NILE BASIN INITIATIVE
Initiative du Bassin du Nil

Equatorial Lakes Subsidiary Action Program

FEASIBILITY STUDY AND PREPARATION OF AN INTEGRATED WATERSHED MANAGEMENT PROGRAM AND INVESTMENT PROPOSAL FOR SIO-MALABA-MALAKISI SUB BASIN

Final Report

Annex 6. Institutional Set-up

Revised final version - August 2012

egis bceom International

in association with

CAS consultants Ltd

Document quality information

General information

Auteur(s)	Jean-Marc ROUSSEL, Team Leader
Project title	Feasibility Study and Preparation of an Integrated Watershed Management Program and Investment Proposal for the Sio-Malaba-Malakisi Sub-Basin
Document title	Final Report – Annex 6. Institutional Set-up
Date	August 2012
Reference	GED 10412 X

Addressee(s)

Sent to :		
Name	**Organization**	**Sent on:**
Mohammed BADAZA	Project Manager, Sio-Malaba-Malakisi River Basin Management Project, Kakamega, Kenya	28/08/2012
Copy to:		
Name	**Organization**	**Sent on:**

History of modifications

Version	Date	Written by:	Review by:
Version 0	29/05/2012	Jean-Marc ROUSSEL, Team Leader	Emmanuel DAVAL, Project Director
Version 1	28/08/2012	Jean-Marc ROUSSEL, Team Leader	Emmanuel DAVAL, Project Director

The contents of the present report are the sole responsibility of the Consultant, and should not be taken as reflecting the views of the Nile Basin Authority or the Nile Equatorial Lakes Subsidiary Action Programme.

TABLE OF CONTENTS

CHAPTER 1. INTRODUCTION 1

CHAPTER 2. INSTITUTIONAL SETUP 3

2.1 Stakeholders Mapping 3
2.2 Option 1: Focus on existing implementation channels 8
2.2.1 National responsibilities 8
2.2.2 Transboundary coordination and agreement 11
2.2.3 District / Sub-county level 12
2.2.4 Stakeholders interests 12
2.2.5 Farmer Field Schools 13
2.3 Option 2: Focus on direct implementation at district and local level 13
2.3.1 National responsibilities 13
2.3.2 Transboundary coordination and agreement 14
2.3.3 District / Sub-county level 15
2.3.4 Stakeholders interests 15
2.3.5 Farmer Field Schools 15
2.4 Information exchange 15

CHAPTER 3. CAPACITY BUILDING AND PROJECTS IMPLEMENTATION AT COMMUNITY LEVEL 16

3.1 Farmer Field Schools (FFS) 16
3.2 Stakeholders Forum 18

LIST OF TABLES

Table 1: Main stakeholders involved in SMM-IWMP in Kenya 4

Table 2: Main stakeholders involved in SMM-IWMP in Uganda 6

LIST OF FIGURES

Figure 1: Organization chart: Option 1 10

FIGURE 2: Organization Chart: Option 2 14

Content

The present document is the sixth annex to the Final Report for Sio-Malaba-Malakisi Watershed Management Investment Proposal

IWMP FINAL REPORT

Main report	Investment Project Proposal
Annex 1	Catchment rehabilitation and management and investment plan
Annex 2	Community based wetlands management and investment plan
Annex 3A	Solid waste management plan for Bungoma and Lwakhakha and investment plan
Annex 3B	Storm water drainage plan for Bungoma and Lwakhakha and investment plan
Annex 4	Environmental and Social Management Framework
Annex 5	Integrated Watershed Management investment project
Annex 6	**Institutional set up for Project Implementation**

CHAPTER 1.Introduction

The Sio-Malaba-Malakisi Integrated Watershed Management seeks to champion development that ensures conservation, regeneration and the judicious use of all the natural resources such as land, water, plants, animals etc. within the watershed. The proposed watershed investment options tries to bring about the best possible balance in the environment between natural resources on the one side, and human on the other.

With its specific characteristics of being transboundary, the Sio-Malaba–Malakisi Watershed project needs to fit in a institutional set-up that can guarantee at the same time a high quality of coordination among the partner countries, and a good level of independence for each of them in their operation and timing, to harmonize regional, national and local objectives and priorities. Another relevant aspect of the institutional set-up is the intention, from both governments, to support decentralization and local level decision-making. All these elements are expected to e reflected in the paragraphs below.

Transboundary cooperation in watershed management or river basin management is the result of a long term process of consultation and negotiation. In the case of SMM basin, much of the higher level preparatory work has already been done within the NBI framework (SMM Cooperative Framework Studies).

Crucial to the success of transboundary management are:

- political willingness,
- a thoroughly formulated agreement,
- full transparency in data exchange.

Political willingness is proven by the fact that both partner countries are signatory to the NBI, and that several studies are undertaken. On the contrary, at other levels, the stakeholder analysis also observed a contradiction between ambitious policies and very limited budgets to put these into practice, and between elaborate environmental legislation but low enforcement.

Evaluation of previous transboundary projects like MERECP highlight difficulties related to institutional arrangement for an effective implementation on field.

Among others difficulties are linked to:

- The complexity coming from the involvement of several institutions and subsequent heavy bureaucracy with consequent delays;
- A lack of communication between the implementing agencies and the communities who are the most important target group;

- The concentration of management and implementation responsibility at the district level instead of village level.

Therefore we propose an institutional setup trying to deal with objectives and constraints, based on principle of transboundary implementation and integrating the governmental agencies in the mechanism, focused on effectiveness of implementation at the district/sub-county and lower local levels.

CHAPTER 2.Institutional Setup

With its specific characteristics of being transboundary, the Sio-Malaba–Malakisi Watershed project needs to fit in a institutional set-up that can guarantee at the same time a high quality of coordination among the partner countries, and a good level of independence for each of them in their operation and timing, to harmonize regional, national and local objectives and priorities. Another relevant aspect of the institutional set-up is the intention, from both governments, to support decentralization and local level decision-making.

The sensitivity of the balance between authority of national institutions (Ministries in first place) and strong coordination ensuring transboundary decisions leads the Consultant to propose two alternative solutions to deal with objectives and constraints.

- The first option is more oriented towards using existing institutions at national level and future mechanisms for transboundary watershed management, and integrating the Project in the structure of the governmental agencies from the state level to the district and local level.
- The second option, prioritizing transboundary cooperation for implementation and integrating the governmental agencies in the mechanism, is more focused on effectiveness of implementation at the district/sub-county and lower local levels; the intention is to avoid possible delays due to heavy bureaucratic process through the full scale of administration in each country.

A final decision on that point will appear after discussions among the two countries; it will not affect the rest of the process described in the different sections of the Final Report and its Annexes.

2.1 Stakeholders Mapping

Proposals for project institutional organization are based on a participative identification of main stakeholders to be involved in the investment program by sub-projects.

Identification has been made during workshops with technical officers from the two countries. Stakeholders are ranked in 3 categories of decreasing importance as presented in the tables here-after. Projects being mainly composed with community based activities; CBOs, as important target group, are systematically mentioned as main stakeholders.

Table 1: Main stakeholders involved in SMM-IWMP in Kenya

PROJECT/SUB-PROJECT	MAIN ACTIVITIES	MAIN STAKEHOLDERS KENYA			
		Overall	Design	Impl	M&E
1 CATCHMENT CONSERVATION					
Afforestation	Forest rehabilitation programs ; operational capacity building for forest management/rehabilitation	KFS	NEMA KEFRI	WRMA WRUA CBO CFA CFUG MoA	KFS KWS
Soil and Water Conservation	Promotion of biological erosion control measures	MoA	MoA KFS	WRUA MIS CBOs/NGOs	MoA
Conservation agriculture	Promotion of conservation agriculture practices (min soil disturbance, soil cover, crop rotation and association	MoA	MoA MoLD	ICIPE / ICRAF/ ACT CBO	MoA MoLD
Permanent wetlands management	Promotion of conservation + promotion of improved and diversified practices: improvement of fish capture techniques; ridge and furrow agriculture methods; extend fish culture system; fish farm integrated units; establishment of papyrus coup areas	WRMA	NEMA MoF LBDA	MoF MoA, local bodies, CBO	WRMA
Seasonal wetlands (floodplain) management	Promotion of improved and diversified practices: Ditches dug for water retention; optimum use of seasonal grazing; type and extent of fuelwood and fodder production	NEMA	WRMA MoA	MoA MoF, local bodies, CBO	NEMA
2 INCOME GENERATION					
Afforestation	Development of private /community nurseries, non-timber products and handicraft	KFS	NEMA KEFRI	WRMA WRUA CBO CFA CFUG MoA	KFS KWS
Soil and Water Conservation	Development of private /community nurseries, non-timber products and handicraft Improved marketing for products Access to micro-credit to support initiatives	MoA	MoA KFS	WRUA MIS CBOs/NGOs	MoA
Conservation agriculture	Development of new crops for better nutrition and cash marketing Improved marketing for products Access to micro-credit to support initiatives	MoA	MoA MoLD	ICIPE / ICRAF/ ACT CBO	MoA MoLD
Permanent wetlands management	Improved cattle breeding by optimum use of seasonal grazing; Development of fodder production; eco-toilet promotion; beekeeping, handicraft	WRMA	NEMA MoF LBDA	MoF MoA, local bodies, CBO	WRMA
Seasonal wetlands (floodplain) management	Improved cattle breeding by optimum use of seasonal grazing; Development of fuelwood and fodder production; eco-toilet promotion; fruit orchard cultivation; beekeeping, handicraft	NEMA	WRMA MoA	MoA MoF, local bodies, CBO	NEMA

PROJECT/SUB-PROJECT	MAIN ACTIVITIES	MAIN STAKEHOLDERS KENYA			
		Overall	Design	Impl	M&E
3 WATERSHED MANAGEMENT					
Afforestation	Operational capacity building for forest management/rehabilitation; Organisation of private /community nurseries; maintenance	KFS	NEMA KEFRI	WRMA WRUA CBO CFA CFUG MoA	KFS KWS
Soil and Water Conservation	Operational implementation capacity strengthening (extension staff/NGOs) and planning tools for communities	MoA	MoA KFS	WRUA MIS CBOs/NGOs	MoA
Conservation agriculture	Operational implementation capacity strengthening (extension staff/NGOs) and planning tools for communities	MoA	MoA MoLD	ICIPE / ICRAF/ ACT CBO	MoA MoLD
Riverbank protection	Sensitization; capacity building and pilot activity (buffer zones 10 K 30U m; plantations trees, fodders and grasses) (10 hotspots)	WRMA	NEMA MoA	KFS MIS CBO	Local bodies
Promotion of sustainable practices for sand abstraction	Sensitization; capacity building and pilot activity (10 hotspots)	NEMA	WRMA MoLD MoA	NEMA MIS CBO	Local bodies
Permanent wetlands management	Organisation of WMU to support the proposed activities on a sustainable basis	WRMA	NEMA MoF LBDA	MoF MoA, local bodies, CBO	WRMA
Seasonal wetlands (floodplain) management	Organisation of WMU to support the proposed activities on a sustainable basis	NEMA	WRMA MoA	MoA MoF, local bodies, CBO	NEMA
4 URBAN STRUCTURES					
SWD Project – Bungoma / Kenya	Detailed topographic survey; storm water master plan; design and construction of storm water drainage infrastructure; participatory process for storm water management	Bungoma municipal council	NEMA/ WRMA	MPHS/ MoPW	Bungoma municipal council
SWD project - Lwakhakha / Kenya		Bungoma county council	NEMA/ WRMA	MPHS/ MoPW	Bungoma municipal council
SWM Project - Bungoma / Kenya	Start-up stage (Preliminary survey, public awareness-training, cleaning); design of collection and transportation, disposal site system; implementation, administration and supervision	Bungoma municipal council	NEMA/ WRMA	MPHS/ MoPW	Bungoma municipal council
SWM Project - Lwakhakha / Uganda		Bungoma county council	NEMA/ WRMA	MPHS/ MoPW	Bungoma municipal council

Table 2: Main stakeholders involved in SMM-IWMP in Uganda

PROJECT/SUB-PROJECT	MAIN ACTIVITIES	MAIN STAKEHOLDERS UGANDA			
		Overall	Design	Impl	M&E
1 CATCHMENT CONSERVATION					
Afforestation	Forest rehabilitation programs ; operational capacity building for forest management/rehabilitation	MWE	NFA UWA LKWMZ KEFRI	NaFORRI District local Gov. (FS)/ **FSSD** CBO	KWS/
Soil and Water Conservation	Promotion of biological erosion control measures	**MAAIF**	MWE/ District local government	MUIENR CBO	**MAAIF**
Conservation agriculture	Promotion of conservation agriculture practices (min soil disturbance, soil cover, crop rotation and association	**MAAIF**	MWE/ District local government	NARO CBO NGO	**MAAIF**
Permanent wetlands management Project	Promotion of conservation + promotion of improved and diversified practices: improvement of fish capture techniques; ridge and furrow agriculture methods; extend fish culture system; fish farm integrated units; establishment of papyrus coup areas	**MWE**	MAAIF NEMA District local Gov.	MAAIF NaFIRI CBO	**MWE**
Seasonal wetlands (floodplain) management	Promotion of improved and diversified practices: Ditches dug for water retention; optimum use of seasonal grazing; type and extent of fuelwood and fodder production	**MWE**	MAAIF NEMA District local Gov.	NaFORRI MUIENR NARO CBO	NEMA
2 INCOME GENERATION					
Afforestation	Development of private /community nurseries, non-timber products and handicraft	KFS	NEMA KEFRI	WRMA WRUA CBO CFA CFUG MoA	KFS KWS
Soil and Water Conservation	Development of private /community nurseries, non-timber products and handicraft Improved marketing for products Access to micro-credit to support initiatives	MoA	MoA KFS	WRUA MIS CBOs/NGOs	MoA
Conservation agriculture	Development of new crops for better nutrition and cash marketing Improved marketing for products Access to micro-credit to support initiatives	MoA	MoA MoLD	ICIPE / ICRAF/ ACT CBO	MoA MoLD
Permanent wetlands management Project	Improved cattle breeding by optimum use of seasonal grazing; Development of fodder production; eco-toilet promotion; beekeeping, handicraft	**MWE**	MAAIF NEMA District local Gov.	MAAIF NaFIRI CBO	**MWE**

PROJECT/SUB-PROJECT	MAIN ACTIVITIES	MAIN STAKEHOLDERS UGANDA			
		Overall	Design	Impl	M&E
Seasonal wetlands (floodplain) management	Improved cattle breeding by optimum use of seasonal grazing; Development of fuelwood and fodder production; eco-toilet promotion; fruit orchard cultivation; beekeeping, handicraft	**MWE**	MAAIF NEMA District local Gov.	NaFORRI MUIENR NARO CBO	NEMA
3 WATERSHED MANAGEMENT					
Afforestation	Operational capacity building for forest management/rehabilitation; Organisation of private /community nurseries; maintenance	KFS	NEMA KEFRI	WRMA WRUA CBO CFA CFUG MoA	KFS KWS
Soil and Water Conservation	Operational implementation capacity strengthening (extension staff/NGOs) and planning tools for communities	MoA	MoA KFS	WRUA MIS CBOs/NGOs	MoA
Conservation agriculture	Operational implementation capacity strengthening (extension staff/NGOs) and planning tools for communities	MoA	MoA MoLD	ICIPE / ICRAF/ ACT CBO	MoA MoLD
Riverbank protection	Sensitization; capacity building and pilot activity (buffer zones 10 K 30U m; plantations trees, fodders and grasses) (10 hotspots)	**MWE**	LKWMZ District local Gov.	LKWMZ CBO	District local Gov
Promotion of sustainable practices for sand abstraction	Sensitization; capacity building and pilot activity (10 hotspots)	**MWE**	MAAIF NEMA	MAAIF/ NEMA CBO	District local Gov
Permanent wetlands management	Organisation of WMU to support the proposed activities on a sustainable basis	**MWE**	MAAIF NEMA District local Gov.	NEMA NaFIRI CBO	**MWE**
Seasonal wetlands (floodplain) management	Organisation of WMU to support the proposed activities on a sustainable basis	**MWE**	MAAIF NEMA District local Gov.	NEMA NaFORRI MUIENR NARO CBO	NEMA
4 URBAN STRUCTURES					
SWD project - Lwakhakha / Uganda	Detailed topographic survey; storm water master plan; design and construction of storm water drainage infrastructure; participatory process for storm water management	**MWE**	Lwakhakha town council	Lwakhakha town council	**MWE**
SWM Project - Lwakhakha / Uganda	Start-up stage (Preliminary survey, public awareness-training, cleaning); design of collection and transportation, disposal site system; implementation, administration and supervision	**MWE**	Lwakhakha town council	Lwakhakha town council	**MWE**

2.2 Option 1: Focus on existing implementation channels

2.2.1 National responsibilities

On the Kenyan side, the SMM basin is part of **Lake Victoria North Catchment - LVNC.** MEMR/WRMA for LVNC has started managing databases for water resources monitoring and permits for water abstraction, as inputs for a Water Allocation Plan. WRMA is also coordinating and assisting in creation of WRUAs for decentralized water resource management. In future, based on improved data availability, WRMA should be able and responsible to provide information for important political decisions with regard to equitable water allocation. This concerns water allocation not only within one sector, e.g. irrigation or water supply. In a time with overall water deficits, water allocation between sectors (e.g. industry-agriculture) will become important issues as well. In addition, the SMM basin being a transboundary basin, interests at international/regional level are to be considered.

On the Uganda side, MWE / DWRM will start (July 2011) putting in place a similar structure for decentralized water resource management. The SMM basin will be part of the Lake Kyoga Water Management Zone – LKWMZ (Malaba-Malakisi River) and the Lake Victoria Water Management Zone – LVWMZ (Sio River). The creation of sub-catchments below the level of WMZ, e.g. for the SMM basin, is being discussed.

Since **WRMA** -LVNC and **MWE** - LKWMZ - LVWMZ are or respectively will be, responsible for core tasks in water resource management, it is quite logical that these institutions also take the lead in planning and coordinating IWM activities in their part of the SMM basin. They will be the **implementing institutions** for the IWMP.

WRMA is actually doing this already at the sub-catchment level through their assistance in preparation of Micro-Catchment Action Plans. Catchment plans are being made in consultation with all stakeholders. Implementation of components of the plan is done or coordinated by the first responsible institution in the sector concerned. Implementation is currently financed through the sector agency's own budget lines or through funding lines created for WRUA-identified activities (National Trust Fund).

WRMA and DWRM (or the future two WMZs) would similarly **coordinate planning, implementation and monitoring** of IWM activities at a sub-basin level in their part of the SMM basin.

Planning would be carried out jointly with all stakeholders. For implementation, activities would be "delegated" to the institution(s) most qualified/ most concerned, through **Memoranda of Understanding** (**MoU**), for example with other Ministries or Institutions concerned by the project (NEMA, MoA, KFS, KEFFRI / MAAIF, NEFA,NARO) . The targeted Ministries and Institutions are specified in the **TABLE 2** and **TABLE 2** for each SMM-IWMP component.

Monitoring during implementation would be the responsibility of the implementing agency. Thereafter, responsibility would be either with the institution which is also responsible for maintenance of the newly created assets, or with the principle institution or interest group exploiting these assets.

In analogy with the WRUA at smaller, lower level catchments, WRMA in Kenya would create a **SMM Watershed Management Unit** for this purpose. Contrarily to the WRUA, the SMM Watershed Management Unit would be part of WRMA, directly responsible to the Head of WRMA and in charge of the watershed management activities in the Malaba-Malakisi and/or Sio sub-basin. In Uganda, a similar unit could be created taking the mandate of the SMM Watershed Management Unit (Sub-catchment Management Committee are planned in the new structure).

In analogy with the WRUA at smaller, lower level catchments, WRMA in Kenya would create a **SMM Watershed Management Unit** for this purpose. Contrarily to the WRUA, the SMM Watershed Management Unit would be part of WRMA, directly responsible to the Head of WRMA and in charge of the watershed management activities in the Malaba-Malakisi and/or Sio sub-basin. In Uganda, a similar unit could be created taking the mandate of the SMM Watershed Management Unit (Sub-catchment Management Committee are planned in the new structure).

The general scheme for institutional arrangement is presented below as Figure 1.

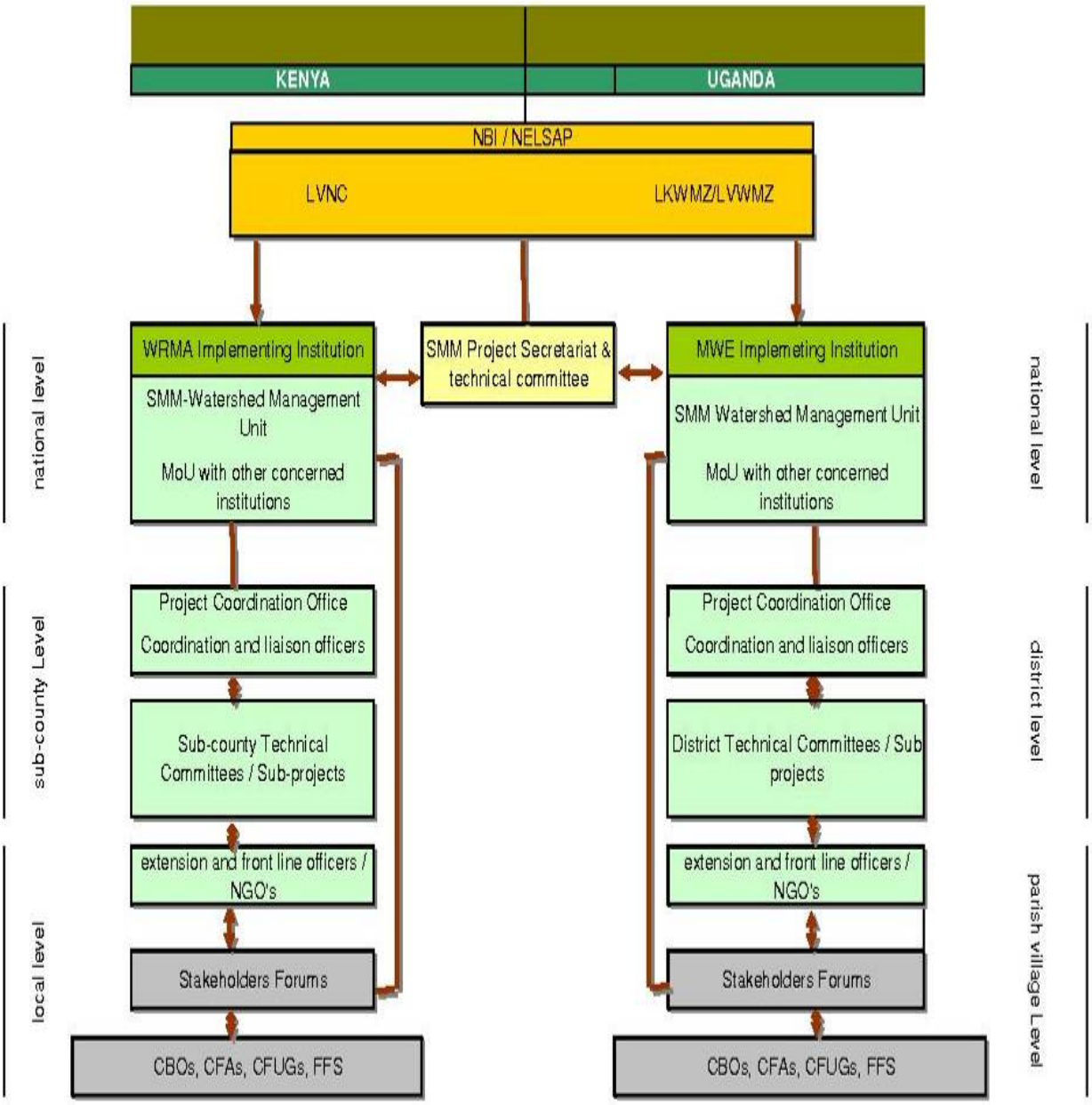

Figure 1: Organization chart: Option 1

2.2.2 Transboundary coordination and agreement

A coordinating body needs to be created for transboundary matters. This body, with a position of **Programme Management Unit**, will initiate, facilitate and encourage keeping the momentum in consultation and joint planning of activities by partner institutions on either side of the border. It will also identify, and try to follow up on, needs of harmonization of approaches, policies and legislation in the two partner countries. Harmonization itself remains a matter for sector specialists and their advisers at national level.

The two countries will cooperate on the basis of a **SMM Watershed Management Agreement** and it will be the first important task of the SMM Secretariat to invite both partner countries for the process of drafting this agreement. A cooperation framework for transboundary water resources management is already being drafted and a watershed management paragraph could be added as an amendment. Both countries are in the process of developing a transboundary water policy (in Kenya, the final draft is ready to be presented to the Cabinet). On the basis of the two policies, a Cooperative Framework Agreement is to be signed, which provides for obligations (pollution control and prevention), and rights (e.g. amounts of possible abstracted water) for each partner. A Joint Commission of Cooperation, with NEMA staff from both countries, will monitor compliance with the agreement, and non-respect is reported back to the respective unit for transboundary water issues or line ministry.

More detailed guidelines will be recommended for the JCC to go with the Cooperative Framework Agreement, stipulating matters like monitoring frequency, possibilities to mutually request additional ad hoc monitoring, and agreed standards to be used for monitoring (internationally accepted standards for water quality, effluents from towns and industries etc.).

The SMM PMU will keep both partner countries alert with regard to strategic decisions to be taken at the transboundary level, and specific attention will be givento the treatment of issues for which interests of the two countries are opposed. Strategic transboundary development decisions will soon be required to this regard. At the basis of these decisions, will be a better knowledge of flow regimes and a quantification of required reserve flow.

For technical issues or specific projects to be carried out, the SMM PMU will call upon technical officers from the sector concerned, to form a **Transboundary Technical Committee**. For water resource issues, these will come from WRMA and the WMZ concerned. For catchment rehabilitation, these will come from MOA/MAAIF, NEMA and KFS/NFA. For urban storm water or solid waste management, these will be engineers from the Municipal Councils concerned. At the level of each technical issue, the Technical Committee and Secretariat will be responsible to the Regional Steering Committee for IWRM/IWM.

The future role of SMM PMU is, in some way, an evolution of that currently played by the **PMU of the SMM River Basin Project.** Before project implementation begins, a gradual transformation/strengthening of the PMU should be considered. The temporary position of the present PMU under NELSAP will then need to be transformed into a permanent position under supervision of an existing international/regional organization. Several options exist to this regard depending on who being the first responsible for transboundary river basin management.

Sio sub-basin is draining into Lake Victoria and a separate Sio sub-basin secretariat could take a place under LVBC of which both countries are signatory partners. The Malaba-Malakisi sub-basin secretariat will have to come under a structure for a different river basin, notably the Kyoga river basin. The options for the Malaba-Malakisi Secretariat will be similar as for a secretariat for the entire SMM basin:

- to come under an institution of which both countries are signatory partner (EAC, NBI),
- to come under LVBC with a broadened mandate, to include also Lake Kyoga,
- to exist as a separate interstate secretariat for Lake Kyoga basin, financed by the two countries.

2.2.3 District / Sub-county level

Based in the project area, two coordination offices in charge of liaising with IWMP PMU will be hosted respectively by WRMA in Kenya and MWE in Uganda, ensuring the sub-county/district coordination of activities in the Watershed. Recommended locations may be Bungoma or Kakamega in Kenya and Tororo in Uganda.

These two offices will ensure the required level of coordination and harmonization of interventions in the area and with all concerned governmental line agencies representatives, gathered in a District**/sub/watershed technical committee**, assuring the needed coordination and harmonization of interventions on field, in liaison with extension and front-line officers.

They will have the general role of pushing forward the Integrated Programme rationale in the middle of the many community-level project activities.

2.2.4 Stakeholders interests

Stakeholder's interests would be respected at different levels. A rather favourable practice of stakeholder involvement in planning activities has already been established in both partner countries. Kenyan WRUAs undertake joint planning of MCAPs with a strong stakeholder involvement. Sector related stakeholder forums are organized at district/division level for ongoing activities and upcoming issues. With the new structure of WMZ in Uganda, technical Management Committees as well as Stakeholder Forums are foreseen at Sub-catchment level.

NBI has supported the creation of Nile Discourse Forums at national and regional level to provide a platform where opinions of the broader public can be brought forward.

Because of the multitude of activities to be deployed under IWMP, it would be good to have **Watershed Management Stakeholder Forums** in both partner countries, both at the level of the SMM sub-basin, as well as in districts or SWUs where a number of IWM interventions are foreseen.

2.2.5 Farmer Field Schools

At the level of project implementation, the concept of **Farmer Field Schools** (FFS) will be preferentially applied. This concept, already known and applied in both sides of the border, is described in more details in the Chapter 3 below.

2.3 Option 2: Focus on direct implementation at district and local level

2.3.1 National responsibilities

In the second option, WRMA and MEW through DWRM would be the implementing institutions and are leading a SMM-IWMP Management Committee gathering the different Ministries or other Institutions involved in the Project Implementation.

Unlike the first option, in this case the projects implementation is delegated to a specific **SMM-IWM Project Management Unit** responsible for the technical and financial executive management of the projects and sub-projects

The general scheme for institutional arrangement is presented below as Figure 2.

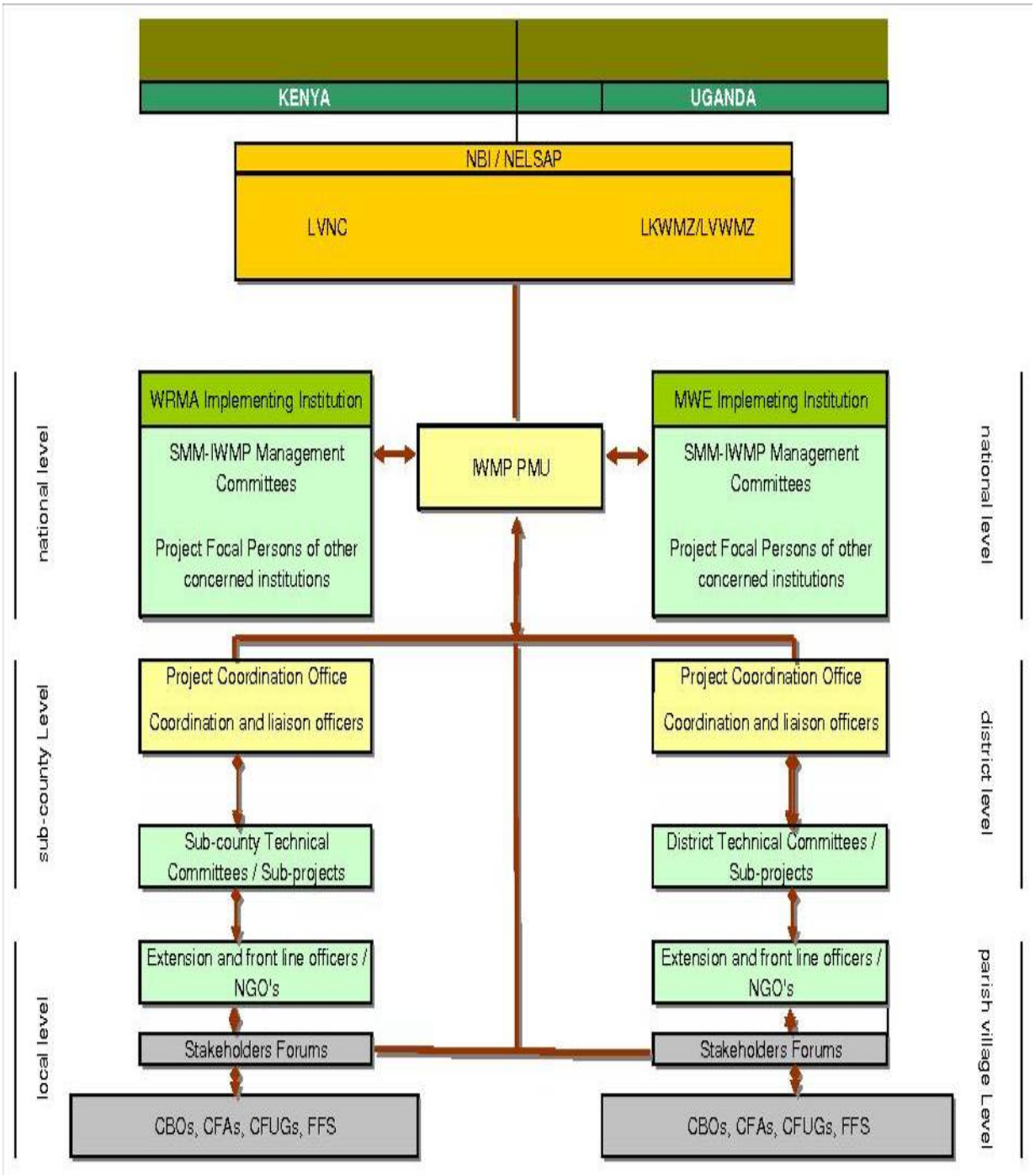

FIGURE 2: Organization Chart: Option 2

2.3.2 Transboundary coordination and agreement

In this option, the transboundary organization would be similar to the one in option 1 except that the role of the actual PMU of the SMM River Basin Project which would become a SMM-IWM Project Management Unit, ensuring the **planning, implementation and monitoring** of the activities.

2.3.3 District / Sub-county level

Based in the project area two coordination offices, responsible for liaising with IWMP PMU, will be hosted respectively by WRMA in Bungoma in Kenya and MWE in Tororo in Uganda, ensuring the sub-county/district coordination of activities in the Watershed.

These two offices will ensure the required level of coordination and harmonization of interventions in the area and with all concerned governmental line agencies representatives, gathered in a District**/sub/watershed technical committee**, responsible for coordination on field, in liaison with extension and front-line officers. The line agencies concerned by the different project components are indicated in the **TABLE 2** and **TABLE 2** above.

2.3.4 Stakeholders interests

The **Watershed Management Stakeholder Forums** would also take place in this option to allow participation of stakeholders in the decision making process, at the level of both the SMM sub-basin, as well as in districts or SWUs where a number of IWM interventions are foreseen.

2.3.5 Farmer Field Schools

At the level of project implementation, the concept of **Farmer Field Schools** (FFS) will be also the preferential applied mechanism, described in more details in the Chapter 3 below.

2.4 Information exchange

Fully transparent information exchange has been mentioned as one of the building stones for successful transboundary cooperation. It is also the best tool for building mutual confidence. Information to be exchanged, would, among others, include:

- annual status reports with summarized key data from hydro-meteorological and water quality monitoring databases,
- full data ranges on water quantity and quality from border river gauging stations,
- annual reports or progress reports on either part of joint watershed management activities or on interventions in one partner country with a bearing on the watershed conditions in the other.

The option also exists of a website with selective access where all information from either partner country is stored.

CHAPTER 3.Capacity Building and Projects Implementation at Community level

Depending on the projects, the approach for implementation of the projects through communities will be different. The main objective is to involve communities and generally local stakeholders in the decision process, planning, implementation on field and monitoring. Therefore the Capacity Building process will be mostly based on the **Farmer Field School** concept, with different types of associations included in these FFS according to the project or sub-project component proposed:

- For conservation agriculture component and agroforestry mainly implemented on private plots, the **Farmers Groups** will be targeted.
- For reforestation activities, intervention will be implemented directly with already existing, or newly created for the Project, **Community Forest Associations** (CFAs) or **Community Forest Users Groups** (CFUGs).
- For soil conservation and erosion control interventions, which may concern several private owners and communal lands, activities will be entrusted for implementation to a "**Soil Conservation Committee"** composed with stakeholders concerned by specific degraded areas
- For wetlands management, the creation of sound local institutional structures called **"Wetland Management Committees"** is proposed for implementation and subsequent management and maintenance of newly created assets. Those Groups or Committees will be composed of representatives of the main stakeholders and resource users and charged with management of wetland management units of about 25-30 km²; this size has indeed proved to be adequate in the Sio-Siteko project area.

3.1 Farmer Field Schools (FFS)

FFS is described as a platform or 'School without walls' for improving decision making capacity of farming communities and stimulating local innovation mainly for sustainable agriculture, but that can be applied to any other activity proposed by the IWMP like soil conservation and erosion control, wetland management, afforestation or agroforestry.

It is a participatory approach to extension, whereby farmers are given opportunity to make a choice in the methods of production through discovery based approach.

A Field School is a Group Extension Method based on adult education methods. It is a “school without walls” that teaches basic agro-ecology and management skills that make farmers experts in their own farms.

It is composed of groups of farmers who meet regularly during the course of the growing seasons to experiment as a group with new production options. Typically FFS groups have 25-30 farmers. After the training period, farmers continue to meet and exchange information, with less contact with extensionists.

FFS aims to increase the capacity of groups of farmers to test new technologies in their own fields, assess results and their relevance to their particular circumstances, and interact on a more demand driven basis with the researchers and extensionists looking to these for help where they are unable to solve a specific problem amongst themselves.

In summary therefore a Farmer Field School (FFS) is a forum where farmers and trainers debate observations, apply their previous experiences and present new information from outside the community. The results of the meetings are management decisions on what action to take.

Thus FFS as an extension methodology is a dynamic process that is practiced and controlled by the farmers to transform their observations to create a more scientific understanding of the crop / livestock agro-ecosystem. A field school therefore is a process and not a goal.

FFS also contribute to the following objectives:

1. Shorten the time it takes to get research results from the stations to adoption in farmers’ field by involving farmer’s experimentation early in the technology development process.

2. Enhance the capacity of extension staff, working in collaboration with researchers, to serve as facilitators of farmers’ experiential learning. Rather than prescribing blanket recommendation that cover a wide geographic area but may not be relevant to all farms within it, the methods train extensionist and researchers to work with farmers in testing, assessing and adapting a variety of options within their specific local conditions.

3. Increase the expertise of farmers to make informed decisions on what works best for them, based on their own observations of experimental plots in their Field Schools and to explain their reasoning. No matter how good the researchers and extensions, recommendations must be tailored and adapted to local conditions, for which local expertise and involvement is required that only farmers themselves can supply.

4. Establish coherent farmer groups that facilitate the work of research and extension workers, providing the demand side in a demand-driven system.

3.2 Stakeholders Forum

Stakeholder's interests must be respected at different levels. A rather favourable practice of stakeholder involvement in planning activities has already been established in both partner countries. Kenyan WRUAs undertake joint planning of MCAPs with a strong stakeholder involvement. Sector related stakeholder forums are organized at district/division level for ongoing activities and upcoming issues. With the new structure of WMZ in Uganda, technical Management Committees as well as Stakeholder Forums are foreseen at Sub-catchment level. NBI has supported the creation of Nile Discourse Forums at national and regional level to provide a platform where opinions of the broader public can be brought forward.

At the scale of the watershed the IWMP should contribute linking upstream and downstream communities to better manage the river catchment as a whole. This will be accomplished through planning and financing of proposed interventions to be deployed under IWMP while incorporate cross-community concerns. The creation of a **Watershed Management Stakeholder Forums** in both partner countries at the level of the SMM sub-basin will help reinforce the stakeholder's commitment and link between upstream and downstream resource users.