

**ADDIS ABABA UNIVERSITY
SCHOOL OF GRADUATE STUDIES**

**Department of Regional and Local Development
Studies**

**Assessment of Community Participation in Sida's *Woreda*
Support Program Activities in Amhara Region: The case
of Awabal *Woreda***

By: Addis Gedefaw

June 2005

**Assessment of Community Participation in Sida's *Woreda*
Support Program Activities in Amhara Region: The case
of Awabal *Woreda***

M.A Thesis Submitted to the School of graduates, Addis Ababa University for
the Partial Fulfillment of Masters of Art in Regional and Local Development
Studies, Addis Ababa University

Addis Gedefaw

June 2005

Addis Ababa University

School of Graduate Studies

-

Assessment of Community Participation in Sida's *Woreda* Support Program Activities in Amhara Region: The case of Awabal *Woreda*

By: Addis Gedefaw

Regional and Local Development Studies (RLDS)

-

Approved by the Examining Board

Signature

Chairman, Department Graduate Committee

Advisor

External Examiner

Internal Examiner

Acknowledgment

A good number of people have contributed for the accomplishment of this research work. However, some of them need to be explicitly acknowledged for the significant contribution they made for the successful accomplishment of the study.

I am very much indebted to Dr. Yeraswork Admassie for his unreserved and meticulous professional advice in framing the research work from the very proposal development to its final submission.

My research would not have been possible without the cooperation of key informants Ato Awoke Kassa, Ato Assefa Workie, Ato Habtamu Sahilu, Ato Belachew Getnet, and Ato Nigussie Yeneneh; and dwellers of Yesenbet, Wojel, Sikut-Ene-Gatra, Enebie Chifar, Tikur Adber Afring Amba, Yegodena and Gudalema, for their willingness to take part in focus group discussion and survey. I am also very much grateful to the *woreda* experts for responding to the interviews and to my brother Aragachew Gedefaw in accompanying me during the fieldwork. I am grateful to Ato Dessalegn at Regional PCU for his kind cooperation in providing necessary documents any time I need. I am grateful to the Addis Ababa University School of Graduate Studies for financing the study. I am also indebted to the University of Bahir Dar for financing me in the two years of educational leave.

I am very much grateful to my dearest brother Dr. Molla Gedefaw and my friend Abebe Genetu for spending all their spare time reading and commenting my research work.

I am also indebted to Dr. Mihret Ayenew and Ato Yigremew Adal for their professional advise, comments, and cooperation in my entire research work.

Finally my especial thanks goes to my parents Ato Gedefaw Birhanu and W/ro Haregishworq Teshom for especial attention and tender care they have given me since my childhood. Above all Glory is to God for his unspeakable gifts.

Table of Contents

	<u>Page</u>
Acknowledgement -----	I
List of Tables -----	V
List of Figures and Charts -----	VI
List of Annexes -----	VI
Abbreviations and Acronym -----	VII
Abstract-----	IX
Chapter One-----	14
Introduction-----	14
1.1. Background -----	14
1.2. Statement of the Problem -----	15
1.3. Objective of the Study-----	18
1.4. Research Methodology-----	18
1.4.1. Selection of the Study Area-----	18
1.4.2. Source of Data -----	19
1.4.2.1. Primary Sources -----	19
1.4.2.2. Secondary Sources-----	21
1.4.3. Data Presentation and Analysis-----	21
1.5. Scope and Limitation -----	22
1.6. Significance of the Study -----	23
1.7. Definitions-----	23
Chapter Two	
Defining and Measuring Participation-----	24
2.1. Definitions of Participation-----	24
2.2. Measuring Community Participation -----	30
2.3. Conceptual Framework of the Study-----	31
Chapter Three	
Community Participation: Experience of Development Partners in Ethiopia-----	33
3.1. Introduction-----	33
3.2. NGOs Participatory Development Experience-----	35

3.3. Government Experience-----	39
3.4. Bilateral and Multilateral Participatory Development Experience-----	42
Chapter Four	
The Study Area and Sida's Support Program in Amhara Region-----	47
4.1. Over View of the Study-----	47
4.2. Sida Support Program in Amhara Region -----	51
4.3. Management Modality of the Program -----	53
4.4. Budget Allocation of Sida's Support to Awabal <i>Woreda</i> -----	55
Chapter Five	
Data Presentation and Analysis-----	60
5.1. Characteristics of the Survey Respondents and Interviewees at the <i>Woreda</i> Offices-----	60
5.2. Planning Methodology and Community Participation in the <i>Woreda</i> Support Program-----	61
5.2.1. Participatory Planning During the First Program Phase (1997-2001)-----	61
5.2.2. Participatory Planning during the Second Program Phase (2002-2004)-----	64
5.2.3. Participatory Planning during the Third Program Phase (2005-2008)-----	64
5.3. Other Participatory Approaches in the <i>Woreda</i> -----	72
5.4. Participation in Implementation-----	74
5.5. Participation in Monitoring and Evaluation -----	77
5.6. Community Participation in Management of Development Projects ---	78
5.7. Water Point Projects: Sustainability and Management -----	79
5.8. Women's Participation-----	83
5.9. Participation of the Youth and the Elderly -----	84
5.10. Collaboration with Community Based Organizations-----	86
5.11. Limitations of Community Participation-----	87

Chapter Six	
Conclusion-----	92
References-----	95

List of Tables

Table 1. Respondents Educational Level -----	60
Table 2. The <i>Woreda</i> Staff classified by Service year in their Current Position --	61
Table 3. Number of Community Members that Participated in Planning Workshops in Awabal <i>Woreda</i> -----	62
Table 4. Knowledge about Establishment of KLPT and Participate during Election of KLPT-----	53
Table 5. Participation of Respondents in Implementation Phase of the <i>Woreda</i> Support Program Activities by Gender-----	63
Table 6. Respondents Knowledge about the WSP, attend Meeting about Development Activities and take Part in Implementation Classified by Gender-----	71
Table 7. Respondents Knowledge about the WSP, attend Meeting about Development Activities and take Part in Implementation Classified by Age-----	73

List of Figures

Figure 1. The Location of Awabal <i>Woreda</i> in Ethiopia Amhara Region, East Gojjam Zone-----	49
Figure 2. Road and Socio Economic Service of Awabal <i>Woreda</i> -----	50
Figure 3. Allocation of WSF (in Ethiopia Birr) into <i>Woreda</i> Development and Capacity Building from Year 1997/8-2001/2(First Program Phase)-----	59
Figure 4. The Allocation of WSF in Ethiopian Birr during Second and Third Phases of the Program-----	58
Figure 5. The Planning Process of Sida's <i>Woreda</i> Support Program in the third program Phase-----	66

List of Annexes

Annex I. Data Collection Instruments-----	99
Annex II. List of People Contacted-----	105

Abbreviations and Acronyms

ANRS	Amhara National Regional State
PADETS	Participatory Demonstration Extension and Training System
KLPT	<i>Kebele</i> Level Planning Team Members
DAs	Development Agents
ARARI	Amhara Region Agriculture and Research Institution
RRA	Rural Road Authority
ACSI	Amhara Credit and Saving Institute
FGD	Focus Group Discussion
FDRE	Federal Democratic Republic of Ethiopia
LLPPA	Local Level Participatory Planning
NGOs	Non-Governmental Organizations
ODA	Over Seas Development Assistance
WB	World Bank
USAID	United Nation of America International Development
OECD	Organization for Economic Cooperation and Development
MCDP	Multi purpose Community Development Project
PRA	Participatory Rural Appraisal
SARDP	Sida Amhara Rural Development Program
CEP	Community Empowerment Program
HIV/AIDS	Human Immunodeficiency Syndrome/ Acquired Immune Deficiency Syndrome
CBOs	Community Based Organizations
PCC	Program Coordinating Committee
PCU	Program Coordinating Unit
MoA	Ministry of Agriculture
WFP	World Food Program
WDCC	<i>Woreda</i> Development Coordinating Committee
WIBS	<i>Woreda</i> Integrated Basic Service Program
BoFED	Bureau of Finance and Economic Development
DoFED	Department of Finance and Economic Development
MoA	Ministry of Agriculture

WSP	Woreda Support Program
WSF	Woreda Support Fund
Ha	Hectar

Abstract

The Federal Democratic Republic of Ethiopia shows the political will to involve communities' participation in development by explicitly stating in the Federal Constitution and devolving power to the Woredas. In line with this, all development actors are attempting to make development intervention participatory. One of these is Sida Amhara Rural Development Program (SARDP) that is operating in East Gojjam and South Wollo Zones since 1997/8 in three program phases. One of the major components of SARDP is the Woreda Support Program (WSP) that is intended to increase the capacity of the Woreda and the community to administer development affairs. This study was aimed at investigating the participation of the community, the approaches used and problems encountered to realize community participation in WSP activities in Awabal Woreda, East Gojjam Zone. In addition to secondary data; focus group discussion, key informant in-depth interview, semi structured interview, and small-scale survey were used to address the research problems.

It was found out that Woreda Support Fund given to the Woreda was increasing through time to the extent of covering part of the recurrent budget and the entire capital budget of the Woreda; however, the power of the Woreda over the fund was decreased. The WSP used different participatory approaches in different program phases. In the first phase of the program, it used PADETS approach; in the second phase of the program, there was no methodology used; and in the third phase of the program, a representative KLPT from representative kebeles were chosen to involve in different stages of project cycle.

Community participation was increasing in implementation in terms of contribution of labor and material. They were supposed to cover 25% of cost of the projects in the first and second phases of the program and 75% of the cost of projects in the third phase of the program. On the other hand, their involvement in planning was reduced. It was virtually absent in monitoring and evaluation. Their involvement in managing and administering projects was also low.

Participation of different groups of the community was different. Youth, elderly and women participated less than that of adult men. Comparatively, youth participated better during implementation than did elderly; and elderly participated better in planning than did youth. The low participation of the community in different stages of projects was mainly because of the approaches used by the program and their poor implementation, high staff reshuffling and turnover, limited capacity of community members, lack of follow-ups on training of different stakeholders, lack of commitment by different stakeholders and

conflict of interest of dwellers in locating projects, and dependency syndrome of the community on the Government or other development partner.

Therefore, development actors are exploring community participation in Ethiopia; yet it is not well grounded as it is wrapped by social, political, cultural and institutional variables. Hence, realizing real community participation demands transforming these setups in a way that it reduces the impediments imbedded in them.

CHAPTER ONE

Introduction

1.1 Background

The concept of development, its major players, its measurement and approach have all been changed from time to time. The effort of international development agencies to assist developing countries has also been changed with change in development paradigms (Rondinelli 1993). In 1950s development assistance was mainly of sectoral development intended to industrialize and modernize developing countries. Then in 1970s, there was a shift towards integrated rural development targeted to the poor to attack poverty and bring about development. But the integrated approach to rural development was not successful as expected mainly because of failure of development planners to identify the socio economic problems and disregarding participation of the local community (Brohman 1996, Rondinelli 1993). As a result, another approach has been devised that emphasizes small scale, more qualitative, and holistic development strategy and tries to penetrate indigenous institutions to make interventions successful (Oakely 1990). This is an adaptive or process approach to development that values the participation of all stakeholders for effective, efficient and sustainable development intervention (Heck 2003, ODA 1995a).

Currently the governments of Ethiopia and Sweden made an agreement to work together on area based and participatory rural development in Amhara Region (Agreement between Governments of Ethiopia and Sweden 1997, ANRS/Sida Cooperation in Rural Development 1996). The rural development program was devised to support Regional Sector Offices, the *Woredas*, and other offices like Amhara Region Agriculture Research Institute (ARARI), Rural Road Authority (RRA) etc.

Sweden International Development Agency (Sida) has been undertaking rural development program in East Gojjam and South Wollo. This study concentrates on the *Woreda* Support

Program (WSP) component of Sida Amhara Regional Development Program (SARDP) in Awabal *woreda*, East Gojjam zone.

1. 2 Statement of the Problem

Poor people know best their own economic and social needs and have insights and ideas about what might be done to solve them ... participation of the poor and marginalized would be initiated to be an integral element of the work of all international donor agencies, recipient government, NGOs and other development organizations which develop project designed to benefit the poor (Long 2000:65).

The need to involve community members in development interventions, as argued by Long, has many advantages. Participation of the community in local development projects insures the incorporation of the preference and values of different groups of the community; improve accountability, transparency and commitment of stakeholders; and provide poor people more influence over their own lives (World Development Report 2000/1). Moreover, it helps to empower different groups of a community by promoting their participation in the selection, design, implementation, maintenance and management of development project. In addition, particularly to rural development projects, participation of primary stakeholders improves adaptation of innovations, enable wider coverage and promote understanding of problems, built local capacity, better target beneficiaries, help increasing sustainability, and improve the status of women (Clayton *et al.* cited in Karl 2001).

On the other hand, value of community participation is underplayed as time consuming and costly; irrelevant and luxury in situations of poverty; mainly flavored by ideology that give less attention to its practical output; practically resulted in a shifting of burden on the poor and relinquish the responsibility on national government to promote development with equity; destabilize forces and unbalance the existing socio-political relationship and affect development process negatively (Clayton *et al.* 1998, World Bank 2996:15).

The arguments for and against participation could not be far from the reality. However, there is a need to weigh the net benefit of community participation that depends on the kind and nature of interventions. Studies by ODA (1995a) and World Bank (1996) have revealed that community participation in projects that have only indirect impact on a given community or which are highly sophisticated for the local people may not be cost effective. Under such circumstances, the participation of the community should preferably be accommodated through the representation in political electoral system and through the participation of recognized civil society organizations (ODA 1995a, World Bank 1996:30). In natural resource conservation and management, water point and sanitation projects, however, community participation should be encouraged because they are very specific to the locality and inhabitants; as a result, the local people can manage and administer them sustainably provided that the necessary capacity building is given to them (ODA 1995a, ODA 1995b, World Bank 1996:30). These studies do not underplay the relevance of community participation in any kind of interventions. Community participation, rather, should be encouraged either through representative organizations in cases of big projects or directly in small and locality specific projects. But putting this in practice is compounded by different impediments. According to Mardson (1991) and Heck (2003) the major impediments are the following.

- Administrative structure and procedures, which are designed in such a way that the process is long, bureaucratic and accountability goes up wards not to the community.
- Institutional factors such as lack of participatory organizations, and rules and regulations that promote participation and insure the inclusion of the community's ideas and interests.
- Political factors related to ownership of power and resource by small number of people that move against those efforts intended to empower the community.
- Problems within the community such as lack of appropriate community organizations, organizational skills, communication facility, interest and integration of the poor.
- Low level of awareness, and experience about participation and its relevance that arise from lack of adequate information.
- Wide spread mentality of dependence, sense of frustration, distrust on officials, ignorance of their rights on organizing themselves and know how to move in this direction.

Moreover, lack of commitment, knowledge, and poor background by facilitators; and rush of implementing agencies to produce visible results such as construction of physical capital than investing on human capacity building are other factors inhibiting community participation (Heck 2003, Burkey 1993). These and other factors do make practicing real community participation at different stages of a project cycle difficult. This makes the whole process of development interventions end up without developing community capacity and installing sense of ownership in the community. As a result, realizing sustainability of development becomes less probable.

In Ethiopia, community participation in development process is traced back to the 1974 drought Episode when farmers were mobilized to soil and water conservation activities with FFW. But this was not successful because of recurrent drought, state violence and stifling political system of the Derg regime. The current government has shown the political will to involve the community in development and support their initiative and “devolve” Power to the woreda

Accordingly, different development partners have been trying to involve communities in their interventions. One among which is SARDP. The major tasks undertaken by the program are infrastructure development such as rural road, potable water, first cycle education schools, and health posts; agriculture and natural resource management; land use and land administration; capacity building; HIV/AIDS; good governance; and economic diversification (ANRS/Sida Cooperation in Rural Development 1996).

The plan for WSP was attempted to be developed in a participatory manner. Approaches to Participatory development were adopted through time. From 1997-2001, the approach was participatory Demonstration Extension and Training System (PADETS). Since 2004, however, a new approach was devised that have certain similarities with Local Level Participatory Planning Approach (LLPPA) in terms of taking sample from program areas and election of *Kebele* Level Planning Teams (KLPT) from and by the community. This study, thus, attempts to assess the

level of community participation in Sida's woreda support activities in Awabal woredas and problems that inhibit community participation.

1.3 Objectives of the Study

1.3.1. General Objective: To assess the level of community participation in the Sida financed WSP activities in Awabal *Woreda* of Amhara National Regional State.

1.3.2. The Specific Objectives:

1. To identify the mechanisms that have been employed to realize the participation of the community in the *Woreda* Support Program activities in Awabal *Woreda*.
2. To investigate community participation in id different stages of projects in WSP in Awabal *Woreda*.
3. To investigate the level of participation of women in WSP activities in Awabal *Woreda* as compared to their male counterparts.
4. To assess the level of youth and elderly participation in the WSP activities in Awabal.
5. To investigate the community's responsibilities in managing and maintaining development projects in the study area.
6. To identify the problems that impair the participation of the community in the WSP activities in the *Woreda*.

1.4. Research Methodology

1.4.1. Selection of the Study Area

Sida is undertaking rural development projects in two zones of the Amhara Region: Eastern Gojjam and South Wollo. The activities done by Sida in both zones are more or less similar. The study was conducted in East Gojjam for the following reasons:

- Most of the project areas are relatively easily accessible than those in the South Wollo.
 - The researcher is familiar to the area and knows some of the people working in the project.
- These were believed to simplify the problems potentially encountered during data collection. The *Woreda* Support Program (WSP) has covered virtually all *woredas* of the zone. The study was further confined to Awabal *Woreda*. The *Woreda* was selected owing to the fact that it is one among those *Woredas*, which has received the earliest Sida intervention, more accessible to collect pertinent and reliable information, and reduces the problems of time and financial constraints.

1.4.2. Source of Data

Primary and secondary sources were used to address the research objectives.

1.4.2.1. Primary Sources

Both quantitative and qualitative data were collected from different Sida employees at Regional and Zonal level, *Woreda* officials, community members, Water Project Committees and *Kebele* Level Planning Team Members (KLPT) from selected *Kebeles* of the *Woreda*. The techniques employed were Focus Group Discussion (FGD), key informant in-depth interviews, semi-structured interview, and small-scale survey.

Selection of Sample *Kebeles*

The primary data from the community were collected from seven *kebeles*. These *kebeles* were chosen purposively. The objective of the research being assessment of level of community participation on Sida's WSP in different phases of the project; it had obliged the researcher to include those *kebeles* that SARDP used as samples in developing the four year roll-plan in 2003. SARDP chose six out of 44 *kebeles* of the *Woreda* based on agro-ecological representation so as to develop the four-year rolling plan of the *Woredas* in 2003. Consequently, this study took all the six *kebeles* namely: Enebi-Chifar, Sikut-Ene-Gatra, Tiku adber-Afringe amba, Wojel, Gudalema, and Yesenbet. In addition, one additional *kebele* (Yegodena) was considered in this study so as to observe the activities of the *Woreda* Support Program (WSP) undertaken both in sample and non-sample *kebeles* of SARDP. Of these sample *kebeles*, some were remote and some were accessible with public transport; as a result,

the researcher collected data using Focus Group Discussion from accessible *kebeles*; whereas survey was undertaken in all sample *kebele* in market days.

Quantitative Data

Data necessary to describe the respondents, and level of different groups of the community's participation were collected through small-scale survey.

Sampling

The small-scale survey was conducted by drawing sample respondents from each of the seven sample *kebeles*. Data about the participation of different groups of the community at different stages of projects was collected by involving youth, adult, elderly, men and women. A total of 96 individuals (57 men, 39 women by sex) or (14 youth, 71 adults, 11 elderly by age) were interviewed using structured questionnaires. Because of inaccessibility of some of the sample *Kebeles*, respondents were captured in the *Woreda* town in two market days. The number of elderly and youth respondents in the sample was small because youths came to the market with their parents and they were afraid to talk to the researcher and parents preferred to talk on the behalf of their daughters and sons; and elderly did not usually come to the market. Thus the sampling method was non- probability convenience sampling. A minimum of 15 respondents were included in those sample *kebles* where FGD were not conducted.

Qualitative Data

These were obtained from Focus Group Discussion, key informant in-depth interview and semi-structured interviews.

Focus Group Discussion (FGD)

The FGDs were conducted with the KLPT, and Water Point Project Committees and community members about the way the committees are elected; the role and responsibility of the KLPT and Water Point Project Committees; trainings and supports given to them to properly discharge their responsibilities; and the problems they encounter in undertaking their tasks. These discussants were drawn from three *kebeles* in the *Woreda*: Gudalema, Enebie-Chifar and Yegodena as they were accessible by public transport the rest were too far to go on

foot and were outside the transport service. A total of six FGDs were conducted – two with KLPTs and the community members, and four with Water Point Project Committees and the community. A total of 34 people were involved in FGD. The FGD with KLPT and community members were made by mixing both males and females because the number of women who came for the discussion was too small to form one focus Group.

FGDs with KLPTs were undertaken in Enebie-Chifar and Gudalema. Three FGDs with community members and Water Project Committees were made of which one FGD was made with women alone and the rest two were with men, women, youth and elderly together. Considering the cultural problem of women and youth to actively participate in the discussion, the FGD was conducted by the researcher herself and a great deal of effort was made to make them be active in the discussion. In addition, those who were members of the KLPTs, or Water Project Committees had some experience to discuss with men and they were active in the FGDs.

Semi Structured Interview

Semi- structured interviews were conducted with a total of 13 *Woreda* staff members in Sector Offices of the *Woreda* about the mechanisms employed to involve different group of the community in each phase of a project cycle, and the problems encountered to increase community participation in the *Woreda*.

Key Informant In-depth Interview

Key informant in-depth interview was conducted regarding the mechanisms employed to involve the community in different phases of projects, how the planning process of Sida's *Woreda* Support Program was undertaken, and problems that inhibit community participation, with five people at Regional, Zonal, and *Woreda* level. One key informant was from the Regional Program Coordinating Unit, two from the Zone Program Coordinating Unit, and two from the *Woreda* offices where one key informant was from the Agriculture and Rural Development Office and the other was the focal person of SARDP in the *Woreda*.

1.4.2.2. Secondary Sources

Journal articles, books and other unpublished reports related to the issue under study were consulted. Researches conducted on areas of community participation and rural developments in Ethiopia were reviewed. Especially, documents of Sida on community participation in development projects, program documents, evaluation reports and other documents having some kind of relation to the study were closely referred.

1.4.3. Data Presentation and Analysis

Data collected for analysis were presented in tables, simple graphs, and charts. Descriptive statistics and thematic narrative was used to comprehend, interpret and explain the findings.

1.5. Scope and Limitation

While Sida Amhara Rural Development Program encompasses many components, the study concentrated on WSP activities. Although there are many kinds of activities being undertaken within the program, the study emphasized on assessing the different groups of the community's participation in different stages of projects cycles and identifying the problems hindering community participation in Sida's WSP activities in the study area.

By virtue of the research design, case study of the *Woreda* in seven *kebeles*, the finding may not take us to generalize about the rest of Sida project components and the same component in other areas as well. The other possible limitation of the study is its nature being one time and snapshot of the whole participatory process. That is, while evaluation of community participation is advisable to be done in process that requires data collection at different period during the process the study is a snapshot of it. To compensate this drawback, documented reports about the WSP activities and past participatory performances of the Program were given much attention.

Moreover, the sampling technique employed was one of purposive – non-representative sampling – hence it does not provide equal chance for all elements in the population to be

included in the sample. Besides, the researcher planned to include youth, elderly, adult, and male and female to be included at equal proportion in the sample, however, because of the remoteness of the sample *kebeles* the sample respondents were from those people who were able to present in either of the two market days the data were collected. As a result, elderly and youth and females were less represented in the sample as male adults were more available in the market and this might have an impact in the assessment of these groups of the communities' participation. In addition, the fact that the data were collected in the market day may seem that the respondents would be preoccupied with their market and might not provide full information. However, to avoid this, the researcher collected the data from those people who finished their marketing and were willing to spare time to respond to the questions.

1.6. Significance of the Study

The finding of the study will help SARDP to recognize its strengths and weaknesses on the community's participation in WSP activities in the *Woreda* and to seek for a better approach. It will also allow other Non-Governmental Organizations (NGOs) and development partners to learn as to how to practice community participatory and empowerment approach to development. The government can also draw lessons on effective decentralization and participatory development at *woreda* and *kebele* level. Moreover, the findings will also contribute in providing some information for any interested party on how SARDP is trying to involve the communities in the WSP on the study areas. It may inspire other potentials researcher interested in issues of community participation and decentralization.

1.7. Definitions

In this study Youth are people with an age that lie in the range of 15-24 inclusively and Elderly are people with age greater than 64.

This age categorization is taken from the Ethiopia Social Security and Development Policy (Ministry of Youth, Sport and Culture 2004). The age gap for youth used in this research is

different from the age gap used in Ethiopian Youth Policy (Ministry of Youth, Sport and Culture 2004). The researcher is interested to comply with the age category given by the Ethiopian Social Security and Development Policy because the participation of youth studied here is in development affairs; moreover, the same categorization is also used by international organizations such as United Nations (Ministry of Youth, Sport and Culture 2004).

CHAPTER TWO

Defining and Measuring Participation

2.1. Definitions of Participation

Academicians, development agencies, and politicians have used the concept of participation differently. It is so an elastic concept that can be used or abused; as a result, many agencies attempt to define what they mean by participation in their own context (Clayton *et al.* 1998, Heck 2003: 2, Burkey 1993: 57). World Bank (WB), Overseas Development Administration (ODA) and USAID consider participation as sharing of activities, resources, and decision makings in the development initiatives by all those who have interest on the intervention. Here are definitions of participation in their own words.

(WB 1996: 12) a process through which stakeholders influence and share control over development initiatives and the decision and resources which affect them.

(ODA 1995b: 94) the process whereby all those with an interest play an active role in decision making, and in consequent activities which affect them.

USAID the active engagement of partners and customers in sharing ideas, committing time and resource, making decisions and taking action to bring about a desired development objective (Long 2001: 15).

OECD on the other hand defines participation as mutual respect among parties involved in the development process to bring both technical and indigenous knowledge together, give due credit for them and work jointly for development. It says that;

Participatory development stands for partnership which is built upon the basis of dialogue among the various factors during which the agenda is jointly set, and local views and indigenous knowledge are deliberately sought and respected. This implies negotiation rather than the dominance of an externally set project agenda. Thus people become actors instead of being beneficiaries (Clayton *et al.* 1998).

In all above cases, participation is sharing of activities, resources and responsibilities in a certain intervention. Basically, participation is sought to make development intervention successful by using local knowledge, intuitions, material and labor resources, and scientific knowledge. But the definitions do not emphasize the point that success of development interventions can be maintained through the capacity and willingness of the beneficiaries to maintain and to make the benefit sustainable after the withdrawal of the external parties.

Participation is also defined in relation to democracy, human rights and human growth. According to Rudqvist (1992), participation is the right to human beings that should be protected and supported like other human rights. Rudqvist defines participation as follows.

Participation is a basic democratic right that should be promoted in all development projects. It is also considered as a means of increasing efficiency, effectiveness and sustainability in development projects (Rudqvist 1992 quoted in Long 2001: 15).

(Burkey 1993:15) defines participation in relation to human growth as an essential part of human growth that is the development of self confidence, pride, initiative, creativity, responsibility, and cooperation.

Without ignoring the relevance of participation as a means of making development projects successful, participation in the above two definitions is seen as an objective of development and human growth to be achieved and is an issue of human right. Here, participation goes beyond its

instrumental value for success of development intervention and is taken as a process that leads to empowerment.

Different definitions of participation presented here give insight about the concept of participation, its broadness, and differences among and between scholars and international organizations in conceptualizing and practicing participation. It is possible to say that definitions of participation raise three basic ideas; namely, participation is a means of making development projects successful, is a basic human right that should be promoted, and is one objective of development as it is an indicator of human growth and development. These three points anchor the concept of participation.

The basis of classifying participation lies mainly on considering it as a means and/or as an end. Classification of participation varies from one person to another and there is an overlap in the classification and use of the terminologies by different authors; however, many of the issues raised are similar.

Here are the classifications of participation by different individuals that will help present the concept of participation.

Heck (2003) has classified participation into three as follows:

1. Induced involvement: Beneficiaries take part in the implementation of projects through material or labor contribution and obtain certain benefit.
2. Transitory mobilization for community development: Community participates in certain specific temporary tasks mainly for development of the community but lacks institutional basis or organization for sustained participation.
3. Group formation: The project is intended to establish new or strengthen existing self formed and self run organizations through which the rural poor gain access to resources, inputs and decision making for interventions and self proposed actions too. Heck's classification of participation considers group formation as the highest level of participation. It emphasizes that if development intervention is meant to be sustainable, organizing the community among other things is crucial. Thus is because local organizations established by community initiatives are necessary conditions for rural development (Esman and Uphoff 1984). They argue that local organizations' contributions to rural development play a major role in efficient use and equitable share of resources and empowerment of members. They are preferred to be the best channels for

rural development efforts particularly in resource poor areas of most developing countries (Esman and Uphoff 1984). That is why Heck considers group formation as the highest level of community participation.

Clayton *et al.* (1998) classified participation as nominal, instrumental, representative and transformation. In nominal and instrumental type of participation, people's participation is used as a means of legalizing development intervention and sharing cost of the project. Representative form of participation encourages community participation to increase efficiency and sustainability. In transformational type of participation the beneficiaries are empowered to have access to and control over resources.

Yeraswork (2000:37), on the other hand, classified participatory development into three as mobilist, instrumentalist, and radical. The mobilist model to participation conceives people's participation in terms of contribution of resources. The instrumental model of participation encourages communities' involvement for raising efficiency and success of rural development interventions. The radical model, on the other hand, goes beyond the instrumental value of participation and considers participation in terms of empowering communities to have access to resources.

The classifications used by these three authors are different but they have similarities. That is the mobilist per Yeraswork's classification, the induced per Heck's classification and the nominal and instrumental per Clayton *et al.*'s classification are similar in a sense that they does not credit the relevance of community participation *per se*; they rather considers participation as a means of reducing cost of the project from the side of sponsoring agent. Consequently, Yeraswork argues that this model – mobilist – is not part and parcel of the new rethinking of participation. Therefore, they are fictitious by which community participation is contrived and manipulated.

The representative per Clayton *et al.*(1998) or instrumentalist model per Yeraswork (2000) uses participation as a means of making development successful and sustainable. This is possible when there is some influence by the beneficiaries on the interventions' decision making process.

It is here that real community participation starts. This kind of participation model anchors the concept participation as a means of making development projects successful. But making participation as a means does also lie in a continuum. It ranges from using community as source of information so as to get clear picture of development problems in one hand to considering community as partners that help define problems, device strategies and implement it accordingly on the other.

When community members are considered as partners, like other stakeholders, community members are involved in decision-making and negotiations not primarily to empower the community but to make intervention successful and sustainable. But this level of participation lies the ground and bridge the gap from using participation as a means to making it as an end.

The radical model per Yeraswork or transformation form per Clayton *et al.* of participation on the other hand considers participation as an end and objective which is intended the primary stakeholders to have access to scarce resources, decision making and power to negotiate, protect their interest and pursue their own activities with their own initiatives.

In using community participation as a means of making interventions effective and sustainable, accumulation of wealth increases in one hand and community's negotiating skill, awareness of problems and presenting them in constructive manner will improve on the other. This, in the long run, will, therefore, lead to development and empowerment. However, empowerment is related to power that can arise from political position, property ownership, or possession of skills and knowledge. These are embedded in certain kinds of institutional framework which are neither simple to dismantle nor are costless.

On the other hand, participation is advocated as a component of human right, democracy and politicizing it without considering its benefit. Although development is not nested from politics, the issue of participation in rural development should at least have instrumental value if it is meant to make rural development intervention successful.

One thing that is equally or even more important in participation is that community members are not identical groups living in a certain area (Burkey 1993). There are different strata in a

community based on property ownership, political power, sex, age, ethnicity, et cetera. These groups of the community are not at equal setting to equally participate in any kind of intervention (Burkey 1993, Yeraswork 2000). Participation when it comes to decision making, negotiation and partnership is tied with power at local level as well: the better off, elite and men are in better setting to participate more than the poor, women, youth and minorities (Burkey 1993).

Participation is also an evolutionary process that can develop through time (Clayton *et al.* 1998). More importantly, this implies the fact that participation should also be seen as one among the objectives of a project. That is why in recent years process approach to project is preferred over the blue print approach (ODA 1995a).

Besides participation of the community can take place at different stages of a project cycle with different degree. It can take place at planning stage, implementation stage or during evaluation stage (Clayton *et al.* 1998, Long 2001).

According to Clayton *et al.* (1998), level of community participation ranges from manipulation level to self-management level. It is classified as manipulation, information, consultation, consensus building, decision making, risk sharing, partnership and self management.

The level or intensity of participation of primary stakeholders at each stage of a project cycle can be information level, consultation level, and cooperation and partnership level or self-management level. In manipulation and information level of participation communication is only unidirectional where the project initiators – external agents – will indoctrinate what they want and solicit labor and material contribution. But there is a big difference between these two in a sense that in manipulation level, participation is contrived for indoctrination; so, it is non-participatory. In information level, however, participation is aimed at concientization and increasing awareness of stakeholders about their rights, responsibilities and options. This is where the real participation begins.

In consultation level, communication is bi-directional, but there is no assurance that the community's inputs are considered as they intended at the final analysis.

In the next three classifications – consensus building, decision making and risk sharing – the difference is too tiny and are considered here as similar. Here the stakeholders do negotiate, bargain and decide on it and take risk on failures of the outcomes of the decisions. The leverage on reaching at a decision is different by different stakeholders. In cases of partnership level the relationship entails exchange among equal parties in terms of mutual respect towards a mutual goal. Self-management is the highest level of community participation where beneficiaries are both willing and able to sustain existing projects and take new initiatives. Long (2001:70-73), in her classification of participation as instrumental and transformational, identified different mechanisms used to solicit a certain kind of participation. She pointed out that informing community members, consulting them, and joint assessments are some of the methods used for soliciting instrumental kind of community participation. And shared decisions, collaborations and support to self-management are used to make participation transformational.

2.2. Measuring Community Participation

Indicators for measuring participation of primary stakeholders can be selected by donors, the recipient implementing agency or the primary stakeholders themselves. Work on this field is relatively new and donors are still developing new practices (ODA 1995c). It is indicated in the same source that the qualitative, quantitative and time dimensions of indicators are used to measure participation.

The qualitative indicators are more difficult to specify and make use of them; partly because of the interpretative leeway associated with them. The time dimension of indicators is more important for managing project implementation and monitoring, and directing stakeholders' attention to the phasing of participation. Some of the quantitative indicators are composition and number of people participating in key activities such as project workshops, training events and physical implementation; institutional arrangements; mobilization of resources by beneficiaries; maintenance and continuity of projects. Whereas some of the qualitative indicators are the way groups are expected to achieve stability, kind of capabilities, behavioral characteristics the participants are expected to display, and increase of self-reliance by the participants in

undertaking different activities (ODA 1995c). To measure participation properly, it is preferable to use qualitative, quantitative, and time dimension indicators. However, the qualitative indicators are more subjective and difficult to apply. The time dimension indicators, on the other hand, make the project to be too costly because under such condition planning about the kind and number of activities to be accomplished is difficult to define within time limit. When development activities are planned to be accomplished within project calendar and serve as performance indicators, the ability to respond to specific local needs and problems as well as build capacity of beneficiaries and their institutions will be reduced (ODA 1995c). The external agent's role is to assist the process; they cannot direct the beneficiaries to move into a certain direction but the beneficiaries determine it through time (Burkey 1993). This is unrealistic and no one can support beneficiaries to move in any direction they wish with no time limit and with no specification on kind of intervention. Quantitative indicators are commonly used to measure participation. Therefore, community participation cannot be fully measured because the time dimension indicators and qualitative indicators are difficult to apply.

Some of the indicators the researcher used are composition and number of people participating in key activities such as in trainings, planning, and implementation and in monitoring and evaluation, and the number of times workshops are conducted in a year.

2.3. Conceptual Framework of the Study

Because participation is an elastic and normative concept assessment it in participatory development projects needs some kind of specification on how participation is looked in the process. A framework in describing and analyzing participation in development is developed by Cohen and Uphoff (1980). This framework is rigorous in trying to describe participation from two viewpoints.

1. Dimension of participation that is concerned to the kind of participation, the set of individuals involved in the participatory process and the various features of how that process is occurring.
2. The context of participation that focuses on the relationship between rural development projects characteristics and the pattern of actual participation.

The research is more interested on some of the dimensions of participation that is derives from Cohen and Uphoffs' participation framework.

For specifying the area of interest of the study brief overview of the what kind of participation, the who participates and how participation is taken place is described as wrote by Cohen and uphoff(1980).

What kind of participation describes whether participation is occurring in decision making or in implementation.

Participation in decision making could be could be the involvement of people in initial decision making or in an ongoing decision making. In initial decision making participants are involved in idea generation, and problem identification so as to know the area of intervention. In an ongoing decision making the involvement of people is considered in terms of organized community groups' intervention in substantive activities during the operation of the projects.

Participation in implementation in implementation could be in terms of contribution of resources, administering and coordinating efforts and management of projects, and in program enlistment.

Participation in terms of resource contribution can be material, labor or cash contribution for accomplishment of development projects. Participation in coordinating efforts and administering projects as members of advisory board or decision making board; they can be members of voluntary association of project committees established for coordinating efforts and administering projects.

Participation in enlistment is the enlistment of people into projects and being beneficiary or victim of the consequence.

Who participates?

Who are participating in development intervention is another dimension of that participation can be assessed in development interventions. The participants can be the local residents, local

leaders, government officials, or foreign personnel. Personal background characteristics such as gender, wealth, occupation, social class, age, etc are some of the variables that need attention in analyzing who participates.

How participation occurs?

The how dimension of participation tries to see whether the initiative of participation come from above or below, voluntary or coercive, and channel of participation is individual or collective.

This study, thus, tries to assess the participation in different stages of projects –from planning to monitoring and evaluation and project administration. By way of doing so participation is assessed from what and who participates dimension. From what kind of participation decision making, participation in resource contribution and coordinating efforts and management of projects viewed in the study. From the viewpoint of who participates the topic of the research specifies the participation of local residents, and background characteristics particularly of age and sex of respondents is receive attention in assessment of community participation. In addition more of the measurements in addressing these dimensions rely on quantitative indicators discussed in 2.2 of this paper.

CHAPTER THREE

Community Participation: Experience of Development Partners in Ethiopia

3.1. Introduction

Although it is difficult to compare the governmental structure of different regimes; that is the Imperial, the *Derg*, and the current Government, it can be said that the trend of Ethiopian Governments is towards pushing its own tentacles to the lowest possible unit of the society. The Imperial State depended on the various forms of ruling that extended to power sharing at local political level (Helland 2004) and the lowest Government structure was *woredas*. The two subsequent Regimes have in various ways increased and intensified state penetration down to *kebele* level in the *Derg* Regime and to *got* and Government team level in the current Government (Helland 2004).

Helland argues that the move of the government structure down to the lowest unit particularly during the *Derg* Regime had challenged civil society organizations. However, in many of the Ethiopian community, the State structure at best operates in parallel with well-established indigenous institutions (*yehager shimagle, iddirs* etc). These indigenous institutions are clearly outside both the state and the market which can be more effective in functioning civil laws, management of natural resources, mutual assistance and self help activities that are major area of intervention by development actors (Halland 2004).

Rural development projects and programs in Ethiopia have been characterized by top down imposition (Orgut/Dangro 1996). According to Orgut/Dangro, this is because of different macro level factors among which recurrent drought, uncontrolled population growth, inappropriate land use policy, shortage of land and landlessness, poverty and state violence operate together to create a political atmosphere that is highly centralized that did not give chance for other stakeholders. Beginning towards the end of the *Derg* Regime, a number of development programs have been attempted to work on participatory orientations.

Following the demise of the *Derg* Regime, the current Government has explicitly stated in the Federal Constitution Chapter 10 Article 89 no. 16 that the Government shall at all times promote the participation of people in the formulation of policies and programs (The constitution of FDRE 1995). It shall also have the duty to support the initiative of the people in development endeavor. Moreover, the current reorganization and decentralization of the State structure down to *woreda* level and the political will for participation of people can make efforts of development interventions more participatory, flexible and able to exploit the advantages of local organizations. This can be fruitful if the development partners have the initiative of making it participatory.

Community' participation in development process in Ethiopia is traced back to the 1974 drought. It was at this time that farmers mobilization were started to construct physical soil and water conservation structure through Food For Work Program (Lakew *et al.* 2000).

Without any socio -economic and socio- cultural assessment, efforts and resources were channeled to water shade planning and implementation that emphasized on the technical solution

and top down mobilization campaign supported by Food For Work Program (Lakew *et al.* 2000, Yeraswork 2000, Gahi and Vivian 1993). Although these programs covered a large area of water shade, the efforts ended up with glaring failure for its inappropriateness that ignore the socio economic and institutional set up of the localities (Orgut/Dangro 1996).

The number of NGOs in Ethiopia before the 1974 famine was very few – less than 30 NGOs. The famine caused a number of NGOs from the west to take up emergency work in the country and many remained in the post-famine period to undertake various rehabilitation and development efforts. The number of NGOs increased since then – from less than 30 to 100 by 1990s (Kassahun 2002).

The political will of the Government, the increasing number of NGOs, bilateral and multilateral organizations have a potential impact for increasing use of participatory development mechanisms at different level and approach. A bird's eye view of participatory approaches in increasing community participation by NGOs, Government, and bilateral and multilateral organizations are presented in this part of the study.

3.2. NGOs Participatory Development Experience

1. Ethiopian Red Cross Societies Upper Mille and Cheleka Catchments Disasters Prevention Program.

As pointed out by Orgut/Dangro (1996) and Yearswork (2000), the location of the Upper Mille and Cheleka Catchment Disasters Prevention Program was in the old *Awrajas* of Ambassel, Kalu and Dessie Zuria in South Wollo Zone. It was launched in 1985 and completed in 1993. Its major objective was integrated conservation based rural development program whose major components were water resource development, improved crop production, land management, community health, and disasters prevention through establishment of grain stores.

The program had attempted the Participatory Rural Appraisal methodology (PRA) for participatory planning at peasant association level. Nonetheless it was indicated that it was not acted upon (Orgut/Dangro1996). Yeraswork (2000) has revealed that the program was top down and the resource conservation practices were undertaken by avoiding grievances from Peasant Associations and dwellers. The program used peasant association leaders that functioned as an arm of the State and when some leaders wanted to comply with the ideas of the community and tend to resist the conservation activities the program enforced them by saying that they would report to the next higher body if peasant association leaders resisted.

2. Borena Pastoral Water Development Project-Care Ethiopia

Borena Pastoral Water Development Project run by Care Ethiopia has started its operation since 1984/5. Care Ethiopia has started its operation initially to relief and rehabilitation. A study by Abraham (2002) on Borena Pastoral Water Development Program has found out that the participatory development message has never been integrated into its activities, and as a result, operational interpretations of the approach have remained quite unsuccessful. The study has revealed that in most of the development activities of projects, people's participation has emphasized the contribution of cheap labor and material. Training to community members, organizing them or supporting the existing local community organizations were virtually absent in Borena Pastoral Water Development Project-Care Ethiopia.

3. Merry Joys

An Ethiopian Nurse, Sister Zebider, has established a local NGO in 1994, Merry Joys. The project is located in Addis Ababa, *Woreda 25*, in three *kebeles*. The NGO operates on health, HIV/AIDS, environmental sanitation, education, social promotion and micro credit. According to Helland (2004), community participation in this NGO is institutionalized through joint committee formation from the NGO, *kebele* administration, and Community Based Organizations. The joint committee – Community Development Committee – is composed of *kebele* chairperson, *Kebele* development committee, and local *iddirs*. The community members elect the members of the committee in a big meeting. This committee is responsible to participate in strategic planning of the NGO, and in the entire cycle of project activities. It assesses *kebele* problems, prioritize area of intervention, and mobilize community resources. It also screen

beneficiary children for the non-formal education and women for saving and credit services. The NGO was working with 32 local *iddirs*. It has been revealed during evaluation that the *iddir* is the right point of intervention for many reasons chief among which are the following (Helland 2004):

1. The monthly *iddir* meeting serves as forum for education about HIV/AIDS, reproductive health, and child right; and to directly communicate with the dwellers.
2. Interventions with such indigenous institutions will be efficient, successful and sustainable provided that it is participatory and build the capacity of CBOs.
3. *Iddir* leaders have great influence to mobilize community's resources as each household belong to at least one *iddir* and has informal sanctions levied on non-participants.

4. Multi Purpose Community Development (MCDP) Projects

MCDP is another local NGO engaged in urban community development work in Addis Ababa, founded by Ethiopian voluntary professionals in 1995. It operates in three *kebeles* of *Woreda* 8 in Addis Ababa. The activities of this NGO include provision of non-formal education for trafficked children, construction of communal latrine and kitchen, construction of public library, and provision of credit services.

Hellands (2004) has found out that structure of community participation in the project is different from Merry Joys. The MCDP established its own structure at different levels of the community that is made up of the following:

1. It has Neighborhood Groups composed of 25-40 households represented by one contact person.
2. Every five Neighborhood groups form the next higher structure called the Zone, and
3. Three to five Zones form the highest participatory structure at *Kebele* level.

All the individuals at Neighborhoods, Zones, and *Kebele* level are elected democratically.

The *Kebele* Development Committee Members and MCDP program staff form the highest organ of the structure established at each *Kebele* level. Accordingly, the Development Committee Members oversee and participate in the entire project activities including in the evaluation phase. The Committee mobilizes community's resources, select credit and non-formal education beneficiaries, and lobby city Government Officials for securing free space for some constructions. The community structure is organized in a way that different duties are assigned for different groups at different levels. It is also indicated that community representatives at different level are those who are working in different positions in *iddirs*. One impressive feature of the MCDP is that community participation institutionalizes children participation through Children Development Committee and reacts upon their needs.

The experience of different NGOs in community participation as observed in the above NGOs is different; they operate in different settings – urban and rural –, have different objectives and approaches, and insure different level of community participation. Some NGOs do have neither special approach to solicit real community participation nor they seem to have a real understanding of what community participation is all about. For instance, in the case of Care Ethiopia Borena Pastoral Water Development Project, community participation is taken to be similar to community mobilization for free labor and local material contribution for precooked development intervention. This– mobilist – approach to development projects cannot be categorized under the new rethinking of participation as argued by Yeraswork (2000:37). Therefore it is non- participatory development program.

The Red Cross Society's Upper Mille and Cheleka Catchment Disasters Prevention Program was claiming that it had been practicing real participatory planning using different Participatory Rural Appraisal (PRA) tools. But in actual sense it was using the normal Ministry of Agriculture activities and extension system of the period at *kebele* level that was of purely top down and communities' views was completely ignored (Yeraswork 2000). The problem of less participatory nature of the approach is ascribed to the existed Marxist regime project implementation system (Yeraswork 2000).

The local NGOs – Merry Joys and MCDP – have attempted to institutionalize community participation using newly established community organizations or using the existing ones. The representatives of the community are also authorized to participate not merely in providing information for project identification but also in decision making of any sort including developing strategic plan such as in Merry Joys. It is also indicted by Helland (2004) that the community elects the representatives democratically. It can be said that community participation in general in these two local NGOs has reached the extent of sharing decision-makings and collaboration through representation. The fact that the community involvement is through organizations does set the stage for the next higher level of community participation.

However, when we look at participation from the side of different community groups, the evaluation report does not say anything about women representation. Moreover, the length of time the committee will be in power, rotation of leadership, training to upgrade technical and managerial capacity of the committee members and support to strengthening institutional and financial capacity of organization did not receive much attention. But institutionalizing participation of children in MCDP projects is a new beginning because it is a step forward to recognize and take into account the interest, views and priorities of children in local development.

3.3. Government Experience

1. Local Level Participatory Planning Approach and Participatory Demonstration, Extension and Training System

In response to the drought episode of 1974, there was an attempt to mobilize affected farmers to construct structures through Food for Work Program (Lakew *et al.* 2000). Soil and water conservation technicians determined the planning and implementation approach in soil and water conservation without consulting the surrounding peasants. Review, however, disclosed that the approach had affected the chance of trust building and partnership with farmers, which were manifested in the destruction of the structure and lack of willingness of the community to maintain it (Betru 2002, Lakew *et al.* 2000, Yeraswork 2000).

That kind of soil and water conservation approach was abandoned and a minimum planning scheme, latter developed into Local Level Participatory Planning Approach (LLPPA), was started (Lakew *et al.* 2000, Orgut/Dangro 1996). The minimum planning methodology was developed by the end of 1989 by Food and Agriculture Organization in collaboration with the ministry of agriculture. In 1993 the Ministry of Agriculture Natural Resource Development and Environmental Protection devised LLPPA as a guideline to undertake projects in Ethiopia.

Orgut/Dangro (1996) have pointed out that LLPPA is grounded on the principle that conservation based land use planning must benefit from the best of two worlds: one from the Development Agents (DAs) technical skill packages and the other from *woreda* expert local *kebele* chairperson or other position holders of community representatives who identify farmers needs, problems and suggestions. LLPPA adopted a number of participatory techniques such as local mapping, problem ranking, transact walk and many other PRA tools which encourage the community for active participation (Betru 2002).

In principle LLPPA is undertaken in the following procedure (Orgut/Dangro1996, Humphery undated).

1. On the basis of agro climatic zone and socio-economy of the surrounding area, a representative community as a unit of planning process is elected.
2. Initial meeting with the community or target group is conducted during which the planning process is described and the needs for commitment of the group are stressed and planning team is elected. The team is composed of DAs, *woreda* experts, local *kebele* chairperson, or other position holders, community leaders, farmers, religious leaders and women farmers.
3. DAs carryout the problem identification and description of target area with the team by using questionnaires and other PRA tools.
4. Soil and water conservation based development measures are selected by bringing together the farmers problems and priorities with the result of the field survey on landscape condition, soil and land use.

LLPPA initially advocated by World Food Program (WFP) was widely applied throughout Ethiopia in WFP projects, as well as in those implemented by other agencies. Ministry of Agriculture (MoA) had adopted the approach and used for all community based work.

The MoA uses different approaches in agriculture and extension services. The approaches being used have been modified and adopted through time. The approach currently used by MoA is the Participatory Agricultural Demonstration Extension and Training System (PADETS), which is operational since 1995.

This approach was adopted from Sasakawa Global 2002 extension strategy initiated in Ethiopia in 1993 by Sasakawa Africa Association in Sasakawa Global of the Carter Center (Belay 2000, Habtemariam 1997). The objective of PADETS is increasing production and productivity of small scale farmers through research generated information and technologies, empowering farmers to participate actively in the development process, increase the level of food self sufficiency and so on (Belay 2000).

The study by Belay (2000) that covers the Amhara, Oromia, Tigray and South Nations, Nationalities People Region State has revealed that the extension work in the country has not been participatory because the programs and policies have been formulated without considering farmers' opinion and their indigenous knowledge system. Moreover, PADETS limited coverage; short of land and finance by potential beneficiaries to take part in it, and involvement of extension agents in non-extension activities are found to be the most important barriers to the adoption of modern agriculture inputs, and less farmers' participation (Belay 2000).

2. *Woreda* Level Decentralization and Participatory Development Planning

The 1994 Ethiopian Federal Constitution paved the way for decentralization initially to regional level with an intention of extending it to *woreda* level. This has initiated a new kind of participatory planning at local level (Hangingham 2003). Block grants have been started to be given to *woreda* since 2002 as a means of empowering local community, democratization and improving service delivery. Hangingham (2003) has found out that, following the

decentralization process, different institutions – government team, sub *kebeles*, *kebeles* and *woreda* – are involved in planning. Planning is undertaken annually. He has indicated that planning process initiated at local level (government team or sub *kebele*) is performed under a series of community consultation. This is aimed at identifying the problems facing communities and ranking these problems in order of priority until it is completed at *woreda* level. This process is assisted by DAs. According to Handingham (2003), the priority lists developed at local level are sent up to the *kebele* where *kebele* officials with DAs consolidate them into a single priority list for the *kebele*. Again at *woreda* level, *kebele* priorities are aggregated and segregated into sectoral groups by finance and economic development office and passed on to the concerned sectoral desk and finally form a *woreda* plan. It has been found out that the merging of priorities undertaken at different community level reduces the involvement of people at grass root level to the extent of problem identification. The actual planning and decision making is made at *woreda* level. Therefore, it can be said that community involvement at *woreda* level due to decentralization is limited to consultation at problem identification level. They neither do have any kind of involvement in the actual planning nor in the evaluation process(Hangingham 2003).

In principle it is indicated that *woreda* councils – the highest body at *woreda* level – holds quarterly meeting with *gots*. The quarterly meeting is intended as a feedback mechanism to the people over the outcomes of their need identification and prioritization exercises.

3.4. Bilateral and Multi Lateral Participatory Development Experience

1. Integrated Rural Development Approach: The WIBS Program

The *Woreda* Integrated Basic Service (WIBS) focuses on area specific objectives that are based on decentralization and consultative planning process carried out between local authorities and the communities (Fiseha 2002). Its main objectives are establishing sustainable system to save lives and improve access to basic services; improve nutritional status of the communities especially of women and children; and assist capacity building at the communities and *woreda* level. Fiseha (2002), in his study of WIBS in Benishangul Gumuz, Kemashi *woreda*, finds out that community participation is frequently expressed on need identification for planning and

labor and material contribution during implementation of development plan. It has also been indicated that training is provided to the community for capacity building in agriculture and resource conservation. Men received more training opportunity than did women. Besides, the kinds of training designed for men and women were different in a sense that women training focused on primary health care, basic education and proper feeding practices whereas training for men were on agriculture and resource conservation.

It has been found out by Fiseha (2002) that the WIBS Program in Kemashi *Woreda* regarding community participation attempted to incorporate voice of the community in project identification. Moreover, capacity building, although made on individual basis, was given to the community. But the kind of training women took part shows that they have been treated as housewives not as farmers. Institutionalizing community participation did not receive attention in the program.

2. Sida Amhara Rural Development Program: The *Woreda* Support Program (WSP)

The Amhara Rural Development Program (SARDP) has been initiated as of September 1997. The over all objective of the program is to improve the living conditions of the rural people through a sustainable increase in agricultural productivity and natural resource utilization as well as economic diversification (Sida/ANRS 1996, Assefa 2001). From the major program components, the *Woreda* Support component is directly allocated to the *Woreda*. Part of the *Woreda* Support Fund (WSF) is particularly used to respond to the needs of the community requested in participatory planning method.

The approach used for community participation was community workshop at government team level especially in first program phase (1998-2001). This approach was considered to be similar to PADETS and they call it PADETS approach (Assefa 2001). PADETS used the following procedure in planning process (BoA/ANRS 2002, Assefa 2001):

I. Training of *Woreda* Staff Members and Community Workshop Facilitators.

Before conducting community workshop, which in principle is the first step in PADETS, training was given to *woreda* staff members on three major subjects; namely:

A/ Gender Training: This was given to upgrade the awareness of facilitators on gender issues to enable them to mainstream gender problems and increase women's participation.

B/ Participatory Planning: This was given to adjust the mind makeup and convince *woredas* staff that the communities have ideas about development problems that need to be considered during planning.

C/ PADETS: Training on PADETS was given in order to make *woreda* staff members and the facilitators know on how to produce gender sensitive and participatory development projects using the PADETS approach.

II. Community Workshop

Per the PADETS' framework community workshops were conducted at *got* level. The main facilitators of the workshops were DAs. The *kebele* executive council members did provide considerable support for DAs in informing the community for the workshops and coordinating the program. *Woreda* Councils, Subject Matter Specialists, and *Woreda* Development Coordination Committees' (WDCC) Members were responsible for the supervision and evaluation of the process as well as insuring technical support. Then DAs reported the outcomes of the workshops on a certain kind of format given to them to enable them to record qualitative and quantitative information about the way the workshops were conducted and how much *woreda* officials have contributed to the workshops.

III. Prioritization

The needs identified during the community workshops were prioritized at *got*, *kebele* and finally at *woreda* level.

A/ At *Got* Level

At this level prioritization of communities needs was made by DAs in collaboration with the planning team members who were elected by and from the community during the workshop. It was composed of three men, three women, and three youth so as to give equal chance to different groups of the community.

B/At Kebele Level

At this stage the prioritization process was made by the *Kebele* Development Committee, which was expected to be composed of *kebele* chairperson, DA, and school director or teacher, other community heads of development associations other organizations, and other influential dwellers in the *kebele*.

C/ Woreda Level

At *woreda* level prioritization took place by considering the priorities of the Government spending, protecting the interest of the poor and vulnerable groups and disregarding some priorities mentioned by the communities like investments on education and health sectors which are supported by Sector Development Support. Woreda Development Coordination Committee (WDCC) that is composed of the Woreda Council executive as a chairperson, *Woreda* Agriculture and Rural Development Office head as a secretary and the rest *Woreda* Sector Office heads and ACSI representative as members does the task of prioritization.

IV. Plan of Operation

After the prioritization, the responsible institutions were expected to prepare budget and plan of action for all the activities. Then the WDCC adjusts the budget request based on the priorities made. The WDCC had a discretionary power to revise the plan of operation during the ongoing year for different reasons. Some among them as discussed by Assefa (2001) are late disbursement of funds, negative exchange rate of birr to Sweden crooner, and unforeseen difficulties to implement the intended activity. This flexibility and decision making power of WDCCs on the *Woreda* Development Fund, among other program components, smoothen the implementation process by the *woredas*.

V. Monitoring and Evaluation

In PADETS framework the responsible body for monitoring and evaluation were the Program Coordination Committees at different level – kebele, *woreda*, zone, and regional level. The system did not allow the community to participate either directly or through their representatives during monitoring and evaluation (Assefa 2001). They participated neither as a member of evaluation committee nor as a source of information during evaluation. So the PADETS made community participation to be limited to consultation level during problem identification, contribute labor and material during implementation, and no participation during monitoring and evaluation (assefa 2001).

Generally, in recent days, both the Government as a development partner and other development partners are learning on how to make development interventions more participatory. It has been observed from the cases reviewed that development partners are using various tools and techniques to involve community in development process. It is possible to point out from this review that local NGO which are principally small in size and limited in their intervention components are more participatory mainly because they are flexible and can move down to the grassroots level very easily. Those NGOs which are found to be more participatory are small in size, organize community or use the existing community based organizations as area of intervention for the projects, operating in urban setting where virtually all people can be reached through *iddirs*, and more articulated and, experienced people are available.

On the other hand, although the Government is making its administration and development interventions participatory through decentralization and participatory planning, as compared with that of the *Derg* Regime, it is at its infancy and much is lacking both in its approach and process of making interventions successful. For instance, in the case of PADETS, it is revealed that (Belay 2003) the structure itself does not consider the knowledge and experience of the community, and DAs are not well familiar with the different participatory approaches, they are small in number and are also involved in different activities. Besides, there is also high turnover of *woreda* officials, farmers do not have the financial capacity to take part in extension packages, the beneficiaries of extension packages are not organized, and no local community organization is used as a means for institutionalizing community participation (Belay 2003). The decentralization and participatory planning that is structured at different level of the community

is jeopardized by aggregation of priorities at different levels until it reaches to the *Woreda* level plan.

Therefore, the Government, bilateral, and multilateral organizations can make use of community based organizations and NGOs in development interventions since the later can have better experience in participatory development and in flexibly adjusting to the local conditions. With this recognition, government sometimes allows the involvement of NGOs in participatory planning at *got*, *kebele*, and sub *kebele* level (Handingham 2003). But this does not necessary lead us to the idea that NGOs or other development actors should operate independently to increase community participation because development cannot be achieved by implementing scattered, small-scaled and participatory projects. Both CBOs and NGOs in one hand and the Government, bilateral and multilateral organizations on the other should work cooperatively to make interventions both participatory and integrated.

CHAPTER FOUR

The study Area and Sida's Support Program in Amhara Region

4.1. Overview of the Study Area

The Amhara National Regional State covers a total area of 170,000sq.km. and has total population of 18.5 million by the year 2005 (Central Statistics Authority 1998). It is the second largest Region in Ethiopia. It comprises of a wide variety of ecological zones ranging from arid to cold and moist zones. The land use and land cover of the Region are also diverse. However, the expansion of agriculture and increasing need for grazing land has contributed to high level of deforestation and natural resource degradation. About 55% of the land is under cultivation and only 1% is covered by forest (Blench *et al.* 2001).

Basic infrastructure such as roads, electricity, communication and water supply are little developed. While air transport connects main cities (Bahir Dar, Gondar, Dessie etc.) with Addis Ababa, the road network for the most part of the Region is poor. From a total of 114 *woredas* in the Region, some are inaccessible in most of the year (Blench *et al.*2001).

The Region consists predominantly of small landholders growing cereal crops with low level but increasing use of external inputs. The main crops grown are *teff*, barely, sorghum, maize, wheat, pulses and oil seeds. A combination of population pressure, land fragmentation and shortage, natural resource degradation and frequent drought has further reduced the productivity of households in the Region (Blench *et al.*2001).

Awabal *Woreda*, the prime focus of this study, is located along the main road that connects Addis Ababa with Debre Markos – capital city of East Gojjam Zone. The *Woreda* occupies a

total area of 129,298 ha. It is bordered to the south by Oromia Region, to the east, west, and north by Dejen, Gozamin and Basoliben, and Debay Tilat gin *Woredas* respectively. It has three agro ecological classifications: Dega (15%), Woina dega (60%) and Kola (25%). The annual average rainfall ranges from 900mm to 1400mm (Development Study Associates 2003).

The total population of the *Woreda* is estimated to be 180,529 of which 92,583 are males and 93,946 are females. Out of the total population only 50% is classified as productive while the rest are dependent. Male and female-headed households account 85.8% and 14.2% of the households in the *Woreda* respectively (Development Study Associates 2003). Family size in a household is estimated to range from single person to fifteen individuals and the average family size is estimated to be 5. Amhara ethnic group is the sole inhabitant of the area and 98.6% of the people are followers of Orthodox Christianity (Development Study Associates 2003).

Ninety four per cent of the people in the *Woreda* earn their living by agriculture. The farmers practice both crop and livestock production. The dominant crops grown in the area include teff, wheat, barely, maize and sorghum in order of importance. From total area of 129,298 ha of the *Woreda*, planted and natural forest covers about 803.3 and 1450 hectare, respectively (the *Woreda* strategic plan cited in Development Study Associates 2003).

There are 33 first and second cycle and 1 third cycle school in the *Woreda*. The rate of enrollment is about 51.7% (Development Study Associates 2003). According to the same source, there are 5 clinics and 5 health posts in the *Woreda*. The health coverage system is estimated to be 37.5%.

From the total population in the *Woreda* on average about 13.73% and 71.48% have access to potable water in rural and urban area respectively. This reveals a great variation in its distribution. Fetching drinking water is a very tiresome job as it often involves traveling longer distance carrying backbreaking containers. Rural road that connects village to main roads are highly demanded by the community but are virtually absent like any other rural *woredas* in the Region. The socio economic survey made in 9 *woredas* in South Wollo and East Gojjam in 1999 has revealed that in East Gojjam only about 14% of the farmers are served by rural road. It is

spelled out that farmers travel 3 hours on average to reach at road connections (Development Study Associates 2003). The location of the *Woreda* in Ethiopia and infrastructure of the *Woreda* is presented in figure 1.and figure two below.

Figure I The Location of Awabal Woreda in Ethiopia, Amhara Region, East Gojjam Zone

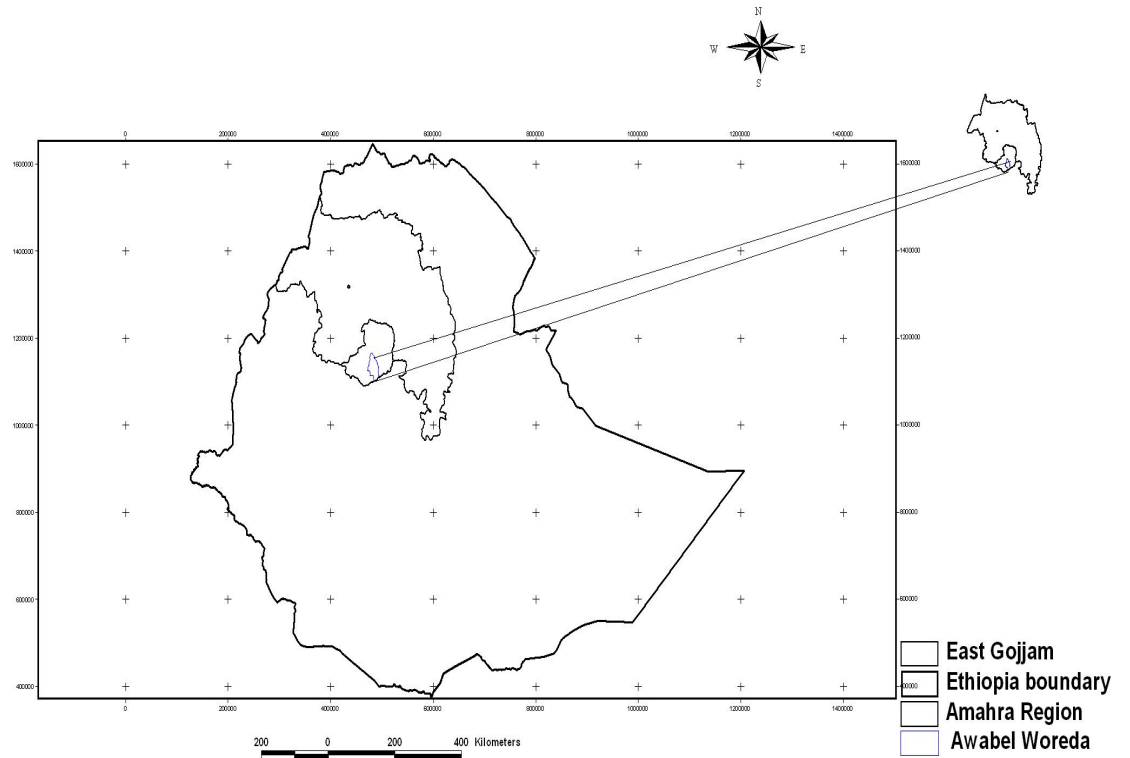
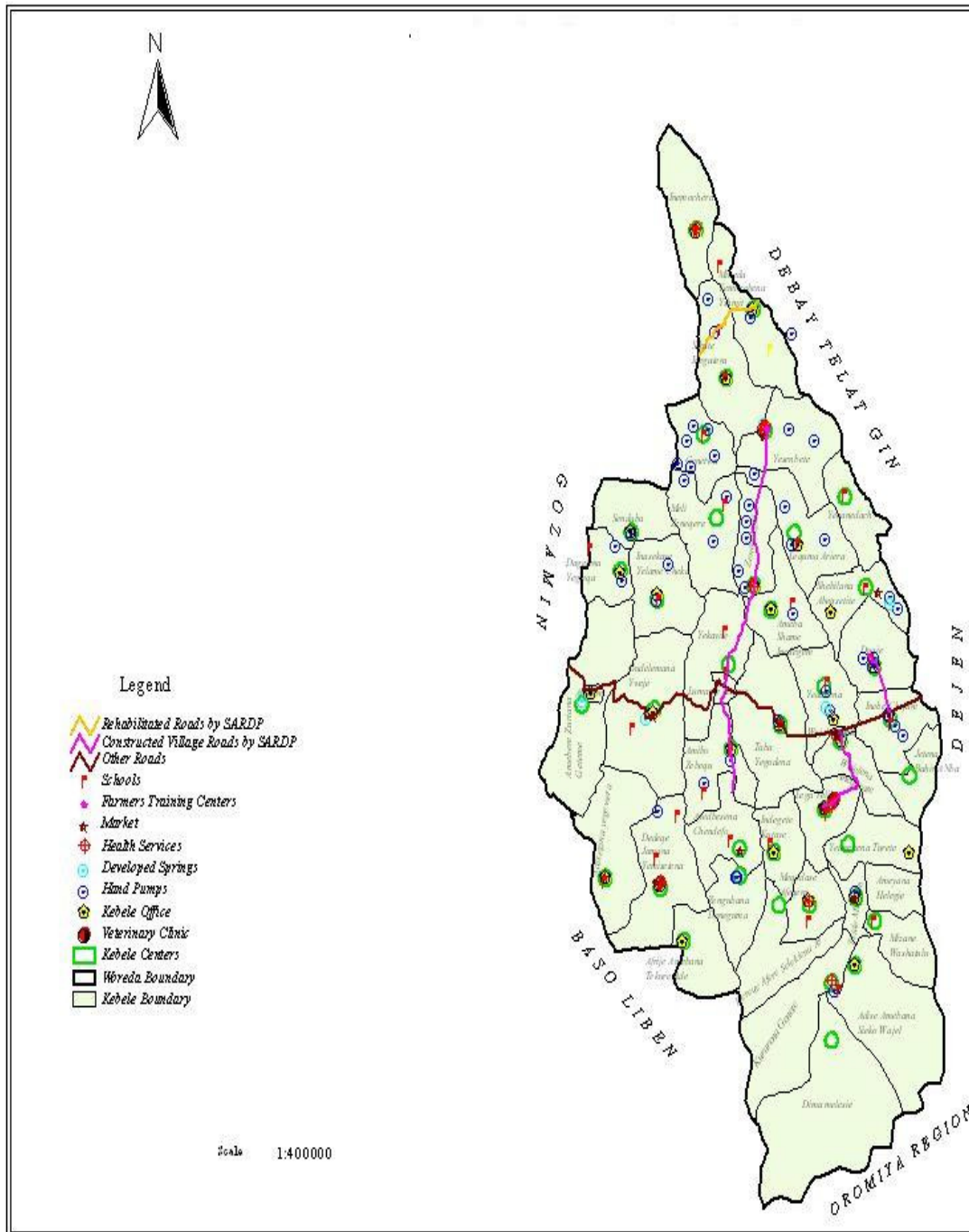


Figure II Road and socio Economic service of Awabal *Woreda*.



4.2. Sida Support Program in Amhara Region

Sida has commenced long ranging rural development program in Amhara Region since 1997/8 (ANRS 2001). SARDP has started functioning in East Gojjam and South Wollo zones. These two zones are geographically contiguous and yet represent areas with different agro ecological conditions and agricultural production potential. East Gojjam is less densely populated than South Wollo zone while the later is densely populated that is characteristically food deficient (Blench *et al.*2001: 75). The program started in some *woredas* of both zones and expands itself into all *woredas* of the Zones. Two of the *Woredas* that receive the first Sida support in East Gojjam are Awabal and Machakel. Before starting this program, there was a pilot program accomplished in South Wollo in 1995 that attempted to promote the process of self-reliant and participatory development at grassroots level (ANRS/Sida Cooperation in Rural Development 1996). The approach used in this program was Community Empowerment Program (CEP). Many of the activities undertaken by CEP were communal works such as terracing, development of drinking water and others. One objective of the program was to draw experiences for the long ranging rural development.

Evaluation of CEP has indicated that the approach had different limitations, and should be replaced by a new program. Some of the limitations were that CEP was experimental and too slow in its process. Moreover, the community enthusiasm aroused as a result of the approach if not support from external bodies was believed to lead into failure (Orgut/Dangro, 1996). The new program is the Sida-Amhara Regional Development Program (SARDP), which takes certain positive elements from CEP, and other additional approaches. This program is intended to be people centered and well integrated in the Government Structure. In addition, it was aimed to give more attention to household production and income generating activities, which was missed in CEP. SARDP is intended to provide community members with technical and material support and institutionalizing of all efforts to the Government Structure both for its continuity and larger outreaches (ANRS/Sida Cooperation in Regional Development 1996).

SARDP has planned to have the following three major elements (ANRS/Sida Cooperation in Regional Development 1996).

1. Institutional support to various sectors at Regional level such as Bureau of Agriculture, Health, and Education etc. whereby the former takes the lion's share by virtue of the program objective. The support is provided in terms of training on participatory methods. It is intended to utilize the experience gained at various approaches and programs such as CEP, LLPPA, PADETS, and others.
2. Establishment of the fund at *woreda* level for financing micro projects initiated by the community groups, which is supposed for self reliant and democratic development.
3. Direct support to relevant regional offices like Amhara Region Agriculture and Research Institute (ARARI) and Rural Road Authority (RRA) for larger projects that cannot be covered by the *Woreda* Development Fund.

The overriding concern of the Regional government and SARDP is “to improve agricultural productivity and wise land-use in sustainable way as well as promotion of agro-based economic diversification” (ANRS/Sida Cooperation in Rural Development 1996: 17). The primary target groups of the program are the farmers – surplus producers, food self-sufficient and the poor –, destitute rural inhabitants, rural women and private rural entrepreneurs. The secondary target groups include *woreda* and *kebele* administration; agricultural service institutions such as extension and research services, and rural technology service providers; and Regional and Zonal Planning Backstopping Functioning Office like Bureau of Planning and Economic Development, Bureau of Agriculture, Bureau of Trade and Industry, ASCI and RRA (ANRS/Sida Cooperation in Rural Development 1996).

SARDP at the out set is categorized into two major activities – cores and supportive. The core activities are those that are carried out in the *Woredas* to respond to local initiatives and expressed needs of primary target groups. The supportive activities are provided to secondary

target group from Regional to *kebele* level to fulfill their deficiencies and enable them to efficiently serve the needs of the primary target groups.

Since 1997, the program has completed two program phases: The first phase was from 1997-2001, and the second was from 2002-2003. The third program phase has already been started since September 2004 that is planned to be completed by 2008.

The *Woredas* are entitled to run the program whereby they should consider the interest of both the Funding Agency and the Government. Part of the support is directly allocated to the *Woredas* known as *Woreda* Support Program (WSP). The WSP has incorporated different components in each program phases. In the first program phase it incorporated capacity building and *Woreda* Development Fund. In the second program phase one more additional component was included – HIV/AIDS. In the third program phase, however, the program is designed to rest on four pillars: Agriculture and Natural Resource Conservation, Infrastructure Development, Good Governance, and Economic Diversification (SARDP 2004). The *Woreda* Development Fund (in the first two program phases) was invested on Infrastructure Development and Natural Resource Conservation activities that were requested by the community.

4.3 Management Modality of the Program

Sida is a donor and not an implementing agency. As a donor, it does not need to establish its own planning and implementing organ. It mainly relies on the existing government structure at different levels. The government offices involved are Bureau of Finance and Economic Development (BoFED), Department of Finance and Economic Development (DoFED) at Regional and Zonal level and the *Woreda*.

Different coordinating committees at Regional and Zonal level, however, are established to assist BoFED, DoPED and the *Woredas* in provision of technical backstopping; and advice on planning, monitoring and evaluation of *woreda* based development interventions.

At the Regional level, there is a Program Coordinating Committee (PCC) that is composed of participating sector heads chaired by BoFED head (Tegegn 2001). The PCC has an advisory role while BoFED is executing agent (SARRDP PCU undated). The PCC, however, has a significant autonomy and power with regards to decision making, budget allocation and prioritization. It also ensures the compatibility of the overall program with the program and policy of the Region. The Program Coordinating Unit (PCU) is accountable to the PCC, which is functional since September 2002 having its own director with other technical and supportive staff.

The PCU's major responsibilities are to oversee the well functioning of the program and inform the PCC; coordinate and consolidate the overall plans and budgets of the program area; prepare requests of transfer of fund to recipients; and follow-up and monitor the utilization (SARDP PCU undated).

In order to closely monitor and assist the beneficiaries down at the *Zonal* and *Woreda* level, the Sub Program Coordinating Unit (Sub PCU) offices are operating at the two Program Zones. The sub PCUs coordinate the program and assist the beneficiary *Woredas* in the planning, implementing, monitoring and evaluation. Coordinating and monitoring of SARDP at *woreda* level is the responsibility of the *Woreda* Administration and *Woreda* Coordinating Committee (WDCC).

On the other hand, the program receives technical assistance from an international consulting firm – Orgut- Scanagi Consortium. The firm assists the PCUs and beneficiary institutions at different level though technical backstopping, assessment of training needs, and identification of training institutions and technical inputs in the respective fields of assistance. The technical assistance focuses in building capacity towards poverty reduction through participatory planning, implementing, monitoring and evaluation.

Structurally, Sida program does not go beyond the *Woredas*; consequently, the *Woredas* are responsible to form different community groups to undertake participatory planning. As a result, *kebele* executives participate at *kebele* level plan, and formation of teams and project committees. The *Woredas* handle these with necessary support from the Zonal PCUs.

4.4. Budget Allocation of Sida's Support to Awabal Woreda

Among the SARDP program components, the *Woreda* Support Fund was allocated directly to the *Woreda*. At the out set, the *Woreda* support was allocated as *Woreda* Development Fund and capacity building. The *Woreda* Development Fund was exclusively allocated to the *Woreda* to enable it to respond to the needs and requests of the community. On the other hand, the capacity building budget was allocated both for physical and human capacity building. Human capacity building budget was invested on training of the *Woreda* staff, the community members including the *kebele* administrative bodies to be able to administer development projects, and practice participatory planning. In addition, training on agriculture and natural resource conservation for farmers, DAs; and technical training to masonry, carpenters and so on was the focus of the capacity building component.

The budget allocation and area of investment is discussed in three program phases as follows

Phase One

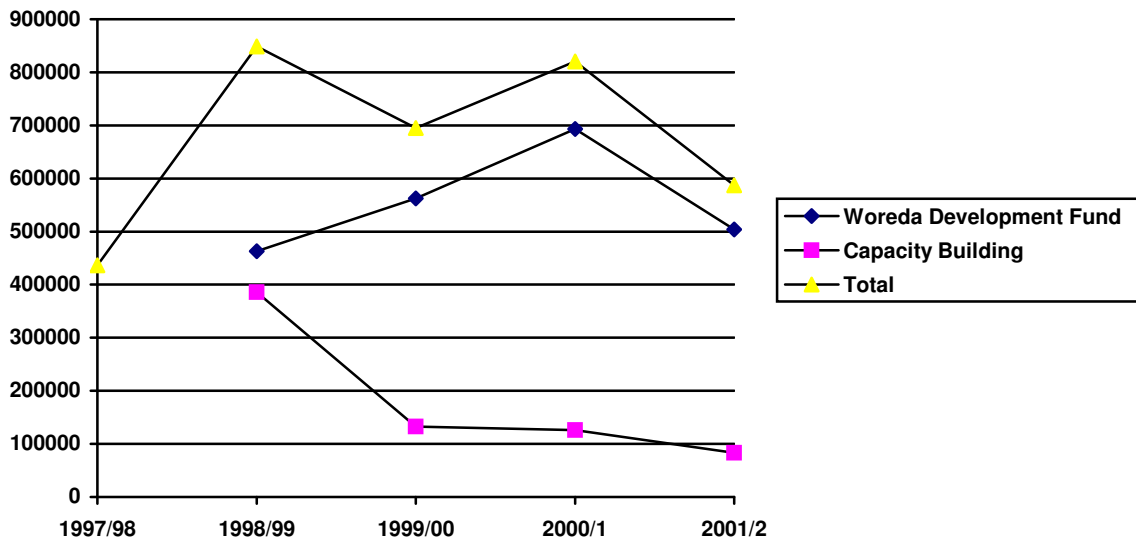
As shown in 3, in the year 1997/8 a total of 436,194 birr was released to the *Woreda*. It was released lately and was not divided into components unlike the fund allocation since 1998/9. There was a great amount of investment (848,800 birr) for capacity building in 1998/9 because it was during this year that the participatory planning and associated capacity building program was started in the *Woreda*. The support to capacity building was drastically decreased (from 385,800 birr in 132,500 in a year) while the *Woreda* Development Fund increased abruptly from 463,000 birr in 1998/9 to 693,198 in two years time.

The argument for this trend was that once the *Woreda* capacity was built with continuous support, it could administer development funds in a better manner. But this was challenged with high reshuffling of staff members among and between offices or positions in an office in the *Woreda* and turnover of staff members from one *woreda* to another. Out of 13 staff members interviewed 12(92.3%) had less than three years of experience on their current position while only one person had more than 3 years of experience (table 1). Moreover; it has been found out

that in two years time a total of 38 employees left the *Woreda* for various reasons of which 37 were because of transfer and resignation (Assefa 2001).

The figure also shows a decrease in the *Woreda* Development Fund, capacity building and total *Woreda* Support Fund (WSF) in 2001/2.

Figure 3. Allocation of WSF (in Ethiopia Birr) into *Woreda* Development Fund and Capacity Building from year 1998/9-2001/2 (First Program Phase)



Source: Administrative office of Awabal *Woreda*, financial report 2004.

Phae Two and Phase Three

In the year 2002 and 2003, (second program phase), the *Woreda* support added one additional component – HIV/AIDS. And in the third phase, the *Woreda* Support Program incorporated four major pillars; namely, good governance, capacity building, agriculture and natural resource conservation, and economic diversification (SARDP 2004).

The *Woreda* Development Fund in the first program phase was allocated as a block grant to be used for infrastructure development activities. Proportion of allocation of the fund was dependent on the identified community needs the WDCC decision and WDCC had the power to shift budget from one kind of project to another when needs arose (Assefa 2001). Since the

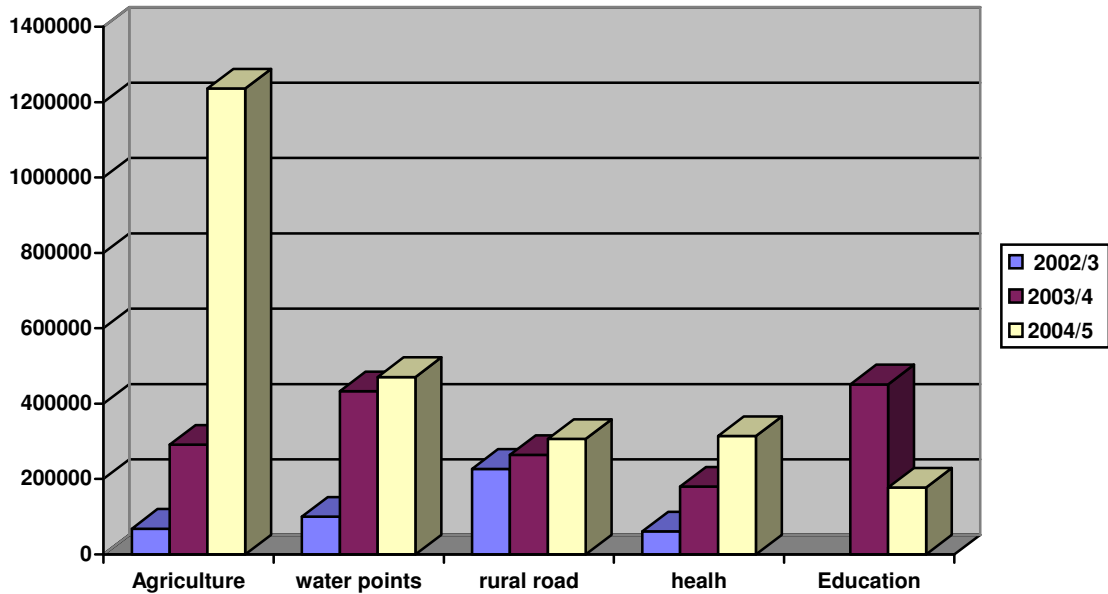
second program phase, however, the *Woreda* support was predetermined to specific kinds of infrastructure development activities such as construction of rural road, water point development, expansion of health and education services; and agriculture and natural resource conservation by the *Woreda* during budget request. This could have an implication on reducing the power of WDCC in determining the share of the support on its priori area of interest. That is the revising and shifting of the fund from one kind of project component to another during implementation becomes difficult for the *Woreda*. But interview with the Finance and Economic Development Office revealed that the *Woreda* could request additional fund for different infrastructure projects provided that the fund allocated to them was invested according to the plan. Yet the WDCC power in revision of fund allocation when the need arises was not present since the second program phase.

As shown figure 4 from the total fund allocated to different infrastructure and agricultural activities, pure water and rural road projects were relatively highly financed in the second program phase (between 2002-2003). It was also revealed during FGD that the community also highly and consistently demanded these projects during planning. But the trend of the fund allocation was not because of the community direct request because at this program phase community participation during planning was absent. The agriculture and natural resource conservation share, however, was lower particularly until the beginning of the 3rd program phase (2004/5). This was because farmers usually detected the problems related to natural resource degradation only after it reached severe stage; they did not realize the effect of conservation activities soon, and physical constructs or area coverage reduced their small land. In addition, the assistance to this sector among others was partially covered by budget allotted from the Region to the *Woreda* from Sida support given to the Region Bureaus, according to the key informant at the *Woreda*.

Since the third phase of the program the budget allocation was based on the four pillars of which agriculture took around 40 % of the total budget in 2004/5. As shown in figure 4 the budget for agriculture and natural resource conservation was quadrupled – from 290,907 in 2003/4 to 1, 236,352 birr in 2004/5. At this juncture, assistances from Regional Sector Bureaus to the *Woreda* Sector Offices were virtually absent. Consequently, despite the low interest of farmers in

requesting activities related to agriculture and natural resource conservation, the office received more attention by the program than before.

Figure 4 The allocation of WSF in Ethiopian Birr during second and third phases of the program.



Source: Administrative office SARDP financial reports 2004.

The budget allocation in three program phases was changed with respect to the amount of transfer as *Woreda* Support Fund, proportion of allocation to it into different components, and power of the *Woreda* over the fund.

The amount of the *Woreda* support has been increasing from birr 439,139 in 1997/8 to 3,121,154 birr in 2004/5.

In the first program phase the allocation of the support was only for two components where the power of the *Woreda* to allocate and revise it was high as the fund was a block grant. During this phase community workshops were conducted with the community annually and their requests were the basis for developing the budget breakdown. In the second program phase the share of the budget allocation to different developmental activities were determined at the beginning of the period. The *Woreda* Support Fund (WSF) became no more a block grant. Due to this the WDC lost its power over revising allocations whenever needs arose. During this phase again,

the community were not participating during planning process for the reason that the program was revising the planning approach and nothing was conceptualized properly to be implemented. In the third program phase the *Woreda* not only lost its power of revising the allocation of the fund to different developmental works but it was not empowered determine the share of the budget to different developmental works even at the beginning of the planning period. Therefore, the power of the *Woreda* over the WSF allocation was reduced as the program underwent from the first program phase to the second program phase and then to the third one.

CHAPTER FIVE

Data Presentation and Analysis

This part of the study is dedicated to presenting and analyzing information on the operations of the WSP. The participation of different groups of the community and the community as a whole in planning, implementation, monitoring and evaluation, and in managing development projects, and the collaboration of the program with Community Based Organizations, is discussed.

In addressing the above-mentioned topics data from a small-scale survey, key informant interviews and semi-structured interviews with dwellers, the Program Coordinating Unit and the *Woreda* staff members respectively were used in addition to secondary sources.

5.1. Characteristics of the Survey Respondents and Interviewees at the *Woreda* Offices

The respondents from the community were composed of 57 males and 39 females. In terms of age category, 14 were youth, 71 were adults and 11 were elderly people. As shown in table 1 majority of them were either illiterate or can read and write but did not have any formal education. These two groups of respondents account 74.7% of the total respondents.

Table 1. Respondents' Educational Level

Educational Level	Number of respondents	Percentage
Not able to read and write	36	37.5
Able to read and write	35	36.5
Able learned from grade 1-3	5	5.2
Learned from grade 4-6	15	15.6
Learned from 7-8	3	3.1
Learned from 9-10	2	2.1
Learned above grade 10	-	-
Total	96	100

Source: Survey

In addition to the above respondents, 13 staff members of the *Woreda* working in different Sector Offices were interviewed. As shown in Table 2, three out of thirteen were females and 12 had three or less than three years of working experience.

Table 2. The *Woreda* staff respondents classified by service year in their current position.

Sex	Working experience on the current position			Total
	< 1 year	1-3.years	3.01-5 years	
Female	-	2	-	2
Male	3	7	1	11
Total	3	9	1	13

Source: Survey

5.2. Planning Methodology and Community Participation in the *Woreda* Support Program.

The planning methodologies that were used by the *Woreda* Support Program were intended to be participatory. The methodologies were adopted from various kinds of participatory approaches used by Governmental and Non-Governmental Organizations. The WSP planning methodologies were developed mainly from LLPPA, PADETS and PRA. The planning methods used by the program were adapted and modified through time (Assefa 2001). The methodologies applied in different phases of the WSP are discussed below.

5.2.1. Participatory Planning During the First Program Phase (1997-2001)

The *Woreda* Support Program (WSP) had undergone through three different phases. The planning approaches used by the program at different phases were different. The participatory planning process in first program phase – PADETS – as discussed in detail in chapter three, started at *got* level. It began by training of *woreda* staff members about gender; participatory planning and PADETS. A total of 100 staff members from *Awabal Woreda* took part in the training, which was the highest number as compared with the rest 7 program *Woredas* in both

Zones. Out of the 100 staff members, 82% of the participants were from agriculture and rural development office (ANRS/Sida 2002).

The main facilitators of the workshops conducted at *got* level planning were the Development Agents (DAs) supported by *kebele* administrators in regard to informing the community and coordinating the process. Training was given for 252 *Kebele* Executives and 46 DAs in the *Woreda* (ANRS/Sida 2002:3). The workshops were conducted in all *Gots* of the *Woreda* in each year. The *Kebele* Executives, the *Woreda* Council Members, Subject Matter Specialists, Supervisors and WDCC were expected to be present in the workshops. Because of logistic problems such as: time needed and large number of *gots*, however, in most cases people from the *Woreda* did not participate. For instance, in the year 1999 and in 2000 a total of only 14 individuals from the *Woreda* took part in the workshops (Assefa 2001).

The workshops were conducted during December 1999, February 2000 and March 2001. As it is shown in table 3, the number of participants was increasing from 1999 to 2001. The number of women participants both in absolute number and percentage had increased but the number was not yet equivalent to that of adult men. On the other hand, the number of youth participants increased in number with decrease in percentage share from the total participants, from 41.59% in 1999 to 27.65%, 30.88% in 2000 and 2001 respectively. The number of adult participants increased in 2001 with reduction in percentage share.

Table 3. Number of community members that participated in planning workshops undertaken in Awabal Woreda from 1999-2001

Year	Youth (male)		Adults (male)		Women		Total
	No	%	No.	%	No.	%	
1999	4513	41.59	5137	47.35	1200	11	10850
2000	7699	27.65	12049	43.27	8101	29.08	27849
2001	8892	30.88	11448	39.76	8455	29.36	28795

Source: (ANRS /Sida 2002), Final Report on SARDP's implementation of First Phase.

The overall increase in the number of participants was partly associated with the timing of the workshop. The 1999 workshops were conducted during the pick harvest time when farmers were too busy to participate; whereas, the workshops in 2000 and 2001 were conducted at times when

farmers were relatively less busy. In addition, the number of participants was increasing because they observed that some of the projects they previously requested for were implemented (ANRS/Sida 2002).

The monotonous nature of the workshop, shortage of budget for conducting it, high turn over and shortage of manpower at the *Woreda* level, limited number of DAs with high turnover, and the need to institutionalize community participation particularly during monitoring and evaluation necessitated the modification of the planning methodology during the second and third phase of the program (Assefa 2001). According to key informants at Regional, Zonal and *Woreda* level, the amendments to the approach were done on three major points.

1. Planning was to be done in sample *kebeles* with *kebele* representatives

Conducting community workshop in all *kebeles* of the *Woreda* was dropped; instead, sample *kebeles* were chosen in each *woreda* based on socio economic condition and agro ecological zoning. In addition, Instead of conducting community workshop with all dwellers at *got* level, a total of seven people from different groups of community at each *got* were chosen by the community. These people form the *Kebele* Level Planing Team (KLPT), and they were trained on project planning, problem identification and other related topics. This finally led to the development of a four- year roll-plan for *kebeles*. Some representatives from KLPT members were chosen to participate during compilation of the plan at *woreda* level to develop *woreda* roll-plan.

2. Developing a four year rolling plan

In the first phase of the program, workshops were conducted yearly to developing operational plans; however, the operational plan was too vast to be accomplished in a year. Hence, instead of calling the community for another workshop without responding to the already identified needs, it was thought to roll forward the uncompleted request to be implemented in the coming years.

This idea led the program to develop a four-year rolling plan, which was somewhat similar to a five-year government strategic plan.

3. Participation in the entire cycle of projects

KLPT members were supposed to be responsible to coordinate the community during implementation of projects, and to participate during monitoring and evaluation. In the new approach of participatory planning, the KLPTs were intended to serve as institutions that would be involved in the entire project cycles.

It was at this juncture that PADETS was dropped from being used as planning method of the program. The new planning approach of the program had certain similarities with LLPPA in selection of sample *kebeles* and planning teams from the sampled *kebeles*. But the two were different in a sense that the LLPPA was used for natural resource conservation, and the planning was targeted to this very activity; whereas, the new method was used to plan various kinds of activities in rural development that were supported by the program.

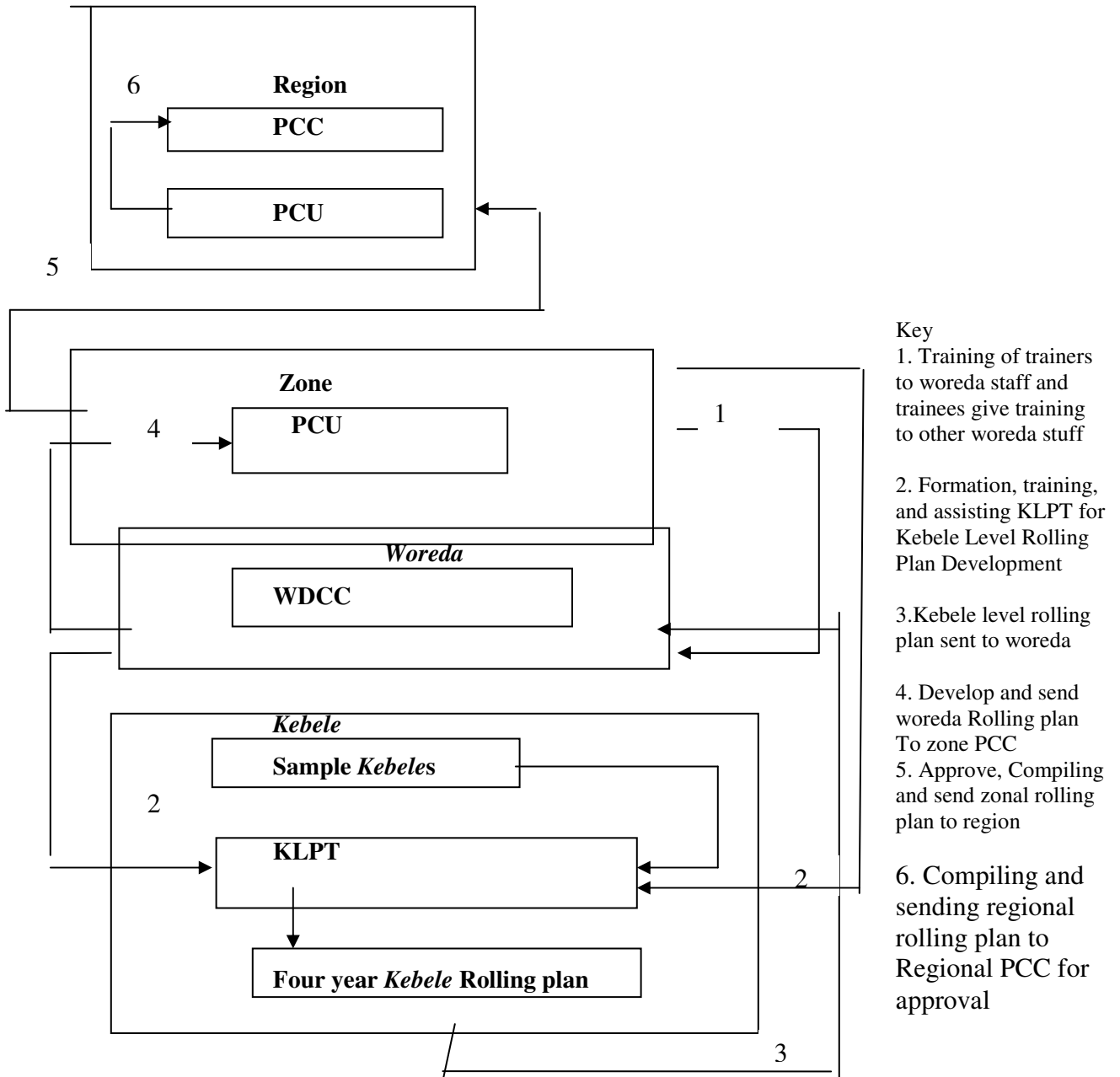
5.2.2. Participatory Planning during the second Program Phase (2002-2003)

According to the key informant at *Woreda* level, in the second program phase, actual community participation in planning was not practiced. This was the period when the planning approach of the program was being revised and a decision was reached to move to a new approach, however, the *Woreda* was not able to put into practice the new participatory planning approach. This was because the new approach was not properly conceptualized and understood in a way that can be practiced. As a result, the *Woreda*, primarily, undertook the planning processes for those two years without consulting the community. It was also during this period that the budget of different infrastructure and sectoral development assistances were determined by higher bodies – above the *Woreda*. Therefore, during this program phase, community involvement during planning was absent, and the *Woreda*'s power of allocating the *Woreda* Development Fund for different activities was taken over by higher bodies according to the key informant at Regional and Zonal level. Hence, the community became out of the planning process and the *Woreda* lost power over the budget.

5.2.3. Participatory Planning during the third program phase (2004-2008)

Taking the above modifications in the planning process into account, Sida's *Woreda* Support Program was developed in three level capacity building activities as an initial step to planning of the third program phase. According to key informants, there were training of trainers at Zonal level, second stage training of trainers at *Woreda* level, training KLPTs at *kebele* level, and developing the roll-plan at *Woreda* and *Kebele* level. The planning process is given by the following chart.

Figure 5. The Planning Process of Sida's Woreda Support Program in the Third Program Phase



PCC: Program Coordinating Committee
 PCU: Program Coordinating Unit
 WDCC: *Woreda* Development Coordinating Committee
 KLTP: *Kebele* Level Planning Team

1. First Stage Training of Trainers: Zonal Level

A total of eight *woreda* staff members (three from the *Woreda* administration and five from *Woreda* sector offices) took part in the training of trainers. The major issues included in the training were concepts and principles of participatory planning, its relevance for sustainable development and stages of a project life cycle. The training was intended to upgrade and strengthen the planning capacity of the *Woreda* staff, and to enable them to train other staff members in the *Woreda*. The training was given for 15 days (Development Associates 2003).

2. Second Stage Training of Trainers: *Woreda* Level

The eight staff members who took part in the training at the Zone had arranged training for other *woreda* staff members. A total of 24 employees from *woreda* offices like Health, Education, Agriculture and Rural Development, Water, as well as Rural Road were trained for six days.

3. Election of *kebele* Level Planning Teams

Out of a total of 44 *kebeles* in the *Woreda*, six *kebeles*, namely: Sikut-Ene-Gatra, Gudalema, Yesenbet, Enebi-Chfar, Tikur adber-Afringe amba, and Wojel were selected based upon agro ecological representation to other *Kebeles* of the *Woreda*, to develop the *Woreda* roll-plan. In each of the six *Kebeles*, a total of 21-24 community representatives were elected to develop *kebele* rolling-plan. These KLPTs were planned to be elected from different groups of the community (male, female, adults, youth, elderly, the poor, and handicrafts) so as to make the team representative of different groups of the community.

However, the inclusion of the different groups of the community in KLPT formation was not practical because of various reasons. This deviation varied from *kebele* to *kebele*. For example, a focus group discussion with KLPT members and dwellers in Enebie- Chifar revealed that the planning team members were 21 (six women, six youth, six elderly and three *kebele* administration members). These people were elected based upon their ability to identify their locality development problems, generate possible solutions for them, and their confidence to express themselves.

Another focus group discussion in Gudalama *Kebele* KLPT members and dwellers revealed that a total of 11 planning team members were elected. The team was composed of two women and three men from the community, two *kebele* administrative members, and three government team members. The criteria for selection of these individuals in this particular *Kebele* were gender, membership in *Kebele* administration or government team, and capability of articulating community problems. The discussion revealed, however, that the criteria such as age, class, wealth category, and other social strata representations were not considered. Besides, election of the planning team in this *kebele* was done at one of the big churches in the *Kebele* at one Sunday without any priori information to the community. This contradicts the official report that claims that representatives were elected from each sub *kebele* (*got*) at a meeting in each locality.

In the remaining four *kebeles*, no one, even the chairperson of the *Kebeles* did not remember or know about the establishment of the KLPT. This was explained by high turn over of *kebele* administrators, executive council members and DAs. From the six representative *Kebeles* of SARDP program areas in the *Woreda*, it was in two *Kebeles* that the chairpersons were working for more than two years since the 2003 project-planning period. In the rest of the four *Kebeles*, an average of two chairpersons were changed from 2002/3 up to the time when the field work was conducted in the *Woreda*.

Table 4 shows that 58 of the 96 survey respondents (60.4%), 33 females and 25 males, knew about the establishment of KLPTs. Moreover, of the total respondents 24(25%) were present during the election KLPT members and 20 of them were the KLPT members themselves; which is to say that only 4 of those present were ordinary community members.

Table 4: Knowledge about establishment of KLPT and participate during election of KLPT.

	Respondents know about the establishment of KLPT						Responds were there during the election of KLPT					
	Yes		NO		Total		YES		NO		Total	
	No	%	No	%	No	%	No	%	No	%	No	%
Female	6	6.8	33	34.4	39	46.6	4	10.5	2	5.3	6	15.8
Male	32	33.3	25	26%	57	59.4	20	52.6	12	31.6	32	84.2
Total	38	39.6	58	60.4	96	100	24	63.2	14	36.8	38	100

Source: survey

Generally, the planning process was not carried out as per the plan stated at the outset for various reasons. Particularly the poor and handicrafts were not represented in Gudalama and Enebi Chifar *Kebeles*. The criteria for election of KLPT members were not respected or considered seriously particularly in Gudalama *kebele*. The situation was even worse in the rest of the four *Kebeles* namely: Yesenbet, Wojel, Sikut-ene-Gatra and Tikur adber Afringe amba where the very existence of KLPT members was not known even by the *Kebele* chairpersons let alone the community. Moreover, from the sample respondents, the number of people attending the meeting during election of KLPT members was small, and 83% of those present were the planning team members themselves.

This shows that the majority of the people did not vote their representatives. Besides, it was found out that the facilitation and the entire procedure of planning particularly at the *Kebeles* depended on the dedication of the *Woreda* Planning Team Members assigned to that particular *Kebele* and the Chairperson. According to the key informant at the *Woreda*, there was no follow up and monitoring by the Zone Planning Advisors as to how the planning process was being undertaken at each of the sample *Kebeles*. Moreover, some of the *Woreda* Planning Team Members who were assigned to remote *Kebeles* went back to the *Woreda* in a day or so while the process was planned to take more than four days.

So, it is possible to say that the planning process was becoming more non-transparent and unknown to the community than it had been in the first phase of planning process. This was because in the first phase of the program's planning process, the community's involvement was insured by their presence not of their "representatives". Moreover, the election of KLPTs did not follow the norm of the *Woreda* Support Program Planning Process down at the *Kebeles*.

4. Refreshment Training of KLPT and Development of *Kebele* Rolling plan.

During the planning stage at *kebele* level, the KLPT, members of the *Woreda* planning team (8-9 experts of related sectors in the *Woreda*) and members of planning team from the Zone were involved. Experts and Planning Teams from the Zone were facilitators at the *Kebele* level plan. The KLPT under the subgroup of male, female, and elderly discussed the development problems,

and recommend possible solutions. According to the focus group discussion with KLPTs and dwellers in Gudalema and Enebi- Chifar, the process, especially of the refreshment training, was so complicated and yet good exercise to recognize how interwoven development problems are and how resolving core problems could have a spill over effect on resolving other related problems.

Based on the normal procedure, the discussion of the subgroups was presented for plenary discussion. Then, using matrix the demands and priorities of that particular *kebele* was developed as a four-year rolling plan. In addition to the subgroups being formed based on age and gender, another four groups composed of different groups of the community were formed to define the program, the program strategies, the activities to be undertaken, translate the activities into budget implications, and define sources of budget for each activity.

It was indicated that the role of the *Woreda* planning team, and that of advisors' was to provide necessary support to KLPT members during the planning process (Development Associates 2003). According to the FGD with community members and KLPTs, although KLPT was supposed to develop the *Kebele* level roll- plan, it was beyond their scope; hence, it was practically developed by the *Woreda* Planning Team Members.

5. Development of the *Woreda's* Rolling Plan.

Woreda Development Coordinating Committee, and representatives of KLPT developed the *Woreda* roll-plan. Five members from each KLPT, two males, two females and one *kebele* administrative member preferably the chairperson represented each KLPT. According to the key informant at the *Woreda* level, a total of 28 people from six sample *Kebeles* took part in the *Woreda* level planning. The *Woreda* level planning process was the same as that in the *Kebele* level (Development Association 2003). What is exceptional was that the rolling plan was revised for its appropriateness and compatibility with the Federal and Regional Governments' policies and strategies, and SARDP's area of emphasis. Draft of the *Woreda* roll-plan was sent to the Zonal level Program Coordinating Unit (PCU). This unit approved the plan based upon the Regional policy and strategy and area of emphasis of the SARDP. It was indicted by the key

informants at the *Woreda* and Zonal level that there was some kind of conflict on the interest of the *Woreda* and the program. The conflict of the *Woreda* and the Zonal PCU lies on two points.

Firstly, the *Woreda* sometimes wanted to abuse the resource in the name of per diem and furnishing their offices, which was completely outside the objective and interest of the program. Secondly, the *Woreda* demanded the construction of health centers, high schools and the likes, which were relevant to the *Woreda* but were not in the menu of program support. On the other hand, SARDP believed that priori interest of the rural people – target of the program – was provision of first cycle education and health services. This limited the degree of freedom of the *Woreda* over the budget utilization. Then the approved *Woreda* roll-plan was compiled with other *Woreda* roll-plans at Zonal PCU and sent to the Regional PCU for final Regional roll-plan compilation and approved by Regional Program Coordinating Committee.

To put it in a nutshell, community involvement in planning process was changed as the program went from phase one to phase two then to phase three. In phase one, community participation was high during problem identification level because the community as a whole was informed and mobilized to present in the workshop and articulate their problems. In addition, the forum helped to increase awareness of the community about their local development problems; their contribution to alleviate development problems; and helped to reduce resistance and increase their involvement during implementation. Nonetheless, the prioritizing and re prioritizing of *got* problems at the *Kebele* and the *Woreda* level had reduced their involvement at the final *Woreda* level planning.

Community participation in the first program phase of WSP in Awabal is similar to the finding of Fiseha (2002) on the *Woreda* Integrated Basic Service program (WIBS) in Benishangul Gumuz, Kemashi *Woreda* . That is in both the WIBS program (Fiseha 2002), and the Sida' WSP, community involvement in planning process was limited to problem identification at grass root level. Moreover, the farmers trained by these two programs were not revisited for its impact on changing the skill, knowledge and living condition of the communities.

In the second program phase, a transition period to developing a new planning approach, community involvement in planning was not practical due to the problem of using a new approach of participatory planning.

In the third program phase community involvement in problem identification was replaced by representative KLPT who were supposed to develop a four-year roll-plan assisted by the *Woreda* Planning Teams and Zone Planning Advisors. The roll-plan was also developed in six sample *Kebeles*. The knowledge of the community about the very existence of the KLPTs was low. The community was represented by KLPT in the development of four-year *Woreda* roll-plan; and the community was not well informed about the annual plans to be accomplished, majority of the kebeles, 38 out of 44 neither did have any representation in the planning process nor were they informed about the process.

Moreover, the attempt to involve the community in the *Woreda* level planning, through only through their representatives, was a step forward by itself. However, this approach has serious drawbacks. That is planning was done at sample *kebeles* and representative community members, and the existence of KLPT was unknown by the community. In addition, the process was not properly undertaken as per the plan stated at the outset. As a result, the KLPT were not representatives of different groups of the community and the community was somehow detached from the planning process.

5.3. Other Participatory Approaches the *Woreda*

The Region followed centralized planning approach until the end of 2002. Planning was entirely done at Zonal and Regional level with some consultation of *woreda* officials (Development Study Associates 2003). However, there were various kinds of community participatory approach of planning and implementation in different sectors offices in *woredas*. As it is mentioned in chapter three, LLPPA and PADETS, among others, were predominantly used by the Ministry of Agriculture and respective bodies at *woreda*, *kebele* and government team level for participatory natural resource conservation and extension arrangements. PADETS, as an extension system, was not functioning in the Region and the *Woredas* in recent time. This could

be because of the less participatory nature of the approach as has been found out by Belay (2003) and Lakew (2000). According to the key informant in the *Woreda*, currently, a new approach that was started at cell level – lower than government team level – was planned to be used as a starting point for the extension system.

The new system was similar to that of PADETS except that the lowest structure of it was lower than the government team level. The justifications of Belay (2003) for less participatory nature of PADETS is that the program has limited coverage, potential beneficiaries are short of land and finance to take part in it, DAs are small in number and are involved in other additional activities, and the system does not take into account the indigenous knowledge system. However, the new system was a copy of PADETES; therefore, there is high probability that the drawbacks of the PADETS would be observed in the new system as well. Hence, the community participation and the impact of the approach thereof would be low.

In spite of such participatory planning attempts by different sector offices, decentralized planning and allocation of block grant by the Government to *woredas* was started in July 2002 as part of the second phase decentralization of power from the Region to *woredas* (Handingham 2003). The planning process, as a result, is decentralized and expected to allow communities participation (Handingham 2003).

According to the information from the *Woreda* Finance and Economic Development Office, the Government five year strategic plan of the *Woreda* in 2003 was developed as follows: Leading *woreda* problems were identified at the *Woreda* Finance and Economic Development Office. The *Woreda* sector offices then developed their own plans taking the leading problem as springboard. Then they developed a breakdown of tasks that indicate the time, place, budget requirement, as well as the amount and kind of community contribution. These Sector Offices' and Administrative Office's plans were compiled by the Finance and Plan Office of the *Woreda*. This Office further developed a *kebele* level plan based on the information from the plans of sector and administrative offices. The *Woreda* Council introduced the *kebele* level plan to the *Kebele* Council members. In addition, the same orientation was given to government team

members and militias. Then, different groups of the community were allowed to discuss at *got* level on the plan already developed.

This kind of process was undertaken during the development of the strategic plan. But the *Woreda* developed action plans, derived from strategic plan, without informing the community. The action plans, although were derived from the strategic plan, were subject to revision depending on change of the Government's attention and policy. This shows that the level of decentralization in planning process was limited to the *Woreda* level; it did not move down to the community.

The Government planning process in respect to community participation in this particular *Woreda* disagrees with the findings of Handingham's (2003). He has found out that planning process in Ethiopia, after second phase decentralization, has started from *got* or government team level; and quarterly meeting has been conducted with the communities by *woreda* councils as a feed back to the inclusion of the community interest during planning. In this particular *Woreda*, however, both involvement of the community in planning and arrangement of quarterly meeting by the *Woreda* Council with the community were not practiced.

The planning process by the Government, therefore, was purely of top down and participation of community was indoctrination of the already developed plan. This might be due to the fact that different groups of the communities were involved in the development plan of Sida's WSP that on the way enabled the *Woreda* to identify leading *woreda* problems. Or it could be because the Government budget allocated to the *Woreda* covered only recurrent budget as it is presented in 5.2.2 of this paper, so if this trend was to continue in the same manner, there was no need to involve the community for allocation of recurrent budget.

5.4. Participation in Implementation

Action plans were approved and budget was released to the *Woreda* through its sector offices. Then *Kebele* Administrator and, when possible, the community was informed about the kinds of activities planned to be performed in that area. Besides, the contribution expected from the

community and the support from the *Woreda* for that very activity was communicated to the community members. Sometimes, the community was informed about the amount of budget allocated for these activities. However, neither the *Kebele* Administration nor the community representatives were permitted to follow budget utilization during implementation and in reporting of the financial budget utilization. Besides, the *Kebele* or the community did not have a say on scheduling the tasks that were planned to be accomplished in a year, according to the key informant at *Woreda* level.

The key informant also pointed out that depending on the kind of project planned to be undertaken, a committee were established or *kebele* Administrator, Executive Councils and Development Agents assume the responsibility. For example, if the projects were development of drinking water, people from the Water Desk in the Rural Development and Agriculture Office communicated the community by arranging meetings and elected Water Project Committee from and by the community. The committee was responsible to mobilize the community during the implementation of the drinking water development and manage the water point thereafter. When projects were on education, health and natural resource conservation activities, the *Kebele* Administration assumes the responsibility.

As shown in table 5, from a total of 96 people interviewed 88 had received information about development activities in their respective areas. Of this, 66 (21 females and 45 males) had participated in the implementation of development activities.

Table 5: Participation of respondents in Implementation phase of the Wordea support Program activities by Gender.

Sex of the respondents	Respondents participate in WSP activities				Total
	Yes		No		
	No.	%	No.	%	
Female	21	23.1	16	17.6	37
Male	45	49.5	9	16.7	54
Total	66	72.5	25	27.5	91

Source: Survey

The contributions of the participants were mostly in terms of free labor, local materials and in some cases money. Those who did not participate during implementation were elderly males and most of the females. The reason was that those men were too old to work and the females were

overloaded with domestic tasks; as a result, the community exempted them from laborious tasks. People who were landless and who made their living in petty trade or in daily labor did not normally participate in implementation.

The participation of the community during implementation was set to cover 25% of the cost of project during the first and second program phases but since September 2004/5 (third program phase) the community contribution was designed to cover 75% of the cost. While the participation of the community in planning was reduced, the resource contribution of them in implementation was increasing abruptly. This might create a great resistance and could hinder development processes that may lead finally to failure of development interventions. The decision to increase the community contribution should have come from the community themselves or at least it should have been decided after discussion and persuasion.

Community involvement in terms of contribution of labor, local material and money during implementation was consistently observed in the three program phases with increasing tendency. For instance, in *Awabal Woreda*, the community resource contribution only for construction of rural road, development of potable water and natural resource conservation were estimated to be 117900 birr and 444600 birr in 1998 and 1999 respectively (Tegen 2001:36). The contribution of the community was increase more than three times in a year difference.

This finding is similar to those findings by Abraham (2002) in Care Ethiopia Borena Pastoral Water Development Program which is non participatory whereby communities participation were measured by cheap labor contribution. And by Helland (2004) in Mery Joy and Multi Purpose Community Development Program in Addis Ababa, which were participatory and the communities were involved during implementation by contribution of labor and material. That is in both participatory and non-participatory development interventions community participation in implementation is revealed through their resource contribution.

However, participation in implementation is more than mere contribution of resources in cases of participatory projects; it includes activities that enable people to be involved in decision

making. This can be in terms of scheduling time frame for implementation, site selection for projects and the likes. Activities of these kind were absent in Sida's WSP in Awabal *Woreda*.

5.5. Participation in Monitoring and Evaluation

One among the reasons for the shift from community based planning to representative planning was to institutionalize and increase community participation at each level of project cycles specifically during monitoring and evaluation. The need to involve the community in monitoring and evaluation was proposed by the year 2005 when the third program phase began. This was planned to happen through KLPT; however, there was no functional mechanism yet devised to enable the community or KLPT to be involved in formal monitoring and evaluation activities. This was because the KLPT members dispersed soon after planning without assuming concrete responsibility. Moreover, follow-ups from the *Woreda* about the performance of KLPTs were virtually absent. According to the key informant, this was partly due to lack of experience of the program in involving community in monitoring and evaluation.

Theoretically, in the evaluation and reporting of performances, the *kebele* council from each Keble was expected to prepare monthly reports to the *Woreda*. Despite this, only few *kebele* councils practiced it. The reports of the *Woreda* sector offices, therefore, was prepared by visiting project sites. Therefore, the community involvement in monitoring and evaluation was not properly structured. Those of the water project committees did better practice. They follow up the performance of the water points and report to the *Woreda* sector offices whenever problems encountered. This might be due to the fact that the community was very much concerned to quality, quantity and continuity of the water point projects and the water desk also recognized these committees. Involving community in monitoring and evaluation of projects was the least practiced one in the WSP in the *Woreda*.

This finding is different from the finding of Helland (2004) in Mery Joys and MPED. Helland has found out that these projects were community participatory. According to him the community involvement was not limited in planning or implementation but it is also present in monitoring and evaluation (Helland 2004). This could be partly due to the small-scale nature of the interventions and their potential for flexibility. In addition, the projects were undertaken in

urban setting where the project committee members were better educated. The community representatives were easily reachable to communicate whenever need arises.

In Sida's WSP, however, community involvement in monitoring and evaluation was not yet materialized. This might be due to the following reasons: The program did not have enough experience in involving the community in monitoring and evaluation; the KLTPs were not well trained, did not know their responsibility and they did not get any incentive for undertaking this task; the *kebele* council did not discharge their responsibility; and the *Woreda* did not follow and support both the KLTPs and the *Kebele* Councils in monitoring and evaluation.

5.6. Community Participation in Management of development Projects

The *Woreda* Support Program was also supported to encourage community involvement in management and administration of projects. According to key informant interview at the *Woreda* level, some of the projects that were supposed to be managed by the community were schools of Alternative Basic Education, Outreaching Centers for Vaccines, and Rural Road and Water Point Projects. But the correct steps meant to shift the responsibility to the community were negligible. As regards to these kinds of projects, committees were established for managing the Alternative Basic Education Schools, Rural Road and Water Points, according to the key informant at *Woreda* level. For all these committees, training was given about the relevance of the projects to the community and the committees' responsibility in administering these projects. However, the respective *Woreda* or *Kebele* offices did not follow up the performance of these committees. The key informant in-depth at the *Woreda* level revealed that the very existence of the committees was forgotten by the *Woreda* let alone following them up.

From these committees, again the rural road and water points were somehow functioning. To make the construction of roads effective and maintain sustainability thereof, training was given to some individuals residing in the beneficiary *kebeles*. The length of training ranged from three days to three months. A total of nine foremen, nine masons, seven carpenters and 25 road caretakers were trained. But it was reported by the *Woreda* Road Desk that these trainees were not functioning properly because the road caretakers were elected from different *kebeles* and they dispersed just after the training. Moreover, as the road covers longer distance that the road

caretakers could not able to supervise people who were abusing or destructing the road. Masons and foramen did not have any kind of attachment neither with the *Woreda* nor with the road caretakers. Therefore, the investment on training seems to benefit only individuals and not the road users.

Comparatively speaking, the involvement of the community in the administration of development projects was relatively high in potable water activities. In fact community participation was high not only in administering it but also in developing it as well, according to the key informant at *woreda* level, and FGD with the Water Project Committees and users. Therefore, the case of the water point is presented here to describe the maximum involvement of communities in development projects at different level of project cycle in project administration.

5.7. Water Point Projects: Sustainability and Management

Shortage of clean water like any other rural area of the Zone was observed in Awabal *Woreda*. The clean water coverage of the *Woreda* before SARDP intervention was 1.88%, but now the coverage had reached to 17.45%. Of which the program took the lion's share (ANRS 2004). From the total of 86 drinking water projects developed in the *Woreda*, Sida supported 59 (68.6%) of them excluding water projects developed as part of integrated water shade development (ANRS 2004).

Out of these water point projects, 40 were hand-dug wells while the rest 19 were developed springs. The reason for development of more number of hand-dug well over spring development was that springs were less available in many localities or were difficult to develop. Although there were 59 water projects functioning in the *Woreda*, the distribution was not fair. That is some had more than three developed water projects while others did not have any. Most of the *kebeles* that did not get any were remote; hence, the location might have influence the *Woreda* water desk to concentrate on some accessible areas (figure.1).

Water Point Project Committees were established for mobilizing community during drinking water development and management of it thereafter. Each water committee had a total of seven

members of which three were females and four were males. It was pointed out by the Water Desk at the *Woreda* that the role of men in the committee was as chairperson, secretary, treasurer, and maintainer of the project. And the position of women was controller, storekeeper, and maintainer of the project. During the interview, women recognized themselves as members of the committee and did not feel that they have additional tasks because their role as storekeeper and controller were practiced only during the water point development.

In the *Woreda*, a total of 348 individuals, 199 males and 149 females, were trained to manage the water points. The training, as stated by the committee and water desk, was not ideal to make the trainees capable of carrying out their responsibilities. The major components of the training were the following: Relevance of potable water, the owner of it and the way people should use it for longer period and so on. There was no special kind of technical training. This in turn limited the capacity of the committee to fully discharge their responsibilities.

The responsibilities of Water Point Project Committee were to mobilize people during digging and fencing, collect annual or monthly user fee, report problems during the dysfunction of the water point, employ guard in consultation with the community, fence the water and control the users to properly use it. All these regulations were implemented with the help of the guard. When people violate these rules they are penalized according to their bylaws. The bylaws were developed by the committee in collaboration with the *iddir* leaders and were unwritten.

The internally developed bylaws could be advantageous in a sense that the people develop it with negotiation and consensus; as a result, there would be a high probability that the users can respect it. In addition, they can change or amend it when ever needs arise; this might help them able to develop rules and regulations for administering other development projects as well. However, in our case, the bylaws were unwritten and not well known by *kebele* administration or other government body; hence, it could probably be easily manipulated and difficult to govern the users. Four focus group discussions with dwellers and water project committees in three *kebeles*, revealed that there was a strong relationship between the committee and the local *iddir* in discharging the responsibilities of the Water Point Project Committees. For instance, default

of any user to obey the bylaws had a penalty from the *iddir* that range from monetary to out right exclusion from *iddir* membership.

In one of the *kebeles*, Enebie- Chifar, the *iddir* members took the initiative to develop a hand-dug well in response to the shortage of potable water and request the *Woreda* Water Desk for necessary support. The project was completed in a month and was functioning with all the facilities. The users contributed and deposited 400 birr in saving and credit institute in the name of the *iddir* to cover the cost of maintenance. They also contributed four birr per annum per household for the guard. The rural people, more often than not, prioritized the problem of potable water that was observed in self-initiated water point project development for instance in Enebie-Chifar.

In contrast to the case in Enebi-Chifar, the community's effort in Chihot Mender of Gudalema *kebele* was disappointing. Before the development of the spring in Chihot mender, the local people had fenced it with stone in a way that did not permit the entrance of animals. This spring was developed as part of integrated watershed management in 200/1 with support from Sida. The spring was developed and the tape was installed around 83 meters down from the spring. Until 2003 it was maintained three times by the *Woreda* Water Desk; then after, the *Woreda* Water Desk resisted maintaining it because the desk did not have the budget and the users did not deposit money for maintenance.

The current situation of the spring was so bad that both animals and humans were sharing the same spring at the same spot. The farmers responded during the focus group discussion that they did not have money to invest on cement, tubes or any other stuff except contributing free labor. So they said that they were highly interested to destroy all the construction and rebuilt in their indigenous way as they did before. They were fed up with nagging the *Woreda* water desks for help because; they did not have the financial and technical capacity to maintain the water point project. However, they were frustrated that the *Woreda* would penalize them by not supporting other developmental activities.

Despite the high interest of the community for expansion of drinking water projects, the efforts for making the projects sustainable were not satisfactory. From a total of 59 projects, it was in small number of them that the users had deposited a certain sum of money for maintenance. The communities in most water projects did not have money for maintenance. This is because such initiative of depositing money for maintenance was a recent phenomenon that was started by the 2004. Therefore, it was only in those projects developed after this initiative (16 projects) that depositing money for maintenance was started. Even though there was an attempt of making communities using those projects established before this initiative to deposit money for this purpose, the action in this regard was not satisfactory according to the key informant at the *Woreda* and FGD with Water Committees and the community members. This means, hence, that the dysfunction of any of these projects will have low chance for maintenance.

For digging and installing of tubes and mainly for maintenance of projects, a total of 44 artisans were trained. Of these only 28 were working with the *Woreda* Water Desk. The artisans were mainly from the town and there was no any kind of mechanism to communicate them for necessary assistance by Water Project Committees or the community. The fact that neither the artisans had any kind of linkage with water project committees nor did the committees had the skill to maintain their projects had created a great problem of dependency on the *Woreda* Water Desk. Moreover, during the interview it was found out that many water projects were deteriorating: Some were not providing adequate water to the users, others did not have fences or guards; and users were not contributing fees; yet it was only one water point which was officially reported as not functioning.

Therefore, the presence of many water points for which the users did not deposit a sum of money for maintenance, the artisans detachment from water point project committees, the limited skill of Water Project Committees, unavailability of formal meetings between the Water Desk and the community or the committees to assess the prevailing problems as well as lack of contact and problem of recognizing role of *iddirs* in these activities by the program were indications for questioning the sustainability of many of the water points. The poor, financial, technical and managerial skill of the community; and poor institutional setup jeopardized the interest of the community to manage and maintain projects.

5.8. Women’s Participation

Women’s participation in WSP was assessed according to the following criteria: Their knowledge about the program; their involvement in meetings and ability to express their views; number, membership and responsibility in different project committees; and their benefits from different trainings. As shown in the table 6, of the 39 women interviewed, 30 (83.3%) knew about the program, 15(38.5%) attended meetings and 19(48.7%) participated in implementation activities. This figure was 52(91.2%), 46(80.7%), and 42(73.7%) in males, respectively. A total of 82/96(85.4) respondents were familiar to development activities undertaken in their localities of which women participants accounted 31.5%. Whereas from a total of 62/82 participants of meetings on development activities women account 15(18.3%). Their participation was even lower during implementation; from total of 62/82(75.6%) participants in implementation 19/82 were females, which were half of the number of men participants.

Table 6: Respondents knowledge about the WSP, attend meeting about development activities and take part in implementation classified on gender.

Sex	Respondents know about WSP activities				Total	Respondents participate in implementation of WSP				Total	Respondents participate in Development meetings				Total
	Yes		No			Yes		No			Yes		No		
	No.	%	No.	%		No.	%	No.	%		No.	%	No.	%	
Female	30	31.5	9	9.4	39	19	23.1	14	17.1	33	15	18.3	15	18.3	30
Male	52	54.2	5	5.2	57	42	51.2	7	8.54	49	46	56.1	6	7.3	52
	82	85.4	14	14.6	96	62	75.6	21	25.6	82	61	74.4	21	25.6	82

Source: Survey

Women’s representation in the planning team was also low. That is from 21-24 people elected into the KLPT, only six to eight were females. Women participation during election of KLPT was also low; from the total of 24 respondents present during the election of the KLPT, only 4 were women.

It was also found out that from the total of 348 Water Point Project Committee members who took part in training 149 (42.8%) were women. In most cases women’s position in the committee was ordinary membership. The position of chairperson, secretary and treasure were given exclusively to men. It was found out that the low participation of women were associated to

high turnover of staff at the *Woreda* and the *Kebeles* that were trained on gender and participation. Moreover, the periodic training given about gender and participatory planning was also less emphasized in *Woreda Support Program (WSP)* of Sida in *Awabal Woreda*.

The inequitable share of women with men as beneficiary, as planning team member, as project administrator, in implementation could be due to the following reasons. Women were not present in *kebele* administration and less in *kebele* council; as a result, information flow from the *Woreda* to the *Kebeles* was among men. In addition, there was no formal channel that women can be reached, the culture do not permit women to spend their time with men and the *kebele* administrative people, and there was no strong women association that the *Woreda* can communicate with for promoting participation of women. On top of these, women's participation was not understood as part and parcel of community participation particularly by the *kebele* administrative people, there was no strong push from the *Woreda* to ensure the involvement of women in different activities, women were busy in household tasks and were not interested, and they feel that the participation in *kebele* level was men's tasks. Moreover, in the selection of KLPTs, men were represented from different age groups, youth adult and elderly, whereas, women as a special category of the community were grouped in one basket despite the age differences.

Therefore, their participation in Sida's WSP in planning, implementation, and as beneficiaries of different trainings was lower than their male counterparts.

However, from the program emphasis, particularly, investments to water point project development have a remarkable contribution in terms of reducing the workload of women and girls.

5.9. Participation of the Youth and the Elderly

Youth participation in WSP was assessed by their knowledge about the program; their involvement in meetings and ability to expressing their views; number, membership and responsibility in different project committees. As shown in the table 7, from 14 youth interviewed, 10(71.4%) knew about the program, 6(42.8%) attended at meetings and 7(50%)

participated in implementation activities. This figure was nine (81.1%), seven (63.6) and three (27.2%) for elderly, respectively. In terms of attending meetings, the elderly did better than the youth. On the contrary, youth participated more during implementation of activities than the elderly. When we compare these figures with that of the adults, which were 63(88.7%), 48(67.6%) and 51(71.8), respectively, they are strikingly low.

Table 7: Respondents knowledge about the WSP, attend meeting about development activities and take part in implementation classified by age.

Age	Respondents know about WSP activities				Total	Respondents participate in Development meetings				Total	Respondents participate in WSP activities				Total
	Yes		No			Yes		No			Yes		No		
15-24	10	10.4	4	4.2%	14	6	7.3	4	4.9	10	7	8.5	3	3.6	10
25-64	63	65.6	8	8.3	71	48	58.5	15	18.3	63	51	62.2	12	14.6	63
>64	9	9.4	2	2.1	11	7	8.5	2	2.4	9	3	3.6	6	7.3	9
Total					96					82					82

Source: Survey

The Youth were less represented in KLPTs and in the Water Committee. From a total of 34 members of the KLPT and the Water Committee Members interviewed, only a lady in this age group had the chance to be member of a Water Committee and no one in this age group was involved as member in the KLPT. The elderly were better in terms of access to information about presence of planning teams, participate in election and being member than the youth.

Youth participation was limited by various factors. The major one was that most of them stay with their parents and work under the permission of their parents. The other was that newly married couples that were land less were not expected to participate in any kind of development activity in the locality and were busy in daily labor activities. Elderly people, on the other hand,

were actively participating in meetings and as members in the KLPT but they were exempted from implementation.

Therefore, the most active participant in all phases of the program was male adults (aged between 26-64). People in this age group were more influential both economically and politically. *Kebele* Administrator, *Kebele* Council Member, Water Committee, Planning Team Members and the active workforce and household heads were also from this age group.

5.10. Collaboration with Community Based Organizations

The program attempted to institutionalize community participation and insure sustainability of projects by selecting community representatives in different activities: Representatives in planning, in provision of land certificate, election of small and micro and small scale development beneficiaries, Water Point Project Committees, road care takers, etc. On the other hand, CBOs such as *iddirs*, *equibs*, elderly groups, and labor exchange institutions and religious associations were among the indigenous institutions recognized in the *Woreda* as relevant for information dissemination, and mutual support (Development Study Associates 2003). However, the program did not yet utilize them. According to the key informants at Zonal level, the program did not utilize them because they were many in number, and distributed in a scattered manner. And they claim that the program did not have good experience in other project area – CEP in South Wollo.

The above explanations for the program's failure to use CBOs were not convincing, because firstly the number of committees that were established by the Program were not too few to involve most of the *iddirs*. Secondly, failure of CEP in using CBOs – *kires* in South Wollo – was due to its inability to integrate *kires* with Government structure rather than its attempt to use CBOs (ANRS/Sida Cooperation in Rural Development 1996). The FGD with Water Committees and the dwellers of some *kebeles* revealed that CBOs such as *iddirs* were of paramount importance to accomplish the tasks of the program at community level.

This finding agrees with the views of Uphoff and Esman (1984). They argue that local organizations have ample contribution to rural development in terms of efficient utilization of resources, equitable share of resources and empowerment of members. They are preferred to be the best channel for rural development efforts particularly in resource poor areas of most developing countries. The finding of Helland (2004) in Merry Joys in Addis Ababa supports the view of Uphoff and Esman (1984). He has found out that Merry Joys has been working with more than 300 *iddirs* in three *kebeles*. Use of *iddirs* by this NGO has been found to be the right point of intervention because the *iddir* meeting has been used as a forum for communication, the leaders have a strong influence in mobilizing community resources and upgrading the capacity of *iddirs* increases the sustainability of projects.

Given that Sida *Woreda* Support Program is intended to increase community participation as well as increase the sustainability of development projects, use of CBOs is very important provided that they are fair to all the participants. At the outset it may seem that CBOs are scattered, do not have strong basis to be used for development and are many in number; However, it is possible to federate such CBOs and strengthen their capacity than to establish community participatory institutions from the scratch as has been done by SARDP. Therefore, although the SARDP and these NGOs were working in different settings and could be difficult to directly recommend the former to use of CBOs; its current approach seems to be less relevant than using CBOs and may need to reconsider them.

5.11. Limitations for Community Participation

Participation of different stakeholders in different stages of project cycles was found to be different. Participation of the community was hindered by many factors. In this study, frequently mentioned factors for limited community participation were associated with from program design and implementation, problem from government officials and from the community.

1. Program design and implementation

- The planning approaches: The different planning approaches at different phases of the program failed to insure community participation until the final compilation process of

the *Woreda* plan. The PADETS involved community participation during problem identification at grass root level but the merging of *got* level plans at the *Kebeles* and the *Woreda* level compromised the priori interests of different *gots*. Moreover, the approach did not have any mechanism that enables the community to participate during monitoring and evaluation. While this attempt was quitted for two years in the second program phase, the attempt to institutionalize community participation in all stages of the project cycles in the third program phase planning had failed to materialize the intended benefit. This was because the election of the KLPT members and their involvement in the planning process was practiced in sample *kebeles* where they were not known by the community in the sample *kebeles* let alone by those in non sample *kebeles*. Besides, the KLPTs were not followed up to involve in monitoring and evaluation. Therefore, the planning approach it self limited the participation of the community in different phases of the project cycle in WSP.

- During implementation process, there was also a problem with the scheduling of developmental activities in relation to farmers' seasonal tasks at the *Woreda* and the *kebele* level. There was also Problem of prioritizing private tasks over communal activities. This was more prominent in the relatively disadvantaged groups of the community such as pity traders. The poor are too busy to earn their daily living than to work for other communal developmental activities. Many of the projects undertaken by the *Woreda* Support Program were infrastructure development and natural conservation activities; these were secondary tasks for a poor who did not have any thing for daily food.
- Another problem of the program was that there was lack of continuity and follow-ups in training: This was the case observed in different trainings on improving agricultural productivity, economic diversification, and Water Point Projects. For example, people were trained on compost preparation, making energy saving stoves etc. But there was no follow up for the effect of the training; consequently, people were highly interested to take part in training to get the per diem not for using the training to improve their

livelihood. This was a crucial problem that made the effect of capacity building non-productive. Given that the program invested much of the fund for capacity building, failure to follow up, assist the trainees until they were able to properly use the training and get the benefit out of it made the investment to be futile and reduced the chance of making development interventions sustainable.

2. Problem of Government Officials

- The *Woreda* experts were not motivated to undertake tasks in collaboration with the community. This might be due to the fact that salary of the staff was paid based upon the mere placing of signatures on the attendance sheet, there was no reward for hard workers and penalty for others; moreover, promotion and transfer was based on personal relation with the respective officer, according to the key informants at *woreda* level. As a result, they did not want to go through all the hardships of working with the community.
- The *Kebele* Administrators behave as political appointees and did not feel that they were responsible for developmental activities. It was pointed out by the *Woreda* Rural Development and Agriculture Experts and the Focus Group Discussants in different ways that, so far as the *Kebele* Administrator was able to collect the loan from indebted farmers for fertilizer, and remain loyal to the *Woreda* Administration Office, they would remain in the position despite complaints from the *Woreda* experts or dwellers.
- Lack of cooperation among different Offices in the *Woreda*: Although different offices planned different tasks, the benefit to the community was the integrated outcome of all of them. But practically these sectors were not working cooperatively. For instance, the agriculture and rural development office supported different water harvesting techniques and when farmers dug holes for water harvesting, the health office working in the same area train farmers to avoid swampy areas to eradicate malaria which resulted in contradiction of development activities. This consequently, resulted in wastage of farmers' resources.
- The *Kebele* Administration body was accountable to the *Woreda* administration office so complaints of the *Woreda* Experts and dwellers fall in deaf ears. Moreover, the

community members were not allowed to evaluate the performances of the *Kebele* Administration Bodies. As a result, there was no way the community could evaluate the goods and bads of leaders and empower the leader that could operate to the best of the *Kebele*. Hence, there is a need to correct these chronic problems by the *Woreda* in concert with the community in order that development activities can achieve their goal.

- In addition to lack of commitment there was also high reshuffling and turn over of staff that was the most chronic problem in this *Woreda*. This problem coupled with poor documentation and institutional learning system made development process extremely difficult.

3. Problem with in the community

- The community was not free of a dependency syndrome on the Government: That is the community members were habituated with expecting the Government to do developmental works. It was pointed out by the key informant at Zonal level that the community was not very much interested to work for communal activities without any payment. Some NGOs including World Food Program gave the community money or wheat for resource conservation activities performed by the community as Food For Work or Cash for Work Program in different area in Amaha Region (Betru 2000, Yeraswork 2000, Humphrey undated). Therefore, the community did not welcome communal works without any payment and they normally expected the Government to perform developmental task in every locality.
- There was also a frequent violation of community norms in community development works. During community mobilization, the people agreed to penalize those who did not participate, but those people were not penalized. So people were discouraged to work at another time since the norm violators were not penalized.

- The merging of two or three *kebeles* into one during 1995/6 was another factor for aggravating the problem. Each former *kebele* requested the project to be located in its locality; after the final decision for the site selection, there was high internal friction which resulted to less participation by those who failed to bring the project into their locality. They did not work and some times fight with those people from their locality who were willing to participate. It was also indicated by the key informant that the projects were located in the locality where the chairperson or vice chairperson came from. If the two came from two different localities, the fighting would be tough.
- The problem of raised expectations: People during the planning process request many things, which might be out of the interest of the program. Failure to materialize these led to disappointment of the community that may in turn resulted to less participation. This was a critical problem during the first program phase where communities were involved in workshops for planning.

CHAPTER SIX

Conclusion

The concept of development, its major players, its measurement and approaches have all been changed from time to time. The effort of international development agencies to assist developing countries has also been changed with changes in development paradigms. Various approaches such as sectoral development and integrated rural development approaches have been attempted and in most instances were not able to bring about the intended development. Currently, participatory approach has been advocated as a modern approach of achieving development. Although its merit is still debatable, many development partners are attempting participatory approaches to bring about development with the understanding that participation ensures the incorporation of communities interest, increases their capacity, permits the community to utilize their indigenous knowledge, increases sustainability of development interventions and leads to empowerment of the community.

Introduction of community participation in development process has been attempted in Ethiopia since the 1974 drought episode. However, previously, practicing participation in its true sense was difficult because of recurrent drought, state violence and stifling political system of the *Derg* Regime. The current Government shows the political will to allow communities participation in development by explicitly stating in Federal Constitution and ‘devolving’ power to the *Woreda*. In line with this, all development partners are attempting to undertake participatory development intervention. Sida Amhara Rural development Program (SARDP) has been operated virtually in all *Woredas* of East Gojjam and South Wollo Zone of the Amhara Region since 1998. The primary objective of the program is to improve the agricultural productivity of farmers and wise use of natural resources in sustainable and participatory manner. Until now, the program is functioning in three program phases. One of the major components of SARDP is the *Woreda* Support Program (WSP).

This study was aimed at investigating the participation of the community, the approaches used and problems encountered to realize community participation in Awabal *Woreda*, East Gojjam Zone, in Amhara National Regional State. Both qualitative and quantitative data were collected

using focus group discussion, key informant in-depth interview, semi-structured interview and small-scale survey.

The study revealed that the *Woreda* Support Program supported the *Woreda* in various development activities and was contributing to development endeavors in the *Woreda* substituting the Government budget. The *Woreda* Support Fund was increasing from half a million in 1998 to more than three million in 2005. The objective of the WSP was to increase the capacity and empower the *Woreda* to be able to administer its development affairs and respond to the needs and requests of the community. Therefore, the *Woreda* Support Fund was given to the *Woreda* as a block grant, particularly during the first program phase; however, the *Woreda*'s power over the fund was reducing from allocating the Fund to its priori interest based on the communities interest and revising the allocation through time to loss of power even to determine the proportion of the allocation to different developmental works during planning.

The WSP used different participatory approaches in different program phases. In the first phase of the program, it used PADETS approach; in the second phase of the program, there was no methodology used; and in the third phase of the program a representative KLPT from representative *kebeles* were chosen to involve in different stages of project cycle. Community participation was high during problem identification in PADETS approach but the merging of priorities at the *Kebele* and the *Woreda* level led to the filtering out of the community involvement at the *Woreda* level plan. There was no community participation in planning in the second phase of the program. The approach used in the third phase attempted to involve representatives of KLPT to participate in development of *Woreda* roll-plan. However, the KLPT was not known by the majority of the community members, did not participate in implementation, and monitoring and evaluation, many of the *Kebeles* did not know or participate in the process. In these three program phases approaches were being changed from time to time and were experimental in their nature.

The level of community participation was found to be different in different stages of the project cycle. The participation of the community was found to be highest in implementation stage in terms of contribution of labor and material. This was found to be increased from 25% of cost of projects in the first and second program phases to 75% of cost of projects in the third phase. Their participation was low in planning and was virtually absent in monitoring and evaluation. Besides, the study revealed that the participation of different groups of the community varies in different stages of project cycle. Youth, elderly, and women participated less than adult men in all stages of project cycle. Comparatively youth participated better in implementation than did elderly and elderly participated more in planning than youth. Moreover, the study showed that community participation in the development of Governments strategic plan was negligible and the planning process was a top down one. Of the project activities, it was found out that community's interest, level of participation and involvement in administering development projects was found to be better in water point projects while it was lowest in natural resource conservation activities. Even in the water points, their participation, particularly in administration of projects was very limited because of their limited financial, technical, managerial capacity and poor institutional set ups.

Various factors were found to contribute for the low participation of the community at different stages of a project cycle. The major ones were the ever shifting and experimental participatory planning approaches employed by the program and its poor implementation; failing to harmonize the programs schedule with farmers seasonal program; limited capacity of the community such as high illiteracy, low financial and technical and managerial skill; high reshuffling and turnover of staff; lack of follow ups on the impacts of training; conflict of interest among people residing in different *gots* during site selection for projects; lack of commitment of staff members at *Woreda and kebele* level and the community, and dependency syndrome of the community.

Therefore, community participation in Ethiopia, in its true sense, as discussed in the literature review, and in the present study, is a recent phenomenon and is being explored by development actors. It is thus in its infancy, and it does not go beyond mere advocacy and documentation with insignificant practical moves. The probability of realizing community participation is

dependent on the social, political economic, cultural and institutional setups of nations at different level. Hence, realizing real community participation demands the transformation of these setups in a way that reduces the impediments imbedded in them.

References

- Abraham Friew (2002) **NGOs Experience With a Practice of Participatory Development: The Case of Care Ethiopia, Borena Pastoral Water Development Program M.A thesis, Addis Ababa, Addis Ababa University, Department of RLDS**
- Administration office Awabal *Woreda* (2004) **Financial Report of Awabal *Woreda*, Sida Support**
- Agreement between Governments of Ethiopia and Sweden (1997) **Agreement between Governments of Ethiopia and Sweden in Rural Development Program in Amhara Region**
- Amhara National Regional State (2004) **SARDP Impact Assessment Report First Draft, Awabal *Woreda*, Bahir Dar**
- ANRS/Sida (2002) **Final Report on SARDP's Implementation of the First Phase, Bahir Dar, Ethiopia**
- ANRS/Sida (1996) **Sida Support to the Amhara National Regional State Program Document Final revised, ANRS/Sida Cooperation in Rural Development, Bahir Dar**
- ANRS/Sida Cooperation in Rural Development (1996) **Evaluation of the Community Empowerment Program in South Wollo Ethiopia, A consultant Report Prepared for the Swedish International Development Agency**
- Assefa Wokie (2001) **an Assessment of Participatory Planning Process a case of ANRS-Sida Cooperation in Rural Development, Debre Markos**
- Belay Kassa (2003) Agricultural Extension in Ethiopia: The Case of Participatory Demonstration and Training Extension System, **Journal of Social Development in Africa Vol.18** No. 1 pp (49-80) Department of Economics, Alamaya University, Ethiopia,

- Betru Nedassa (2002) Soil and Water Conservation in Amhara National Regional State in Tilahun Amedie (ed.) **Proceeding of the Conference on National Resource Degradation and Environmental Concerns in ANRS Ethiopia: Impact on Food Security**, Bahir Dar
- Blench, R., Dessalegn Rahmato and K. Ralsgard (2001) Amhara National Regional State in Area Development Projects, Poverty Reduction, and New Architect of Aid **Sida Evaluation Report pp (57-124)**
- BoA/ ANRS (2002) **Evaluation of Participatory Demonstration Training and Extension System**, Bahir Dar, Ethiopia
- Cohen, J Uphoff, N (1980) Participation's Place in Rural development: Seeking Clarity Through Specificity , **World Development** Volume 8, No. 3 Pergamon Press Ltd.
- Brohman, J. (1996) **Popular Development: Rethinking the Theory and Practice of Development**, Black well Publishing Inc. Masachuswts, USA
- Burkey, S. (1993) **People First: A Guide to Self-Reliant, Participatory Rural Development** Pub.Zed Books Ltd., UK and New Jersey, USA.
- Clayton, A., O. Peter and P. Brain (1998) **empowering people: a guide to Participation**, New York, UNDP
- Central Statistics Authority (1998) **The 1994 Population and Housing Census of Ethiopia, Result at Country Level**. Addis Ababa, Ethiopia
- Development Study Associates (2003) **SARDP Four Year Woreda development Program**, Awabal *Woreda*, Draft Report
- Esman J. and T. Uphoff (1984) **Local Organizations Intermediaries in Rural Development**, Cornwall University Press ltd, London
- Fiseha Kebede (2002) Integrated Rural Development Approach as a Strategy for Poverty Alleviation: The case of Kemashi WIBs program Development Initiatives, **M.A thesis, Addis Ababa University**, Department of RLDS
- Ghai, D. & Vivian, M. Jessica (1995) **Grassroots Environmental Action: People's Participation in sustainable development**, Rutledge; London and New York.
- Habtemariam Abate (1997) **Targeting Extension Service and the Extension Package Approach in Ethiopia**, Addis Ababa

- Handingham T. (2003) **Decentralization and Development Planning: Some Practical Considerations**, Development planner, Scot Wilson
[www.transport-links.org/transport_links/filearea/publications/1_802_Decentralisation%20and%20Development%](http://www.transport-links.org/transport_links/filearea/publications/1_802_Decentralisation%20and%20Development%20)
- Heck, V. (2003) **Participatory Development: Guidance on Beneficiary Participation in Agricultural and Resource Development**, Rural Institution and Participatory Service, Rural Development Division, FAO
- Helland, J. (2004) **Study of the Impact of the Work of Save the children Norway in Ethiopia: Building Civil Society**. Chr. Michelson Institute
- Humphery, L. (undated) Food for Work in Ethiopia: Challenging the Scope of Project Evaluation**, IDS working Paper 81
- Karl, M. (2000) Monitoring and Evaluation Stakeholders Participation in Agriculture and Rural Development: Annotated Bibliograph* <http://www.fao/sd/ppdirect/ppre0074b.htm>
- Kassahun Birhanu (2002) The Role of NGOs in Promoting Democratic Values: The Experience of Ethiopia in Bahiru Zewdie and Pausewang, S. (eds.) **Ethiopia: The Challenge of Democracy from Below**, Addis Ababa, Ethiopia
- Lakew Desta, Minale Kassie, S.Benin, J.Pender(2000) Land Degradation and Strategies for Sustainable Development in the Ethiopia Highlands: **Amhara Region Socio Economics and Policy Research Working Paper 32** International Livestock Research Institute.
- Long, C. (2001) **Participation of the Poor in Development Initiatives**, Earth scan Publishing ltd. in UK and USA.
- Mardsons, D. (1991) What is Community Participation, pp29-50 in Crook,R.C. and Jerve A. M. (eds.) **Government and Participation: Institutional Development, Government and Democracy in Third world**, Chr, Michlinson, Institution, Development of Social Science, Bergen.
- Ministry of Youth, Sport and Culture (2004) **Ethiopian Federal Democratic Republic National Youth Policy**, (Amharic Version) Addis Ababa
- Oakley, P. (1990) The Meaning of Evaluation of Social Development, pp 1-27 in Mardsons, D. and Oakley. (eds.) **Evaluation Social Development Projects**, Oxfam
- Orgut/Dangro (1996) **Natural Resource, Demography and Socio Economics: Sida**

Support to Rural Development Planning Phase in Amhara National and Regional State Bahir Dar Ethiopia

Over Seas Development Administration (1995a) **A Guide to Social Analysis for Projects in Developing Counties**, Crown, London

Over Seas Development Administration (1995b) **Note on Enhancing Community Participation in Aid Activities**, Social Development Department

<http://www.euforic.org/gb/stake2.htm>

Over Seas Development Administration (1995c) **Guidance Note on Indicators for Measuring and Assessing Primary Stakeholders Participation**, Social Development Department

Rondinelli, D. (1993) **Development Projects Experiments an Adaptive Approach to Development Administration**, 2nd ed. Rutledge, London and New York.

SARDP-PCU (Undated) Sida Amhara Rural Development Program, Bahir Dar, Ethiopia

SARDP (2004) **Third Program Phase Program Document**, Bahir Dar, Ethiopia

Tegegn G/Egziabher (2001) **The Experience of Selected Donors/ NGOs in Rural Service Delivery**, a Report Submitted to World Bank, World Bank Country Office in Ethiopia, African Region

The Constitution of the Federal Democratic Republic of Ethiopia (1995) **Federal Negarit Gazeta**, 1st Year No.1, Addis Ababa 21st August.

World Development Report (200/1) **Attacking Poverty: Making the State Institutions More Responsive to the People**, Washington DC, USA

World Bank (1996) **the World Bank Participation Source Book**, Washington DC, World Bank

Yearswork Admassie (2000) **Twenty Years to Nowhere: Property Right, Land Management and Conservation in Ethiopia**, the Red Sea Press, Asmara

Annexes

Annex I

Data collection Instruments

For the community members

1. Sex
2. Age
3. Education level
4. Income level
5. Do you have any information about *Woreda* Support Program activities?
7. Have you ever attended development workshops?
8. Have you raised any issue in the workshop?
9. Do you know the establishment of the *kebele* level planning team?
10. Were you there when planning teams are elected?
11. Have you ever participated in implementation of Sida's *Woreda* Support Program activities?
13. If your answer for the above question is yes what kind of contribution do you made.
14. Is there any water point project being undertaken or already completed in your surrounding?
15. If your answer for the above question is yes is that functioning well
16. Is there any kind of problem that the water post encountered?
17. Is there a water point project committee in your surrounding?
18. What do the water project committees do?
19. Do you know who elected them?
20. Who elected the committee?

Interview guide for focus group discussion of planning team members

1. The focus Group Discussants

Name

Sex

Age

2. How does the planning team member are elected

-Criteria for selection

3. What is the role of the planning team in

-Planning

-Implementing

-Monitoring and Evaluation

4. Planning team capacity building and relation

-Training given to the team

-Relation with the community

-Relation with *Kebele* and *Woreda* Administration

-Relation with community organizations

-Relation with other planning team

5. What are the major problems the committee encountered in undertaking its activities?

Interview guide for focus group discussion with Water project committees

1. The focus Group Discussants

Name

Sex

Age

2. How does the water point committee member are elected

-Criteria for selection

3. What is the role of the water committee in

-In water development

-In managing, monitoring and evaluation

4. The committee linkage and capacity

-Training given to the committee

-Relation with the community

-Relation with *Kebele* and *Woreda* Administration

-Relation with community organizations

-Relation with other water committees

5. What are the major problems the committee encountered in undertaking its activities?

To the *Woreda* office holders

1. Sex

2. Age

3. Position

4. Educational Qualifications

Educational Level

Field of specialization

5. How long have you worked in this position in this *Woreda*

6. Have you ever taken part in participatory planning and gender?

7. Have you ever take part in planning for Sida's funded activities with the community workshop?

8. Does your office use the information gained from the workshop for planning?

9. What kinds of activities are done in this office using WDF?

10. How do you select project committees in those projects?

11. What is the role of the committee?

Key Informant at Regional, Zonal, *Woreda* Level

1. There was a Community Empowerment Program/Method/ Approach of planning by Sida in South Wollo in 1996 why it is dropped now?
2. Does *Woreda* Support development activities of Sida managed and operate in a different way than the government block grant?
 - In area of emphasis
 - Planning
 - Implementation
 - Monitoring and evaluation
3. Is there any kind of mutual committees established between
 - The *Woreda* people and sida
 - Community representatives and *Woreda* people
4. Have you ever considered the use of community based organizations as a means of intervention than establishing planning teams and project committees?
5. What are the factors that inhibit the participation of the community?

Annex II

List of People Contacted.

1. Key Informants

1. Belachew Getnet *Woreda* SARDP Focal Person Lumamie Administrative Office
2. Ato Nigussie Yeneneh Extension Team Leader of Rural Development and Agriculture Office
3. Habtamu Sahilu SARDP Coordinator at Zonal Level, Debre Markos
4. Assefa Workie, *Woreda* Program Management Debre Markos, Project Coordinating Office
5. Ato Awoke Kassa, Program Officer, Regional SARDP, PCU, Bahir Dar

2. Focus Group Discussants

Group 1. Planning team Members and Dwellers in Enebie Chifar Kebele

- | | |
|------------------------|----------------------|
| 1. Ato Muluken Alemu | Planning team Member |
| 2. Ato Asres Amtachew | Planning team Member |
| 3. Ato Girman Tadele | Planning team Member |
| 4. Ato Musye Belsti | Planning team Member |
| 5. Ato Abate Tadesse | Planning team Member |
| 6. Ato Hunie Alemu | Planning team Member |
| 7. W/o Agernesh Muluye | Planning team Member |
| 8. W/o Tige Gelaw | Planning team Member |
| 9. W/o Mintie Egigu | Dweller |
| 10. Niguss Abate | Planning team Member |

Group 2. Planning team Members and Dwellers in Gudalema Kebele

- | | |
|-----------------------|----------------------|
| 1 Ato Nigussu Abate | Planning Team member |
| 2.Ato Wubetie Melkamu | Planning Team member |
| 3.Ato Adamu Demisie | Planning Team member |
| 4.Kes Demis Bayih | Planning Team member |
| 5.W/ro Agernesh Abate | Planning Team member |
| 6.W/rt Habtam | Development Agent |
| 7.Ato Asres Getahun | Dweller |
| 8.Ato Belew Mersha | Dweller |

Group 3. Water Point Project committee and Dwellers in Enebie Chifar Kebele

1. Ato Beza Enyew Chairperson of water the committee
2. Ato Nakie Zewdie Secretary
3. Ato Mossu alemu treasurer
4. Ato Amare Baye Maintainer
5. Ato Baylie Gerem Controller
6. Ato Assaye Gizie Store Keeper
7. W/ro Sewnet Niguss Maintainer
8. Ato Egigu Gezahegn Dweller
9. Lankrie Trunch Dweller

Group 4. Water Point Project committee and Dwellers in Gudalema

1. Ato Niguss Asmare Secretary
2. Ato Tadie Asrese Chairperson
3. W/ro Aynadis Emiru Store Keeper
4. Ato Mengstie Tiruneh Member
5. Ato Meku Asmare Member
6. W/ro Emebet Wudie Dweller
7. Ato Tesfa Lullie Dweller
8. W/ro Simegn Dweller

Group 5. Water Point Project committee and Dwellers in Gudalema

1. Ato Andargie Chanie Charman
2. Ato Wudu Wondie Treasurer
3. Ato Molla Kassa Secretary
4. Ato Temie Awoke Dweller
5. Ato Adamu Demis Dweller
6. Ato Bantie Bassie Dweller
7. Ato Wagaw Ayele Dweller
8. Ato Motembie Atele Dweller

Group Six Women focus Group Discussion

1. W/rt Lakech Getu Water Committee Member

2. W/ro Tibeyin Tegbar	Member
3. W/ro Nechit Wudie	Dweller
4. W/ro Yabunie Yibeltal	Dweller
5.W/ro Tiguated Yalew	Dweller
6.W/ro Tiru Niggus	Dweller