resources, limited organizational and technical capacities and need external support to enable the groups to operate effectively. Therefore governments, donors and NGOs have been supporting these farmer organizations through capacity development, financial and in kind support. This support has served to influence diversification of group activities. According to Poole & Frece (2010) farmer groups in many countries in Africa depends on external players for management and provision of technological inputs.

However, Sonam & Martwanna (2012) argues that Small holder farmer groups that are supported both technically and financially by government, become very reliant on the government such that it hinders the sense of ownership among members as they believe that the government is the co-owner of the group. According to the study, Support by the government should be well targeted and should involve capacity building of the group to make the members cohesive and aware of their roles so that they are able to commit and invest in group activities.

Findings from this study agree with the findings of Friedman (2008) and Shiferaw et al. (2006) who identified that group size doesn't have any influence on the effectiveness of groups. Friedman (2008) further elaborated that not all large and old organizations are effective, this is because others still struggle with administrative weaknesses and fail to meet their objectives. However, this results contradicts the findings of Ampaire et al. (2013) and Gyau et al. (2011) who identified that favorable group size positively influences effectiveness of groups .

From chi square tests results, it was evident that group type and gender composition of the groups do not have any significant relationship ($P>0.05$) with the ability of the groups to meet

objectives. These results are consistent with the findings of Kitetu, Wawasi (2005) who identified that group types do not have any influence on the effectiveness of groups: Accordingly, self help groups even though they are small groups, they can meet their objectives and serve the interests of its members better than large movements such as cooperatives.

Chi square tests also indicates that there was a significant relationship ($P>0.05$) between having committees in the group and the ability of the group to meet its objectives. These results are in line with the findings of Ampaire et al. (2013) who identified that the factors that positively influence effectiveness of rural producer organizations include having democratic leadership which includes having numerous democratically elected sub committees. Furthermore Chamala & Shingi (1997) argue that leadership styles of community groups have an influence on their effectiveness .

It was also evident from the study that there is a significant relationship between unity, level of trust, leadership skills, and effective participation with effectiveness of groups. This is consistent with the findings of Shiferaw et al. (2006) who identified that factors that influence effectiveness of collective action includes increased participatory decision making and members Contributions to the group. Additionally, McCarthy et al. (2002) concluded that the success of collective action depends with individuals' commitment and motivation in group activities.

Effectiveness of collective action can also be understood by the benefits the group members obtain through their participation in group activities (Place et al. (2004). Findings from this study indicates that majority of the group members obtained an array of benefits through their participation in group activities, these include participation in collective enterprises and collective marketing of agricultural products of which served to increase income of the members. In Kapchorwa district, 58% of the groups collectively engaged in income generating activities compared to 88% of the groups in Bungoma County, which led to increased income. The income generated from these enterprises has also been increasing over the years due to increased production overtime. Other benefits of participating in group activities as cited by the group members include: Access to trainings, credit, social contacts with different organizations, knowledge sharing in the group and visits to other groups.

From focus group discussions, it was also evident that trainings on crop farming and animal husbandry led to increased production. Farmers started improving their cattle and goats breed through artificial insemination and purchasing of hybrid livestock which increased milk production and subsequently group income was increased. Trainings on crop farming such as tomatoes, maize, and fruits such as bananas led to improved and increased production, as farmers started growing better breeds and they also gained skills on how to effectively engage in farming. Trainings on value addition on the other hand enabled group members not to sell raw products but value added products as well. These value added products earns farmers more money as opposed to products that are sold raw, example includes value addition of milk, whereby farmers opened milk bars not only for selling raw milk but value added milk as well, such as yoghurt and sour milk. This has led to increased income as the value added products fetches more income compared to products that are sold raw. These results are consistent with the findings of Adong et al.(2013) who identified that members participate in group activities in order to benefit from group activities, as farmer groups acts as means through which farmers can access credit, get market information and other agricultural information like new agricultural technologies, market their produce collectively, access inputs and get extension advice.

CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.0 Summary of key findings

Farmer groups have been evolving differently by changing their structural and functional arrangements overtime, these includes: Change in group type, size, gender composition, leadership structure, governance structures and functional changes which includes increase and diversification of group activities and change in area of operation.

Changes in the study were identified to be triggered by government, non -governmental organizations and other farmer groups. These partners support groups through capacity development, in kind support and financial support. Group members were also identified to be the internal drivers of change, as they influenced and implemented the changes in some of the structural and functional arrangements of the group.

The study therefore conducted various statistical analyses to identify the structural and functional arrangements that influence effectiveness of collective action even as groups evolve overtime. The chi-square results indicates that there is a significant relationship ($P>0.05$) between number of leadership positions, having a clear leadership tenure, putting in place a replacement system, having bank accounts and auditing of accounts with the level of collective action.

Additionally, number of leadership positions, clear leadership tenure, having a clear replacement system, presence of additional committees to support executive leaders, frequency of committees meetings and favorable enforcement mechanisms had a relationship ($P>0.05$) with the ability of the groups to meet objectives.

Through chi-square tests and analysis of variance, the study identified that the group age, size, gender composition, group type and area of operation do not have any significant relationship ($P>0.05$) with the level of collective action and ability of the groups to meet their objectives.

Principal components analysis was conducted to identify the principal components that influence the effectiveness of collective action. Results indicate that the principal components that influence effectiveness of collective action in Bungoma County include the level of trust, leadership skills, unity and effective participation. In Kapchorwa District on the other hand, the principal components that were identified to influence effectiveness of collective action were leadership skills and Effective participation. Analysis of variance also identified that leadership skills, level of trust, unity and effective participation have a significant relationship ($P>0.05$) with the ability of the groups to meet objectives.

Principal component analysis was done in order to identify the trainings with the most significant influence. Findings from the two sites, indicates that there is a significant difference ($P>0.05$) between trainings on group structure, records and financial management with the ability of the groups to meet their objectives.

From focus group discussions, it was also evident that trainings on crop farming and animal husbandry led to increased production. Farmers started improving their cattle and goats breed through artificial insemination and purchasing of hybrid livestock which increased milk production and subsequently group income was increased. Further, groups that had increased and diversified their group activities were able to meet the needs of the members due to the many benefits that the group members are able to gain from their group membership and participation in group activities.

Findings from this study shows that there was a general improvement in the level of collective action compared to three years ago (2011).It was also evident from the survey and focus group discussions that majority of the groups are now better able to meet their objectives currently.

5.1 Conclusion

Effectiveness of groups in collective action can be attributed to many factors such as; having effective leadership and governance structures in place; level of cohesion in groups comprising of unity, effective participation and trust; group capacity which is acquired from capacity

development support from various partners such as government, Non Governmental organizations and other farmer groups.

Effective leadership structures are considerable number of leadership positions, democratic replacement system and clearly outlined leadership tenure. Effective governance structures include committees, holding frequent committee meetings and institution of favorable enforcement mechanisms. Additionally groups that had diversified their activities provided its members with more benefits than groups that engaged in a single collective activity. While this leadership and governance structures were important in enhancing effectiveness of groups, results show that these structures had experienced minimal changes.

5.2 Recommendations

This study recommends that as farmer groups evolve overtime, they should focus on structural and functional changes that serves to increase their effectiveness so that they can meet their objectives and serve the collective interests of the members, these includes:

- i. Groups should have effective governance structures such as additional committees to support the executive committees; this will enable more members to actively participate in management of the group. Furthermore these additional committees should hold regular meetings to plan group activities.
- ii. Groups should have effective systems for enforcing and regulating the conduct of members. This would facilitate adherence of regulation systems thus leading to progress.
- iii. Groups should open bank accounts and audit these accounts frequently to ensure transparency and accountability.
- iv. Put in place effective leadership structures, these include: Having a favorable number of executive leaders, not too many and not too few; institute replacement mechanisms that ensure democracy in groups such as democratic elections and whole group consensus systems; ensure there is a clear leadership tenure that leaders could serve in office before they are replaced. These would reduce domination of few individuals who may over stay in office which may lead to disintegration.
- v. Groups should also diversify their group activities to ensure that they obtain more benefits through their participation in farmer groups.

- vi. Group members should be committed in group activities, share common objectives/goals and collectively strive to meet their goals and objectives.
- vii. Finally, support offered to farmer groups by various partners such as government, NGOs and other farmer groups, should be well targeted and should involve capacity development that serves to improve the level of collective action and capacity of the groups to meet objectives and serve the collective interests of the members. These will enable groups to effectively run their activities to meet their objectives

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GROUP QUESTIONNAIRE

THE PROCESS OF FARMER GROUP DEVELOPMENT AND ITS INFLUENCE ON THE EFFECTIVENESS OF COLLECTIVE ACTION: THE CASE OF BUNGOMA COUNTY (KENYA) AND KAPCHORWA DISTRICT (UGANDA)

UNIVERSITY OF NAIROBI

DEPARTMENT OF SOCIOLOGY AND SOCIAL WORK

Introduction and consent to participate in the research

Hallo my name is Sheilla Tallam. I am a student at the University of Nairobi (Kenya) pursuing a degree in Master of Arts in Rural Sociology and Community Development. University of Nairobi in partnership with the Strengthening Rural Institution (SRI) at the World Agro forestry Centre (ICRAF) in Nairobi is doing a research titled: *“The process of farmer group development and its influence on the effectiveness of collective action”*. Your group is one of the groups that have been selected for the study. I hereby seek your consent for participation in the interview.

The questionnaire will take approximately 2 hours, during the period you are expected to answer the questions to the best of your knowledge. Feedback from this research will be communicated to the group through the Strengthening Rural Institutions Project (SRI).

Interviewer details

Questionnaire code	
Interviewer name	
Interviewer mobile number	
Interviewer address	
Interviewer ID number	

Group details

Full name of the group	
Location:	
Sub-county:	
County:	
Country:	
Telephone:	
Postal Address	

Interviewee details

Full name	Role in the group (e.g. committee)	Highest level of education	Mobile number	Postal Address
<u>Group leaders</u>				
<u>Members</u>				

Group meeting place

Location	Nature of Meeting Place(Specify)	GPS Position
		GPS Co-ordinates Longitude: Latitude: Elevation:

Date of the interview:	
Time the interview started:	
Time the interview ended:	

SECTION ONE

Evolution of the group (Structural and functional changes)

1. Which year was the group formed?
(Please write the year)

Year the group was formed	
Age of the group	

2. How was the group formed?
(Please tick where applicable using a √)

1.	Formed by the group members	
2.	Formed by local/county/national government	
3.	Formed by development partners/civil society groups/donors	

3. What is the gender make up of the group currently?
(Please tick where applicable using a √)

1.	Men only	
2.	Women only	
3.	Mixed group	

4. Have there been any changes in the gender make up of the group overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

5. If yes, please tick the type of change in the gender make up and write the reasons for change

Year	Changes	√	Reasons for change
	Men group to mixed group		
	Women group to mixed group		
	Mixed group to women group		
	Mixed group to men group		
	Others specify:		

Group registration

6. Is the group registered?
(Please tick one only using a √)

Yes=1	
No=0	

7. If yes when was the group registered?
(Please write the year and the reasons for registration)

Year	Reasons for registration

8. How is the group registered?
(Please tick where applicable using a ✓)

1.	With the ministry of culture & social services/national government	
2.	With the local/county government	
3.	Others(Specify):	

Group size and membership

9. How many members of the group are in the following age brackets currently and at formation?
(Please write the number)

Age	Currently		Formation	
	Male	Female	Male	Female
Below 20 years				
20-29 years				
30-39 years				
40-49 years				
50-59 years				
60 years and above				
Total				

10. In which year did the group have major reduction in the number of members?
(Please write the year, number of drop outs and the reasons)

Year	Number of drop outs	Reasons

11. In which year did the group have major increase in the number of members?
(Please write the year, number of new members and the reasons)

Year	Number of new members	Reasons

12. How much is the membership fee currently?
(Please write the amount)

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13. Has the amount of membership fees changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

14. If yes, Please tick (√) how the membership fee has changed and write the reasons for change

	Change	√	Reasons for change
1.	Membership fee has increased overtime		
2.	Membership fee has reduced overtime		
3.	Others(Specify)		

15. How often do the group members pay their membership fee?
(Please tick where applicable using a √)

1.	Weekly	
2.	Monthly	
3.	Quarterly	
4.	Semi-annually	
5.	Yearly	
6.	Others(Specify)	

16. Has the frequency of paying the membership fee changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

17. If yes, please write the year, the change in frequency and the reasons for change

Year	Change	√	Reasons for change
	Monthly to weekly		
	Weekly to monthly		
	Quarterly to monthly		
	Monthly to Quarterly		
	Semi annually to quarterly		
	Yearly to semi-annually		
	Others(specify)		

18. Are the group members share holders of the group?
(Please tick one only using a √)

Yes=1	
No=0	

19. If yes, when did the group members start having shares in the group?
(Please write the year and the reasons)

Year	Reasons

Entry and Exit

20. What are the requirements/eligibility criteria for one to be a member of your group?
(Please tick where applicable using a √)

No requirement/eligibility criteria whatsoever	
Payment of subscription fees/membership fee	
Depends with the gender	
Depends with age	
Common objectives	
Numerical restriction(One member per household only etc)	
Geographical location/community member(specify)	
Village/location	
Division	
District/constituency/sub county	
County	
Others(Specify)	

21. Have the requirements/eligibility criteria for the group membership changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

22. If yes, Please write the year, the change and the reasons for change

Year	Change	Reasons for change

23. Under what circumstances can a member leave the group/ be forced to leave the group?
 (Please tick where applicable using a √)

Members' expectation in the group not met	
Not paying membership fees	
Relocation of the member	
Conflicts/disagreements in the group	
Un expected occurrence(Sickness, death etc)	
Absenteeism	
Misconduct	
Self withdrawal	
Others(Specify)	

24. How does the group deal with members who break the group's rules currently?
 (Please tick where applicable using a √)

Verbal Warning	
Written warning	
Payment of fine	
Suspended from the group	
Expelled from the group	
As specified in the constitution/bylaw	
Others specify	

25. Has the way the group deals with members who break group's rules changed overtime?
 (Please tick where applicable using a √)

Yes=1	
No=0	

26. If yes, please write the year, the change and the reasons for change

Year	Change	Reasons for change

Group type and level of operation

27. What is the type of the group currently?
(Please tick where applicable using a √)

1.	Self help group	
2.	Inter-group association/union	
3.	Community Based Organization	
4.	Cooperative Society	
5.	Others(specify)	

28. Has the group type changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

29. If yes, please write the year, the changes and the reasons for change

Year	Change	√	Reasons for change
	1. Self help group to a CBO		
	2. Self help group to a cooperative society		
	3. Self help group to an intergroup association/union		
	4. CBO to a cooperative society		
	5. Self help group to a cooperative society		
	6. Others(Specify)		

30. Who does the group serve currently?
(Please tick all that is applicable using a √)

Immediate needs/ welfare of the group members	
Other groups	
Serves other members of the community who may not be group members	
The group engages in Cooperate Social Responsibilities	
Others(Specify)	

31. Have the beneficiaries of the group changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

32. If yes, please write the year, the change and the reasons for change

Year		Change	√	Reasons for change
	1.	From serving the immediate needs of the members only to serving other groups		
	2.	From serving the immediate needs of the members only to also serving other members of the community		
	3.	From serving other members of the community/groups to concentrate on the immediate needs of the members only		
	4.	Others(Specify)		

33. If the group serves/served other groups/community members who are not necessarily members of the group, what role has the group played through the years?(Please list down)

Year	Coverage(e.g. village, etc)	Roles

34. What area does the group cover in its operations currently?
(Please tick where applicable using a √)

1.	Village/location	
2.	Division	
3.	Constituency /District/Sub county	
4.	County	
5.	Others(Specify):	

35. Has the group's area of operation changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

36. If yes, Please write the year, the change in the area of operation and the reasons for change

Year	Change	Reasons for change
	Village /location to division	
	Constituency/District/sub county to county	
	Village to Constituency/District/sub county	
	Others(Specify)	

Group functions

37. What is the main function of the group currently?
(Please tick one only using a √)

	Function	(√)
1.	Crop farming(Maize, beans, bananas, passion fruits, etc)	
2.	Animal keeping (Cattle, goat, sheep, rabbit, chicken, pigs etc)	
3.	Natural resource management (tree nurseries, securing forests, etc)	
4.	Building households assets	
5.	Financial (Revolving funds, lending and borrowing)	
6.	Enterprise/ marketing	
7.	Empowerment and capacity building	
8.	User group (Forest user group, water user group etc)	
9.	Others(Specify)	

38. What are the other functions of the group currently?
(Please tick all that is applicable using a √)

Function	(√)
Crop farming(Maize, beans, bananas, passion fruits, etc)	
Animal keeping (Cattle, goat, sheep, rabbit, chicken, pigs etc)	
Natural resource management (tree nurseries, securing forests, etc)	
Building households assets	
Financial (Revolving funds, lending and borrowing)	
Enterprise/ marketing	
Empowerment and capacity building	
User group (Forest user group, water user group etc)	
Others(Specify)	

39. Have there been any changes in the group functions overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

40. If yes, please write the year, the change and the reasons for change
(Hint: e.g. from crop farming to animal rearing)

Year	Change	Reasons for change

Group objectives

41. What are the main objectives of the group currently?
(Please list the objectives)

1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

42. Have there been any changes in the group objectives overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

43. If yes, please write the year, the change and reasons for change
(Hint; e.g. from improved cattle breeds to improved goat breeds etc)

Year	Change	Reasons for change

44. What is the highest level of education of members in the group currently and at formation? (Please write the number)

Level of education	Number(Currently)	Number(Formation)
Degree		
Diploma		
Certificate		
Secondary		
Upper Primary		
Lower Primary		

45. Have there been any changes overtime in the education level of members? (Please tick where applicable using a √)

Yes=1	
No=0	

46. If yes, please write the year, the type of change, degree of change and the reasons for change.

Year	Type of change (Increase/reduction)	Degree of change (number)	Reasons for change

Leadership Structure (positions, gender, length of term, method of selection)

47. What is the composition of the group leadership currently? (Please tick the leadership positions in the group using a √ and write the gender of the leader)

Leadership positions	√	Male=1	Female=2
Chairperson			
Vice chairperson			
General Secretary			
Organizing secretary			
Treasurer			
Assistant treasurer			
Others(Specify)			

48. Have there been any changes in the number of leadership positions overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

49. If yes, Please write the year, changes and the reasons for change
(Hint: e.g. from having a general secretary only to appointing an organizing secretary etc)

Year	Change in leadership positions	Reasons for change

50. Have there been any changes in the gender composition of the group leadership overtime?
(Please tick where applicable using √)

Yes=1	
No=0	

51. If yes, please write the year, changes and reasons for change
(e.g. women were only appointed as treasurers but they can now be elected as chairpersons)

Year	Changes in gender composition	Reasons for change

52. How were group leaders obtained at formation?
(Please tick where applicable using a √)

1.	Elections	
2.	Leaders were Imposed	
3.	Advised by committee	
4.	Volunteering	
5.	Consensus by group members	
6.	Status of an individual in the community and personal attributes(e.g. education, gender etc)	
7.	Others(specify):	

53. Does the group replace its leaders?

(Please tick where applicable using a ✓)

Yes=1	
No=0	

54. If yes, what is the process of replacing the group leaders currently?

(Please tick where applicable using a ✓)

1.	A leader voluntarily resigns	
2.	The group holds regular elections	
3.	Leaders are Imposed	
4.	Advised by committee	
5.	Consensus by group members	
6.	Depends with the Status of an individual in the community and personal attributes(e.g. gender)	
7.	Others(Specify)	

55. Have there been any changes overtime in the process of replacing group leaders?

(Please tick where applicable using a ✓)

Yes=1	
No=0	

56. If yes, Please write the year, the changes and reasons for change

(Hint: e.g. from imposing leaders to holding regular elections etc)

Year	Change	Reasons for change

57. How often are leaders replaced currently?

(Please tick where applicable using a ✓)

	Duration	(✓)
1.	Less than one year	
2.	Yearly	
3.	Bi-annually	
4.	Tri-annually	
5.	Above 3 years	
6.	Others(specify):	

58. Have there been any changes in the duration of leaders' term in office?
(Please tick where applicable using a √)

Yes=1	
No=0	

59. If yes, Please write the year, the changes and the reasons for change

Year	Change	√	Reasons for change
	From one year to less than one year		
	From two years to one year		
	From three years to two years		
	From two years to three years		
	From three years to more than three years		
	Others(specify)		

Control system (Rules and regulations)

60. Does the group have rules that guide the conduct of the members?
(Please tick where applicable using a √)

Yes=1	
No=0	

61. If yes, where are the rules contained?
(Please tick where applicable using a √)

1.	Bylaw	
2.	Constitution	
3.	Un-written	
4.	Others(specify)	

62. Have there been any changes in the way rules are contained?
(Please tick where applicable using a √)

Yes=1	
No=0	

63. If yes, Please write the year, the changes and the reasons for change

Year	Changes	Reasons for change
	Unwritten to a bylaw	
	By law to a constitution	
	Unwritten to a constitution	
	Others(Specify)	

Committees (roles, frequency of meetings)

64. Does the group have committees appointed to undertake certain tasks?
(Please tick where applicable using a √)

Yes=1	
No=0	

65. If yes, Please write the current roles of the various committees

Committees	Roles

66. When did the group start appointing committees?
(Please write the year and reasons for appointing the committees)

Year	Reasons

67. Have the roles of the committees changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

68. If yes, Please write the year, change in roles and the reasons for change

Year	Changes	Reasons

69. How often do the committees hold meetings?
(Please tick where applicable using a √)

1.	Weekly	
2.	Monthly	
3.	Quarterly	
4.	Semi annually	
5.	Yearly	
6.	Others(Specify):	

70. Have there been any changes overtime in the frequency of the committee meetings?
(Please tick where applicable using a √)

Yes=1	
No=0	

71. If yes, Please write the year, changes and the reasons for change

Year	Changes	√	Reasons for change
	Monthly to weekly		
	Quarterly to monthly		
	Semi annually to quarterlynnnnnnn		
	Yearly to monthly		
	Others(specify)		

Decision making in the group

72. How are decisions made in the group currently?
(Please tick all that is applicable using a √)

Voting	
Consensus/whole group	
Decisions are made by group leaders	
Decisions made by committees	
Others(specify)	

73. Have there been any changes overtime in the way decisions are made in the group?
(Please tick where applicable using a √)

Yes=1	
No=0	

74. If yes, please write the year, the changes in decision making and the reasons for change

Year	Changes in decision making	√	Reasons for change
	From consensus/whole group to voting		
	From group leaders making the decision to voting		
	From consensus to committees making the decisions		
	Others(Specify):		

Meetings

75. Where does the group hold its meetings currently?
(Please tick where applicable using a √)

1.	Open air	
2.	Rented offices	
3.	Own offices	
4.	Others(Specify) members home on rotational basis	

76. Has the meeting location changed overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

77. If yes, please write the year, change in location and the reasons for change

Year	Change in location	√	Reasons for change
	Open air to rented offices		
	Rented offices to open air		
	Rented offices to own offices		
	Others(specify)		

78. How often are meetings held currently?
(Please tick where applicable using a √)

1.	Weekly	
2.	Monthly	
3.	Quarterly	
4.	Semi-annually	
5.	Yearly	
	Others(Specify	

79. Have there been any changes in the frequency of meetings overtime?
(Please tick where applicable using a √)

Yes=1	
No=0	

80. If yes ,Please write the year, the changes and the reasons for change

Years	Changes	√	Reasons for change
	From monthly to weekly		
	From weekly to monthly		
	From quarterly to monthly		
	From yearly to semi annually		
	From monthly to quarterly		
	Others specify		

Record keeping**81.** Does the group keep records currently?

(Please tick where applicable using a √)

Yes=1	
No=0	

82. If yes, Please tick the type of records kept using a √, and write the methods of collecting and sharing the records

	Type of records	√	Methods of collecting and sharing records
1.	Minutes		
2.	Financial records		
3.	Group activities report		
4.	Progress reports		
5.	Others specify		

83. When did the group start keeping these records?

(Please write the year ,the type of records, methods of collecting and sharing and reasons)

Year	Type of records	Method of collecting and sharing records	Reasons

Bank account**84.** Does the group have bank accounts?

(Please tick that which is applicable using a √)

Yes=1	
No=0	

85. If yes, in which financial institutions?

(Please tick where applicable using a √)

1.	Bank	
2.	SACCOs	
3.	Micro-credit/financial institutions	
4.	Others(specify)	

86. When did the group open these accounts?

(Please write the years, the financial institutions and the reasons for having bank accounts)

Year	Financial institution	Reasons for having bank accounts

87. Does the group audit its accounts currently?

(Please tick that which is applicable using a √)

Yes=1	
No=0	

88. If yes, Please write the frequency and the reasons for auditing accounts

1.		Frequency(e.g. monthly)	Reasons
2.	Internal auditors		
3.	External auditors		
4.	Others(Specify)		

89. When did the group start auditing its accounts?

(Please write the year, the auditors, frequency and the reasons for auditing accounts)

Year	Auditors(Internal/external)	Frequency	Reasons for auditing accounts

90. How much is the monthly expenses of the group currently/in the past?(e.g. rent)

Monthly Expense(Specify)	Amount in Ksh (Currently)	Amount in Ksh in the past(Specify the year)

91. Does the group engage in profit generating activities currently/in the past?

(Please tick where applicable using a √)

Yes=1	
No=0	

92. If yes, please write the year, the activities and the monthly income

Activities(Specify)	Monthly income (currently)	Monthly income In the past(Specify the years)	Reasons for collapse(where applicable)

SECTION TWO
Internal drivers of change

93. Have the group members ever been trained on the following topics?

Topic	√	Number of members trained		Year	How did it influence the group
		Leaders	Members		
Records management					
Group dynamics					
Leadership structure					
Constitution development					
Financial management					
Book keeping					
Funds solicitation					
Livestock rearing					
Value addition					
Others(specify)					

96. If yes, please tick the current partners using a (√) and write their roles in the group

Partners	√	Current roles	Past roles	
			Year	Roles
Other groups				
Government				
Donors/development partners				
Civil society groups(NGO, etc)				
Others(specify)				

97. Who are the other partners that the group has worked with in the past?
(Please write the year, the partners and the roles of the partners)

Year	Partners	Roles of the partners(hint: Cash or in kind support)

98. What has been the major influence of these partnerships to the group?

Partners(Specify)	Year	Influence

99. Has the group ever obtained loans/ credit from any financial institutions
(Please tick where applicable using a √)

Yes=1	
No=0	

100. Please write the year ,the financial institution, amount and how the funds were utilized

Year	Financial institution	Amount(Ksh)	How were the funds were utilized

101. What is the distance to the nearest commercial centre _____Km

102. Have the group members ever been affected by any of the following?

	√	Year	How did it influence the group members
Floods			
Drought			
Outbreak of crops pests and diseases			
Outbreak of domestic animals diseases			
Price variability			
Lack of markets			
Political interference			
Poor infrastructure (electricity, transport etc)			
Other challenges(Specify)			

SECTION THREE

The influence of structural and functional change on the effectiveness of collective action

103. Does the group own the following assets?
(Please tick where applicable using a √)

Assets	Yes = 1 No = 0	Quantity (specify the number)	Year acquire d	How were the assets acquired?
Offices				
Rental houses				
Land				
Vehicle/tractor				
Wheelbarrow				
Motor cycle				
Bicycle				
Computer				
Printer/ photocopying machine				
Type writer				
Chairs				
Tables				
Equipments for hire				
Cash				
Others(specify)				

104. How would you rate the group in terms of the following aspects currently?
(Please tick that which is applicable using a \surd)

	Rate(1-5)	Reasons
Sharing common objectives		
Knowledge sharing within the group		
Awareness and adherence to the regulation system		
Attending group meetings		
Participation in group activities		
Participatory decision making		
Resource mobilization		
Members Financial contribution		
Leadership skills		
Financial accountability within the group		
Sharing of profits		
Degree of trust amongst members		
Effective Conflict resolution		

(Rate from 1-5 where 1= Poor 2= Fair 3 = Average 4 = Good 5 = Very Good)

105. How would you rate the group in terms of the following aspects three years ago?
(Please tick that which is applicable using a \surd)

	Rate(1-5)	Reasons
Sharing common objectives		
Knowledge sharing within the group		
Awareness and adherence to the regulation system		
Attending group meetings		
Participation in group activities		
Participatory decision making		
Resource mobilization		
Members Financial contribution		
Leadership skills		
Financial accountability within the group		
Sharing of profits		
Degree of trust amongst members		
Effective Conflict resolution		

(Rate from 1-5 where: 1= Poor 2= Fair 3 = Average 4 = Good 5 = Very Good)

106. How many of the group objectives have been accomplished currently?
(Please list down the current objectives)

	Objectives of the group	√	Rate(1-5)
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
Average level of objectives achieved			

(Rate from 1-5 where: 1= Poor 2= Fair 3 = Average 4 = Good 5 = Very Good)

107. Are there times in the past that the group accomplished less of its objectives than they can achieve today?(Please tick one only using a √)

Yes=1	
No=0	

108. If yes, please write the year, the objectives achieved and the reasons

Year	Objectives achieved	Rate	Reasons

(Rate from 1-5 where: 1= Poor 2= Fair 3 = Average 4 = Good 5 = Very Good)

- 111.** What major benefits have the members gained from the group?
 (Please write the benefits, year, number of members and how it helped the members)

Benefits	Year	Number of members	How did it help the members
Credit			
Trainings(topics)			
Social contacts eg NGOs			
Visits to other groups			
Knowledge sharing			
Others(Specify)			

Focus group discussions guide

1. How was this group formed?
2. What prompted formation of this group?
3. What activities do you engage in as a group?
4. How has the group progressed since inception?
5. Does the group have partners or had partners in the past(for example NGO, government)
 - a. Who are these partners?
 - b. What roles do these partners play?
 - c. What has been the major impacts of these partnerships
6. What are some of the benefits that group members have gained through participation in group activities?

Key informant Interview guide

1. How are farmer groups formed in this area?
2. What are the reasons for the formation of these farmer groups?
3. What processes do these farmer groups undergo overtime?
4. What aspects influence effectiveness in groups?
5. What benefits do farmers gain by participating in groups?