



KENYA FORESTRY RESEARCH INSTITUTE

**POLICY FOR PUBLIC PARTICIPATION IN
FORESTY RESEARCH AND DEVELOPMENT:
ROLE OF ECO-REGION RESEARCH
CONSULTATIVE COMMITTEES**



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ROLE OF ECO-REGION RESEARCH
CONSULTATIVE COMMITTEES**

compiled by:

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July 2023

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Published by:

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Edited by: Paul Tuwei and Dorothy Ochieng

Layout & Design: Evans Abuje

Printed by: Columbus Printing Industries

FOREWORD

Engagement of stakeholders in the process of research concept development, implementation, and monitoring is key in ensuring success of KEFRI research and development programmes/activities. This engagement strives to ensure that the research and development programmes/activities provide relevant outputs that address problems of the target stakeholders.

The Kenya Forestry Research Institute (KEFRI) has over the years involved stakeholders in development of research via a public participation process implemented through the Eco-region Research Consultative Committee (ERCC) meetings (formerly termed CRACs). During the ERCC meetings, KEFRI engages directly with stakeholders, capturing their input for subsequent decision making in forestry research and development activities. The ERCC meetings are held annually at each Eco-regional Research Programme. Output from the ERCCs are later considered in prioritization, allocation of funds, and subsequent drawing of the Institute Research & Development workplans.

The process of ERCC meetings and its role in KEFRI research has however not been documented. This Policy therefore documents the ERCC meetings as a public participation forum applied by KEFRI in Research and Development. This policy document covers the following aspects: overall Public Participation Process; Justification for the Policy; the Pre- and full Eco-region Research Consultative Committee (ERCC) meetings; key stakeholders to be involved in the ERCC meetings; and expected deliverables. This document also indicates possibility for review of the policy.

It is anticipated that continued use of ERCC meetings as a participatory forum for engaging stakeholders will continue to ensure relevance of research in forestry and allied natural resources, and will lead to greater acceptance and adoption of the research outputs, technologies, and information products to enhance socio-economic development of our country.



Joshua Cheboiwo (PhD)

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ACRONYMNS

CBO	Community Based Organization
CERP	Coast Eco-regional Research Programme
CFA	Community Forest Associations
CFC	County Forest Conservators
CHERP	Central Highlands Eco-regional Research Programme
CRAC	Centre Research Advisory Committee
DD	Deputy Director
DERP	Drylands Eco-regional Research Programme
ECCM	Executive Consultative Committee Meeting
ERCC	Eco-region Research Consultative Committee
ERPs	Eco-region Research Programmes
KARLO	Kenya Agricultural and Livestock Research Organization
KEMFRI	Kenya Marine Fisheries Research Institute
KFS	Kenya Forest Service
LVERP	Lake Basin Eco-regional Research Programme
NEMA	National Environmental Management Authority
NFPRP	National Forest Products Research Programme
NGO	Non-Governmental Organization
MoECC&F	Ministry of Environment, Climate Change and Forestry
PI	Principal Investigator
RD	Regional Director
RDC	Research and Development Committee
RVERP	Rift Valley Eco-regional Research Programme
SDD-R&D	Senior Deputy Director-Research and Development
WARMA	Water Resources Management Authority

1.0 INTRODUCTION

1.1 Overview of KEFRI

Kenya Forestry Research Institute (KEFRI) is a state corporation under the Ministry of Environment, Climate Change and Forestry (MoECC&F) mandated to: conduct research in forestry and allied natural resources; build capacity of stakeholders; disseminate research findings to stakeholders; and establish partnerships and cooperate with other research organizations and institutions of higher learning in joint research and training. KEFRI generates technologies and innovations, information, and knowledge to guide forestry conservation / establishment, and management.

KEFRI undertakes its research and development in line with; Kenya Vision 2030, Constitution of Kenya 2010, National Forests Program (2016-2030), international commitments, and the Institutes 5-year Strategic Plans.

Under the Strategic Plan 2022-2027, KEFRI has four technical thematic areas namely;

1. Forest Productivity and Improvement (FPI)
2. Forest Biodiversity and Environmental Management (FBEM)
3. Forest Products Development (FPD)
4. Socio-economic Policy and Governance (SPG).

The technical thematic areas are supported by;

5. Forest Research Support Services (FRSS)
6. Corporate Affairs and Quality assurance, (CAQA)
7. Corporate Services (CS)

KEFRI research and development activities are implemented at the eco-region research programmes. The Eco-regions are defined by prevailing climatic conditions mainly annual rainfall and temperature. The research and development activities are implemented in five (5) Eco-region Research Programmes and one national programme as follows:

- Central Highlands Eco-regional Research Programme (CHERP -Muguga) supported by Nyeri, Rumuruti and Meru outpost
- Lake Basin Eco-regional Research Programme (LVERP - Maseno) supported by Migori, Kakamega, Ramogi sub-centres
- RiftValley Eco-regional Research Programme (RVERP - Londiani) supported by Turbo, Turkana, Marigat sub-centres
- Drylands Eco-regional Research Programme (DERP - Kitui) supported by Garissa, Kibwezi, Wajir, Hola-Bura sub-centres
- Coast Eco-regional Research Programme (CERP - Gede) supported by Lamu and Taita Taveta sub-centres and;
- The National Forest Products Research Programme (Karura)

Location of KEFRI Eco-region Research Programmes and Sub-Centres is shown in Figure 1.

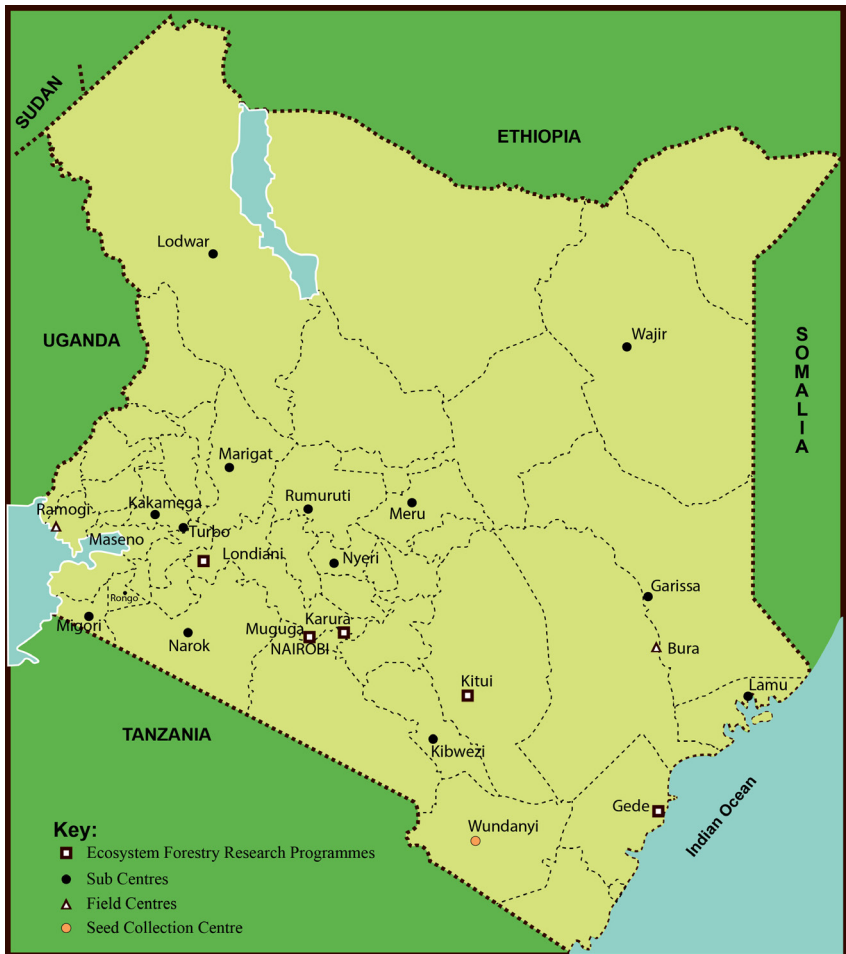


Figure 1: Location of KEFRI Eco-region Research Programmes and Sub-Centres

KEFRI undertakes its research and development activities through clearly defined strategic objectives to meet needs of customers and stakeholders by delivering value through its research products and services. Products and services offered by KEFRI include: forestry technologies and innovations; information and knowledge products; demonstration plots; quality tree seed and seedlings; and wood and non-wood forest products. Services offered by the Institute include:

research and advisory services; consultancy and tailor made courses in forestry and allied natural resources; analysis of soil, plant, and wood properties; training and conference facilities; attachments for research associates and students; nature walks; and landscaping.

To enhance adoption of forestry technologies and increase impacts, KEFRI emphasises that research priorities should be; identified at the implementation level, multi-disciplinary, multi-sectoral, and must have wide stakeholder consultations. Stakeholder consultation enhances formation of strong linkages with local stakeholders, enhances sharing of resources including information, builds trust and eases implementation of research findings, monitoring and evaluation of research activities. Consultation also enables feedback to stakeholders.

1.2 Public Participation Process

The Constitution of Kenya 2010 makes citizen participation a central part of its governance systems as part of national values and principles as provided for in Article 10. / Article 184(1) that requires public institutions to put in place mechanisms “for participation by residents” in key issues within their mandate, governance and management. The public participation process is expected to; strengthen democracy and governance, increase accountability, manage social conflicts, and improve and legitimize devolution implementation processes. The rationale of public participation is based on the foundation that the people of Kenya have sovereign power which they have delegated to state actors at the national and county levels. This sovereignty must be respected and institutionalized in all processes of governance.

KEFRI one of the key national government agencies with a mandate to deliver technologies and information in forestry and allied natural resources is a key player towards the achievement of 30% tree cover in the country by 2032, a process that involves “a whole of government and all citizens approach” through the public participation process. Public participation platforms provide opportunities for the public to take part in decision-making and thus process the prioritization and allocation of public funds at national and county government levels. At the institutional level, public participation involves consultations with interested or affected individuals, other organizations and relevant government entities before a decision is made.

1.3 Justification for the Policy

KEFRI has endeavored to mainstream public participation in its decision making structures and processes especially in research formulation and implementation. In this regard, the Institute in 2002 initiated the Centre Research Advisory Committee (CRAC) meeting as a forum to engage key stakeholders in forestry research and development. Re-branding of the research implementation to follow the eco-region approach resulted in creation of the Eco-region Research Consultative Committee (ERCC) as a public participation platform. The ERCC platform enables key stakeholders of the Institute to directly engage by providing input into research development process.

The current KEFRI Strategic Plan (2022-2027) and subsequent planning process places ERCC at the centre of the Institute’s Eco-regional Research Programmes where research is implemented. The ERCC meetings are held annually to jointly: review on-going

research activities, identify research problems, and plan new research activities. Recommendations from the stakeholders are incorporated into research concepts to be considered during the Institute's Executive Consultative Committee Meeting (ECCM).

2.0 THE ECO-REGION RESEARCH CONSULTATIVE COMMITTEE (ERCC) PROCESS

The Eco-region Research Consultative Committee (ERCC) process shall involve a fifteen 15 - stage process as outlined:

1. The Senior Deputy Director, Research and Development (SDD -R&D) in consultation with thematic Deputy Directors (DDs) and Regional Directors (RDs) shall prepare a schedule for the ERCC in quarter 3 of every financial year.
2. The technical thematic DDs shall send a guideline to scientists in all eco-regional headquarters and their respective sub-centres indicating areas of focus for development of concepts for the Pre-Consultative Eco-region Research Committees (Pre-ERCCs).
3. The RDs shall constitute research teams within the eco-region centres and respective sub-centres to review existing projects/concepts, write reports, and develop new proposals for presentation. **Eco-regional research teams constitute the first level of internal public participation process** in forestry research and development.
4. The RDs and the scientists shall then share the regional outcomes /reports with the technical thematic DDs for review, and recommendation during the Pre-ERCC. This reviews/evaluation shall take place at least 3 days before the main ERCC. The Pre-ERCC brings together scientists within an eco-region and the respective sub-centres to review progress and plan for the main ECRAC. During Pre-ERCC, the technical thematic DDs and biometricians shall further guide the scientists to refine the proposals for presentation during ERCC. **The Pre-ERCC is the**

second level of public participation in forestry research and development

5. The RDs shall invite stakeholders within the respective areas of jurisdiction at least one month before the main ERCC.
6. During the ERCC, stakeholders shall be appraised on research activities implemented the previous year as well as informed on proposed activities for the upcoming financial year. The stakeholders shall provide input to both the implemented activities and the proposed activities. This is the **third level of public participation** in forestry research and development.
7. After the ERCC, the RDs together with respective regional and sub-centre scientists and the Principal Investigators (PIs) shall ensure that the stakeholders inputs are incorporated in the new research concepts, proposals and activities.
8. During consolidation of proposals, the PIs and the scientists shall further consult with biometricians to ensure that the proposed methods, protocols, and data management plans meet international scientific standards.
9. The PIs shall then submit the concepts/proposals to the thematic technical DDs through the RDs for consolidation into multidisciplinary or national projects.
10. Upon consolidation, the Deputy Directors shall present the research projects and their respective work plans and budgets before the Technical Executive Committee (TEC) and later to the annual Executive Consultative Committee Meeting (ECCM). The ECCM comprises of executive members of the Institute from both Research and Development and Corporate Services

directorates and Regional Directors. The ECCM is held in quarter four of every financial year to review, prioritize, and allocate of funds to approved activities / projects. This is **the fourth level** of public participation

11. The approved work plans and budgets from the ECCM shall be presented to the KEFRI Research and Development Committee (RDC) of the Board of Directors by the Director KEFRI for discussions and recommendations before tabling to the Full Board of Directors for approval. The Board presentation is **the fifth level** of public participation.
12. The Approved work plans and budgets shall be circulated by the SDD-R&D through DDs and RDs for implementation by Quarter one of the new financial year.
13. The approved work plans and budgets from both Research and Development and Corporate Services directorate form the consolidated institutional work plan which is further subjected to a public participation process to a wider audience with representatives from all the eco-regions for concurrence before submitting to the Medium Term Expenditure Framework (MTEF) budget process through the Ministry of Environment, Climate Change and Forestry for funding from the exchequer. This is **the sixth and final level** of public participation in forestry research and development.
14. During implementation of the research and development activities, the work plans shall be monitored and reported quarterly, and any revisions made as need arises.
15. An annual research and development report shall be compiled at the end of the every financial year.

3.0 KEY STAKEHOLDERS TO BE INCLUDED IN PUBLIC PARTICIPATION FOR THE KEFRI RESEARCH PROCESS

Public Participation in forestry research and development is a two stage process: The Pre-Eco - region Research Consultative Committee (Pre-ERCC) and the full Eco-region Research Consultative Committee (ERCC) meetings. The Pre-ERCC mainly involves internal KEFRI stakeholders, whilst the main ERCC involves both internal and external stakeholders.

3.1 Internal Stakeholders for Pre-Eco - region Research Consultative Committee (Pre-ERCC) Meetings

The pre-ERCC involves the following:

- Regional Director and Deputy Regional Director
- Senior Deputy Director-Research and Development
- Thematic Deputy Directors
- All scientists, technologists, technicians, foresters, dissemination officers and Biometrician at the Eco-regional Research Programme
- All students on attachment under Research and Development
- Department Heads in the Eco-region

3.2 Key Participants for the Eco-region Research Consultative Committee (ERCC) Meetings in each Eco-regional Research Programme

This is the second and main activity in public participation and includes participants of the Pre-ERCC and external stakeholders whose composition will include the following institutions.

3.2.1 Kenya Forestry Research Institute (KEFRI)

- Two (2) Board members
- Senior Deputy Director-Research and Development (SDD-R&D)
- Thematic Deputy Directors (DDs) in Research and Development
- Regional Director (RD) and Deputy Regional Director (DRD)
- All scientists, technologists, technicians, foresters, dissemination officers within the region and a Biometrician
- All Students on attachment in Research and Development

3.2.2 National Government Ministries /State Agencies

- One representative from relevant Department from the Ministry of Environment Climate Change and Forestry
- One representative from the Ministry of Agriculture from at least 2 counties within the eco-region
- One representative from Kenya Forest Service (KFS) headquarters.
- At least three (3) KFS County Forest Conservators
- One (1) representative from National Environmental Authority (NEMA)
- One (1) representative from Kenya Water Towers Agency
- One (1) representative from National Museums of Kenya
- One (1) representative from relevant National Development Authorities
- One representative from Water Resources Management Authority (WARMA)
- Two (2) representatives from relevant International Bodies

3.2.3 County Governments

- One (1) representative Department of Environment and one (1) representative from the Department of Water and one (1) representative from the Department of Forestry each from at least three surrounding (3) counties
- One (1) representative Department of Agriculture each from at least three (3) counties

3.2.4 Research Organizations

- One (1) representative each from at least two (2) Research Organizations;
 - Kenya Agricultural Research Livestock Organization (KARLO)
 - Kenya Marine Fisheries Research Institute (KEMFRI)
 - Kenya Wildlife Research Institute (KWRI)

3.2.5 Universities and Institutions of Higher learning

- One (1) representative each from relevant University Departments from at least three (3) Universities in the Eco-region

3.2.6 Tree Growers/Timber Industry

- One (1) representatives of tree growers from at least three (3) counties
- One (1) representative of wood/timber based industries from at least three (3) counties

3.2.7 Non-Governmental Organizations /Community Groups / Development Partners

- Two (2) representatives from Community Forest Associations (CFA) from two (2) counties
- One (1) representative from an environmental Community Based Organization (CBO)
- Two (2) representatives from environmental Non-Governmental Organization (NGOs) from two (2) counties
- One (1) representative from Nature based/Non-wood industry
- Two (2) representatives from Youth and Women Groups from two (2) counties
- One (1) representative from Faith Based Organizations
- Two (2) representatives from relevant International Bodies

4.0 DELIVERABLES FROM ECO-REGION RESEARCH CONSULTATIVE COMMITTEE MEETING

The deliverables from each ERCC shall include the following:

- Proceedings (minutes, reports, attendance register, pictures) of Pre-ERCC and ERCC meetings.
- Research progress and technical reports for on-going and completed activities.
- New concepts/proposals for potential projects for the next financial year.
- Stakeholders' feedback/needs.
- Developed concepts/proposals presented to the thematic Deputy Directors for compilation, prioritization and presentation to Technical Executive Committee for further evaluation.
- Thematic proposals/work plans presented to the Executive Consultative Committee Meeting (ECCM)

After the ECCM a comprehensive Research and Development work plan is developed by the Senior Deputy Director Research and Development (SDD-R&D) for approval by KEFRI Board of Directors from which performance contract activities for the next financial year are drawn.

5.0 NATIONAL STAKEHOLDER PARTICIPATION ON THE CONSOLIDATED WORK PLAN AND BUDGETS FOR MEDIUM TERM EXPENDITURE FRAMEWORK BUDGET PROCESS BY THE MINISTRY OF ENVIRONMENT, CLIMATE CHANGE AND FORESTRY

This forum shall include participation from representatives of the seven categories of stakeholders in Chapter 3. The forum sets to confirm that the activities agreed during the ERCCs have been incorporated into the Institute work plan and budgets.

6.0 POLICY REVIEW

This policy will be reviewed after every five (5) years or as need arises.

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