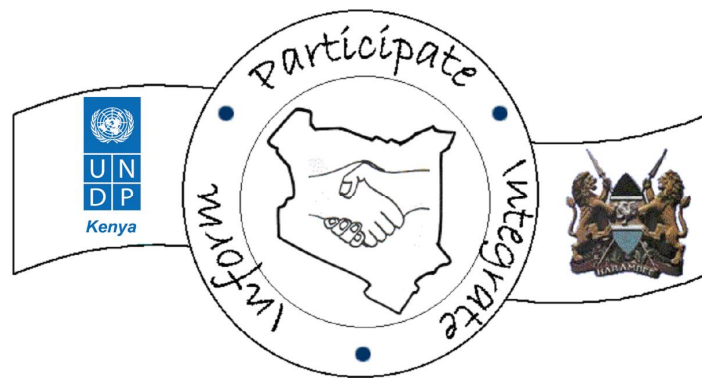


# CAPACITY 21 *KENDELEVU* TOOLKIT



## **A MANUAL FOR TRAINERS IN PARTICIPATORY AND SUSTAINABLE DEVELOPMENT PLANNING**

Final Draft  
September 2006

**PREPARED AND EDITED  
BY**

Francis Lelo	-National Team Leader
Agnes Masika	-Deputy Team Leader
Samson Wasao	- National Project Manager
Samuel Gichere	- Former Acting National Project Manager
Wahida Shah	-Former Team Member

With Technical Support from Nizar Mohamed, former International Project Advisor

Graphics by Eliud Ngunga

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For copies of this toolkit contact:  
Poverty and Environment Initiative/Capacity 2015 Programmed  
P.O. Box 30218-00100, Nairobi, KENYA.  
Tel: 254-020-7624455 Telefax: 254-020-7624489/90  
Email: [registry.ke@undp.org](mailto:registry.ke@undp.org)  
OR: [Swasao@nbnet.co.ke](mailto:Swasao@nbnet.co.ke)

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Finally we thank the UNDP Kenya Country Office for supporting the preparation and printing of the Toolkit.

## **PREFACE**

### **1. Designing a workshop**

The purpose of this section is to teach participants some basic skills on how to organize, manage, facilitate and evaluate workshops. These can be done at a community level during the preparation of community action plans or by involving a wide range of stakeholders at the district level for formulating district plans.

### **2. Promoting participation**

This section introduces some facilitation skills, which can help to ensure that all participants are able to contribute to workshop discussions and results. It explains some of the principles behind group dynamics, and introduces exercises to build trust within a group in order to promote participation by all members.

### **3. Analysis of issues**

The purpose of this section is to introduce some basic methods for analyzing sustainable development issues, including resource management, that are of concern to a community. This analysis helps the community to identify key problems and causes. In this way, discussion can be focused on those problems and causes that are central to the issues of interest such as management, health, education or sustainable livelihoods.

### **4. Strategic and action planning**

This section introduces some basic techniques for developing a vision for community or district, and how to work out specific goals for a strategy and action plan towards achieving that vision. It is about “How to plan”, and is designed and based on the trust building analytical exercises carried out in the workshop. It also introduces practical planning tools for designing and carrying out projects that would help achieve the goals and vision.

### **5. Project cycle management**

The purpose of this section is to introduce some basic techniques for ensuring participation by all stakeholders, capacity building, and institutional development.

### **6. Participatory monitoring, evaluation and learning strategy**

This section deals with the introduction of the basic techniques and methodologies for

providing feedback on progress towards project objectives. It also covers issues on determining project outcomes, accountability and monitoring the performance of project personnel in carrying out their tasks towards the agreed objectives and results.

## **MODULE 1: INTRODUCTION**

The purpose of this Toolkit is to introduce some methods for participatory planning which can be used to assist communities to formulate and implement their community action plans. The toolkit is designed for use by facilitators who will work with communities in their districts to help them through the process of analyzing, prioritizing, strategic planning, action planning, and implementation of community-based strategies. The toolkit, which will be the basis for training in participatory methodologies, consists of modules that can be used to plan and organize workshops for communities and districts, as well as for representatives from government departments.

### **1.1 Designing a Workshop**

In designing a workshop we have to remember a number of basic principles. The first is that people learn best by doing rather than listening:

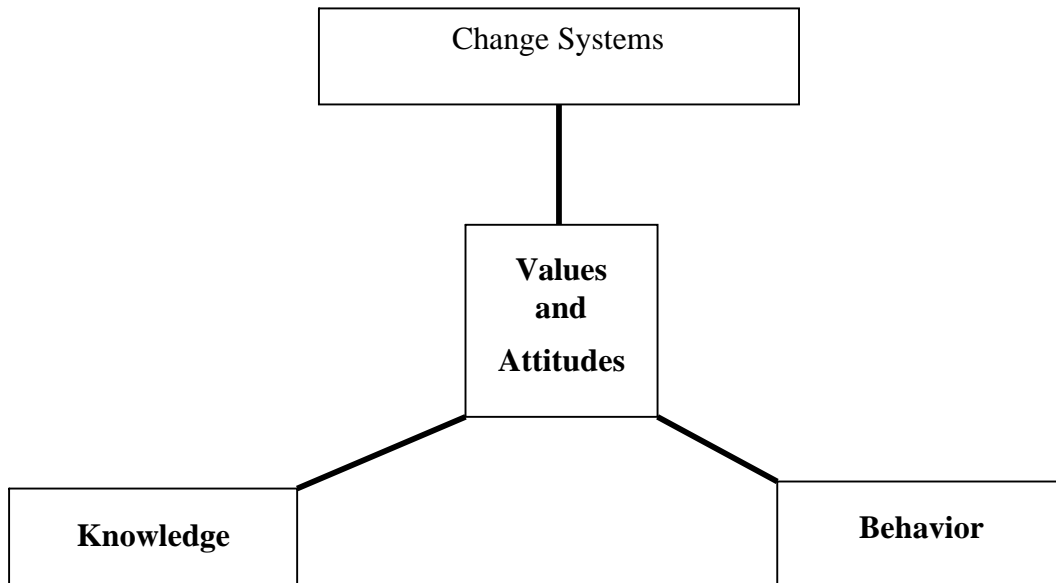
“What I hear, I forget  
What I see I remember  
What I do, I know”

Therefore, this toolkit is based on an interactive approach that requires workshop participants to take an active part in learning. Each section will therefore include presentations on the main principles and methodologies involved, followed by interactive exercises to illustrate these principles.

The second principle is that, in order to influence behavioral change, it is not sufficient to enhance knowledge by providing information. People’s attitudes have to change, a process that cannot be achieved overnight. People also have to accept and take responsibility for changing their own attitudes and values.



**Figure 1: Changing Values, Attitudes And Behavior**



Training has therefore, to address the key areas of **changing values and attitudes and acquiring knowledge**. As people get trained, they get empowered to change their own behavior (Figure 1).

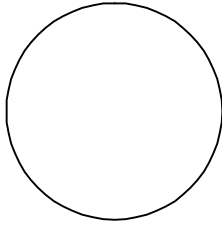
## **1.2 Building Partnerships for Sustainable Development**

Partnerships bring all the stakeholders in a community together to support sustainable development initiatives and to develop a common vision for the community. Partnerships bring out the strength of each partner to focus on identified and agreed upon priorities.

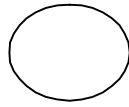
The concept of partnership is well known among most African communities. It means working and putting resources together for the mutual benefit of the members. This concept can be illustrated by using the traditional three cooking stones. ONE STONE, NO MATTER HOW BIG, ALONE CANNOT SUPPORT THE POT. Two stones cannot support the pot either. Three stones must be present to effectively support the pot.

One of the three stones represent community development partners, one represents the community members, the other administration (the Chief, Assistant Chief, District Officer, etc.,). In order for sustainable development to occur, the three partners must work together.

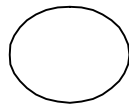
Community



Administration



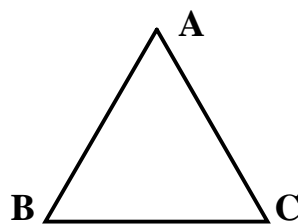
Development Partners



### **The Crust**

It takes commitment on the part of all the partners in the development process to recognize the necessity and contribution of each partner. Due to many years of conditioning and the effect of the schooling system, many people do not automatically value the contribution of others. Sometimes individuals think they can bring development to other people. These parochial ideas still persist despite many years since it became evident that outsiders cannot develop the local people. The local people must decide by themselves to determine their own development destiny.

In order to break from the type of thinking that we can “Do things” for people and start doing with them, we must undergo the ABC process. This is ATTITUDE AND BEHAVIOR CHANGE .



Once we go through the ABC, our outlook about life changes and we shed the crust in our thinking that makes us to always refer to the past or old ways of doing things with such statements as “It has always been,” or “We used to”, and “We usually” and shift to situation of accepting new ideas as they emerge. The de-crusting of the mind is usually not easy and is often resisted. This means accepting to learn new things and admitting that learning is a life-long process.

### **1.3 Organizing a Workshop**

#### ***Room arrangement***

Research has shown that the arrangement of a room has a strong effect on participants' ability to engage in discussions. Those who can see all the other faces are at an advantage and those who cannot are at a disadvantage. If people are sitting in straight rows, it is unlikely that a good discussion will develop between them because they cannot see one another's faces. Most questions and comments will be directed to those facing the group.

For formal presentations and talks, where an individual or individuals address a large audience, a lecture room setting may be fine, however, for workshop discussions, a different arrangement would promote participation -e.g. a circle, a horseshoe or a semi-circle. The last two are useful when all participants need to see something on a white board or wall (Figure 2).

It is important to ensure that all participants - men, women, elders, youth - are seated without any regard for their status in the community. Where possible, different groups of stakeholders should be mixed up so that "cliques" are not formed. Formation of "cliques" inhibits free and frank discussions and may tend to "shut" some members of the community out. However, it is also important to allow for different cultural traditions and norms - the aim is to enable all participants to feel "safe". In some cultures, for example, women may contribute better to workshop discussions if they can sit as a group. The final decision on this should be negotiated with the participants.

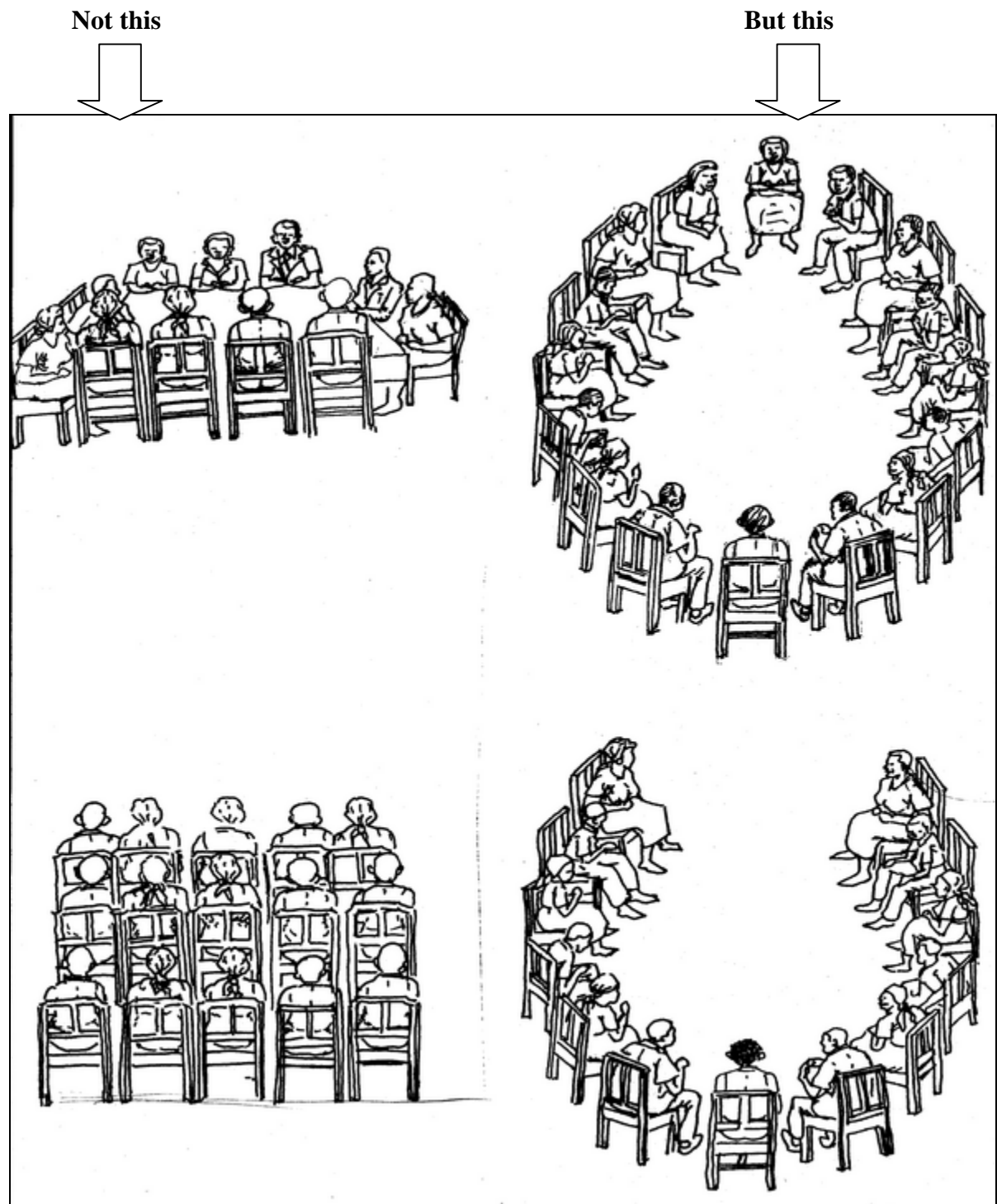
**Ask** the participants to discuss the seating arrangements in Figure 2, summarizing responses as a matrix, so that they can compare different options and arrive at some assessment of which arrangement is best for which situation.

- What do you think the presenter, in each case, felt about the audience response to his presentation?
- What do you think the audience felt in each case?

Which arrangement is best for:

- Presentation of lectures?
- Discussion amongst participants?
- Promoting contributions from participants?

Figure 2: Sitting Arrangements



#### 1.4 Size of Groups

Most people do find it difficult to speak in a big group of strangers. Also, in big groups, there is not enough time for everyone to speak. Therefore, if everyone is to contribute to the discussions, then smaller groups are essential. However, in some cases, it is not necessary to have everybody participate. For example, when a formal presentation is being made, to expose as many people as possible to a new policy or

idea, a large group may be the best way to do this. Smaller groups to promote discussion must follow the formal presentation. This also helps participants to listen attentively - most people can listen very attentively for short periods of time. An effective model for a workshop is to:

- a. **Start** with a formal presentation of 10-20 min:
- b. **Follow up** this with small group discussions for 30-45 min:
- c. **Report back** main points to the group so that ideas can be fed back into the planning for the big group (20-40 min).
- d. **Lessons Learnt**, summing up and making conclusions (best done through brainstorming (10 min)).

The following notes provide some guidance about group sizes for different purposes:

- Large groups of between 30 to 100 people can be useful to bring people into contact with new ideas or policies. This must be followed by small group discussions of 5 - 10 people led by a team of skilled facilitators.
- A group of about 30 led by a skilled facilitator, can be very productive for addressing particular issues, for example, identifying community biological resources and threats to them. A group of this size can develop a strong sense of community over a period of 2-3 days, which can be usefully harnessed, for action after the workshop.
- Groups of 6-12 people are excellent for sharing ideas, especially when broken further into smaller groups. Again, skilled facilitators are necessary for this exercise, and all participants need to have good listening skills.
- Groups of 3-5 people are useful for getting everyone to think and participate actively. It is also ideal for testing ideas in a small group and working them into a form suitable for discussion in a larger group.

Pairs are useful for:

- a) Interviews
- b) Intimate sharing
- c) Practicing some skills such as listening
- d) Waking up a tired group with lively discussion.

#### **1.4.1 Different Groupings for Different Purposes**

In most workshops with 30 or more people, different groups are required at different stages of the workshop. This is particularly important if a workshop is to build rapport amongst a group, analyze key issues, formulate solutions, and implement actions.

### **First phase: Meeting new people**

At the beginning of the workshop, there is need to build a team spirit, foster a sense of community and create a learning climate. For introductions and trust building exercises, it is better to ask people to work with those that they do not know. In this way, people who know each other from before do not stick together. Individuals from different countries, clans, tribes, gender, departments, etc. can then get to know each other. The feeling of trust and community, which results from all members sharing, contributes to the outcome of the workshop.

### **Second phase: Interest groups**

Once a workshop has begun to build a sense of community, the most useful and productive discussions and analyses come from groups with shared interests. The shared interest groups can be selected by discussion with workshop participants or by the process of analysis that identifies the main areas of concern or for action. People can then choose to go into particular groups, keeping in mind that numbers should be equitably distributed, and gender representation considered.

### **Third phase: Planning groups**

If the workshop is not to be merely a talk-shop, but is to lead to action and changes, it is important to leave enough time for planning in groups that will work together in the future on particular issues. They could be from the same organization or from a range of organizations that will work together to implement particular actions. Remember to allow enough time for these groups to come up with workable plans of action.

## **1.5 Check List for Organizing Workshops**

The following is a checklist for organizing workshops, at the district or community levels:

- The project staff, which includes representatives from the Project's Office meets with the district community or leadership to set up a workshop planning team.
- This team will clarify the purpose of the workshop, decide on participants, select appropriate facilitators, prepare an outline plan for the workshop, and identify materials needed.
- The workshop planning team will invite the participants to the workshop, asking them their expectations for the workshop.

- The workshop planning team will:
  - a) book a suitable venue for the workshop.
  - b) send reminders to all participants about time and venue, with a map, if necessary.
  - c) prepare the materials for the workshop, including papers and manuals.
  - d) ensure that all necessary materials are at the venue for the number of participants.
  - e) meet before the workshop to work out details of who will do what and when.
  
- After the workshop, the workshop planning team will evaluate the workshop, based on evaluation feedback from participants, and suggest any changes to the workshop format and content.
  
- The workshop planning team will provide a copy of the proceedings of the workshop to all participants, with a summary of the evaluation by participants

## 1.6 Resources Needed for a Workshop

Nametags  
 Flip charts and felt pens  
 Sets of coloring pens  
 Chalk board and colored  
 chalk sticks  
 Overhead projector (optional)  
 Pens/pencils and notebooks for all participants  
 Pins and/or blue tack  
 Post-it notes (large size)  
 Pair of scissors (for all working groups)

## 1.7 Evaluating a Workshop

The purpose of this section is to learn about evaluation and demonstrate some useful method for participatory evaluation. Evaluation should be carried out both during a workshop and at the end of a workshop, for participants to evaluate the content and delivery of the workshop.

During the workshop, an evaluation at the end of each day helps facilitator and work of organizers to respond to the needs and priorities of participants and deal with any issue before they become troublesome. **A learning review** at the beginning of each day, enables participants to review what they have learnt during the previous day and to think about how they are going to use it. The learning review helps ground participants back into the workshop at the beginning of each day.

The **final evaluation** is an opportunity for participants to provide feedback on the entire workshop and enables facilitators improve their performance in future. The reference points for the evaluation are the expected results listed at the beginning of each module. These provide the criteria on which the evaluation should be based. Evaluation helps to:

- Identify success
- Assess weakness and
- Clarify what needs to be strengthened or changed.

Evaluation is a process in which participants themselves examine the strengths and weaknesses of the workshop that they have just been part of, and identify the main lessons for themselves and the facilitators. Evaluation of workshops by participants fulfils four functions:

- Builds the capacity of participants to reflect, analyze and take action.
- Enables participants to learn lessons that they can apply in their own work in the future.
- Provides workshop organizers and the project management team with information on the degree to which the workshop has met its stated objectives.
- Helps facilitators improve their performance by learning from the participant at the workshops.

### **1.7.1 Daily Evaluation Exercise**

At the end of each day in the plenary session, one of the facilitators- will help the group to brainstorm, for five minutes on the following questions:

- What did we do well today?
- What could we have done better?

The purpose of this exercise is to brainstorm, without any discussions or value judgment. Once the brainstorming is over, the facilitating team should discuss what actions will be taken in response i.e. either to build on the positive things or to rectify any shortcomings. A feedback should be given to the participants the following day.

### **1.7.2 Learning Review**

At the beginning of each day in the plenary session, ask for a volunteer from the among the participant to facilitate a session to address the following questions:



- What did we do yesterday?
- What did we learn?
- How will we use it today /in future?

The purpose of this activity is to remind participants about what they did the previous day and to ensure that they see the continuity between the sessions on each day.

### **1.7.3 Final Evaluation**

This exercise is a qualitative assessment of the workshop by participants and includes a more specific evaluation of the workshop against the criteria listed at the beginning of a module.

### **1.7.4 Procedure for Final Evaluation**

Ask each person to fill out a written evaluation form; this includes both a written assessment of the workshop and a more quantitative assessment. The forms should be designed so as to allow enough space for participants to give detailed responses, if they wish to do so. For a sample workshop evaluation form, see Appendix 2.

Participants at the end of the workshop should complete the forms before they leave. Enough time should be allowed for this exercise.

The facilitators should collect these forms and analyze them as soon as possible after the workshop, summarizing the main points under the headings provided by the questionnaire.

## **1.8 Making commitments**

The purpose of this section is for workshop participants to make a commitment about the actions they will take to use what they have learnt at the workshop.

### **a) Exercise on Group Commitments**

The purpose of this exercise is to ensure that each planning group leaves the workshop having made specific commitments to carry out actions.

#### **Procedure**

- Split the larger group into smaller planning groups (e.g. district, division, sub-location, villages, zones, estates etc). These should be people who are likely to work together for implementation of specific projects.

- Ask each group to brainstorm about the following questions and come up with an action plan:

### Group Commitment Plan

<b>What are the specific activities they are going to address?</b>	<b>How will they address these activities?</b>	<b>Who will be involved?</b>	<b>When will these happen?</b>
Activities to be undertaken	How activities will be addressed	Who will provide these materials?	Date to start

- the end result should be a plan of action.

### b) Exercise on Personal Commitments

The purpose of this exercise is to ensure that every participant leaves the workshop with specific commitments to carry out actions.

### Procedure

- Ask each participant to develop an action plan, working within his or her planning group. Each member of the planning group (2-3 people) will develop a personal action plan working in turns with assistance from other members.
- The personal action plans should include:

### Individual Commitment Plan

<b>What are the specific actions to be undertaken after this workshop to put into action what they have learnt?</b>	<b>How will they go about doing these?</b>	<b>Who will they involve</b>	<b>When will they do these?</b>
Resources required	Who will provide these materials?	People to be involved	Date to start

- The end result should be a personal plan of action.
- Each participant then shares one of his or her commitments with the rest of the working group.

### Personal Plan of Work

Activities to be undertaken	Resources required	Provider of materials	Date to start

## MODULE 2: PROMOTING PARTICIPATION

### 2.0 Introduction

The purpose of this module is to enable participants to understand what can help them apply some of the principles behind group dynamics, and to learn some exercises and methods of building trust, within a group and to promote participation by all members.

**Figure 3: Promoting Participation by All**



### 2.1 Knowing the Trainers

- **Who are the trainers and what are their qualifications for facilitating this workshop?**

Talk about qualifications of the trainer(s) relevant to the subject of the module, where they come from and for whom they work. This should also include some personal information about the trainer(s) so that people can know who they are.

- **Is there hidden agenda in this workshop?**

Have a frank discussion about the workshop and its purpose; if there is an agenda, be open about it. Participants will appreciate honesty.

## **2.2 Interactive introductions: Getting to know one another**

The purpose of this exercise is to make participants to get to know one another, and to make them realize that each of them is capable of making a unique contribution. It also allows people to discuss themselves, their expectations, hopes and fears with another individual in a “safe” environment. This exercise demonstrates the value of “listening” which is an important part of a participatory workshop. An additional purpose is to see in each person a special virtue or characteristics that is positive. The final synthesis shows the group what qualities they bring to the workshop and how much they can achieve if they work together as a team.

**Figure 4: Getting to Know One Another**



### **Step 1**

Ask the group to break up into pairs, selecting as their partner some one they don't know well. Then each partner is to interview the other for five minutes before swapping or using the questions in the introduction exercise. Remind participants to follow instructions e.g. not to take any notes and to keep time.

## **Step 2**

When both partners have finished, the bigger group reconvenes and each partner introduce the other by giving: their names, where they work and family information. Each participant should take no more than one minute to introduce their partner - if anybody goes on for too long, gently remind them about the instructions.

## **Step 3**

Ask the group to say what they found to be the most useful thing about the exercise; what was difficult about the exercise and how they feel about the group as whole.

### **Questions for introduction exercise.**

Please, interview your partner for about five minutes using the questions below. Take turns and go through all the questions for one person before switching roles. Pay close attention to your partner. You will be asked to share some of this information with the group but do not write down any of his/her answers. Obey the instructions and do not interrupt, advise, compare, tease or rescue (e.g. phrases like “it’ll be okay”, ... etc).

1. Tell your partner who you are, where you come from, your work and your family.
2. Share something about how you spend your spare time and energy.
3. Share any challenge in your life at the moment, either related to your work or your personal life that you are facing.
4. Name something that recently happened in your life that you feel good about or which you are proud of. It may be something you made or did, or an initiative that made a difference.

When you come back together in the plenary, introduce your partner to all the participants by giving:

1. The name
2. Something about the family (immediate or nuclear)
3. Where they live
4. Where they work or what they do for a living

## **2.3 Ground rules**

The purpose of this section is to set ground rules for the workshop, so that participants work together as a team. Ground rules are essential for creating an atmosphere of trust

that helps all participants to feel “safe “ so that they participate fully.

In any human society, whenever any group of individuals interacts in a fruitful manner, all participants should have a clear understanding about the rules under which that group is working. These are the ground rules. They can apply in any situation e.g. within a family, a workplace, a social club or in a workshop.

The absence of clear ground rules creates a climate of constant arguing and power struggles, where some individuals can dominate a group and others are unable to participate. e.g. within a family, a workplace, a social club or in a workshop.

The absence of clear ground rules creates a climate of constant arguing and power struggles, where some individuals can dominate a group and others are unable to participate. Under these circumstances, the results of the workshop will only reflect the views of certain persons and not the collective wisdom of the group as a whole. Absence of ground rules also means that not everybody is able to benefit from the training being given.

Ground rules help members of the group to know that they can contribute without being put-down or ridiculed, and that they will be respected and their contributions valued. Thus, everybody feels able to contribute to his or her full potential and hurt feelings are avoided.

- A useful technique is to establish with the consent of the group, a set of ground rules that meet the specific needs of the workshop and to ask them to practice positive attribute in their behavior. This can be done through a brainstorming session at the beginning of the workshop.
- Ask the group to brainstorm on their own set of ground rules (see exercise on brainstorming).
- Ask if they all agree to abide by the rules and show courtesy.
- Write the ground rules on a flip chart and pin it on the wall - they should remain there for the duration of the workshop.
- State that participants or you, as facilitator, will refer people respectfully to the ground rules if they are broken during the workshop

The following four ground rules can be applied in most workshops:

## **Courtesy**

We shall:

- Abide by the rules of the workshop
- Be considerate towards the feeling of others
- Think before we speak, so that we consider how our actions will affect others
- Remain in the workshop throughout, except where we have obtained permission to leave from other participants through the facilitator

## **Respect**

We shall:

- Listen to one another fully without interrupting, advising, comparing or teasing
- Learn from others by listening to their contributions
- Treat each other as we would want to be treated
- Be gender sensitive

## **Detachment**

We shall:

- Contribute our ideas to the discussions without “owning” them
- Listen to and consider the contributions of others to our ideas
- Contribute to the ideas put forward by others without criticism
- Consider the good of the whole rather than our own projects or ideas

## **Assertiveness**

We shall:

- Think for ourselves
- Share our own ideas, opinions and talents
- Be positive and confident while retaining humility
- Treat other people with respect

## **Trust**

We shall:

- Have confidence that the workshop will be successful
- Regard all personal information shared with us as private



## 2.4 Building Trust: Personal River of Life

The purpose of this exercise is for people to examine their own lives and to share the significant experiences of their life with others. In this way, people learn to trust each other and respect and value other people. A river is a very meaningful symbol. Most people find it quite natural and very stimulating to think about their own lives in terms of a river. This exercise is useful for personal reflection, leading to greater self-knowledge. It also provides a basis for small-group sharing, leading to greater trust in the group (See example in Figure 7).

### Procedure

- Divide participants in work groups by calling out numbers (1,2,3,4 in turn), depending on the number of groups desired. After calling a number, a person belongs to that group.
- Give each person a sheet of plain paper and at least three pens of different colors (black, green, red, blue).
- Ask each to draw the river of their own lives, going right back to the source i.e., birthday (the early years in their families), the different periods of their lives, such as peaceful times and difficult times. Major influences which contributed to the growth of their river can be shown as tributaries and labeled appropriately. Small drawings, showing the important people, events, and experiences, can be drawn beside the river.
- Ask them to ensure that they include the people (spouses, parents, teachers, friends) who have had the greatest influence on their lives, and state the virtues in these persons that they admire.
- Encourage people to use color to express different moods at different periods of their lives.
- Give each person 15 minutes for the drawing. Ask them to converge in their groups to share their experiences as illustrated by the river. Ask them, particularly, to share one significant milestone that has had a major influence on their lives. This significant milestone could be a difficult time, a rewarding time, a time of joy, or a time of unhappiness or grief.
- The other members of the group then acknowledge a virtue that they saw in the other person.

**This information should not be shared in the bigger group - only in work groups.**

### Lessons Learnt

At the end of the exercise, ask the group about:

- What they found to be the most useful thing about the exercise.
- What they found to be difficult about the exercise.
- How they felt when their partner(s) acknowledged a virtue they saw in them.

## 2.5 Attributes of Men and Women

The following exercise is useful as a tool for promoting participation in development planning. It allows men and women to become aware of their own unique attributes. This builds trust between men and women. The exercise helps participants to work out their biologically and culturally determined attributes.

### Procedure

- Ask each group to label one sheet of flip chart paper as “MEN” and the other as “WOMEN”. Under each label, ask them to write down the roles and functions they consider to be characteristic of men or women in their community or district. Do this as a brainstorming exercise without any discussion or analysis or any value judgment.
- Once the group has completed their list (5 minutes), ask them to swap over the headings of two flip charts. This can be done by deleting “WO” in the label for women and adding “WO” in the label for men.
- The group then discusses which of the roles and men and those CANNOT physically do functions, which cannot be physically done by women. This should be discussed in detail and participants asked to explain their opinions fully.
- Ask the group to decide which roles or functions are biologically determined and circle them. The group should then discuss the factors that determine the different roles or functions for men and women that are not biologically determined.
- Repeat the exercise but this time asks the group to list the positive qualities or virtues that they associate with men and women. Swap the labels over and discuss:
  - ⇒ The qualities or virtues that do not belong under the changed headings. Why they think that is so.
  - ⇒ The qualities or virtues that belong under both headings.
  - ⇒ What our society would be like if both lists were combined under “PEOPLE”

## 2.6 Introduction to Sustainable Development and Kendelevu Project

Kenya's major development goal has since independence in 1963 been centered on reducing poverty, ignorance and disease. These three concerns have been identified as key factors that impede the country's social and economic development, and they are still relevant today as evident in the country's national development strategies including the national and district development plans (NDPs and DDPs), other poverty reduction strategies (PRSPs and ERS) and the Millennium Development Goals (MDGs). The country's level of economic development and the living standards of the people are severely constrained by the high incidence of poverty caused by among other factors, the following:

- **Inequitable distribution of income:** The distribution of income in Kenya has worsened over the years, with the richest 20% of the population retaining 61% of the rural wealth and 51% of urban wealth. The wealthiest 10% hold almost half of the total national income. Wide disparities in income distribution exist between urban and rural areas as well as within each of these areas.
- **Rapid population growth:** Kenya's population currently stands at 31 million with a growth rate of 2.8% per annum. About 80% of this population lives in the rural areas where the main occupation is small-scale agricultural activities and traditional pastoralism. The impact of rapid population growth in the country has pushed people, especially in rural areas to engage in unsustainable economic practices such as clearing and burning of forests in order to plant crops, over-cropping and overexploitation of fragile and scarce arable land and water resources. Overstocking, has also led to overgrazing and environmental degradation. Unplanned urban growth has resulted in urban slums in which residents have no basic services such as access to running water and sanitation, contributing to high incidence of diseases especially waterborne diseases.
- **The HIV/AIDS scourge:** The emergence of deadly diseases e.g. HIV/AIDS and other have exerted additional pressure on available resources. Although the incidence of HIV/ AIDS is largely uniform across the different income classes, its impact on poor women is particularly devastating. The National AIDS/STD Control Programme (NASCO) estimates that between 1990 and 1997, the national adult HIV prevalence rose from 3.1% to 9.0%, and thereafter to 13% in 2000. From the early years of this century, the trend of increase has slowed down and there are encouraging signs of decline in infection rates. This has been a result of public and private efforts to create awareness and emphasis on behavior change. Despite this fact, the pandemic still poses serious social, economic, legal and ethical challenges to the country.

- **Gender Equity:** More than 75% of the poor live in rural areas of which majority are women. Rural women bear a disproportionately large share of the burden of work in the household, on the farm and in the market place. Their working days are estimated to be an average of two hours longer than those of men. However, their access to productive assets and services is severely constrained by traditional cultural attitudes and practices as well as conventional approaches to development that more often than not, exclude them from participating in most development work. This jeopardizes women's incomes and their economic and social well being and by extension, that of children and other members of the family.
- **Governance Issues:** Governance is defined as “the exercise of economic political and administrative authority in the management of a country's affairs at all levels. It encompasses the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences”. With poor or bad governance the majority of the people cannot access essential services neither can they establish sustainable livelihoods and participate fully in the mainstream of the development process. Over the past decade, governance in Kenya has slowly but progressively improved with reference to the participation of the public in the affairs of the country. More needs to be done at all levels of the society to increase awareness on the need for the full participation of all in the affairs of the country.

## 2.7 Background to Capacity 21

In order to understand what Capacity 21 Kendelevu Project is all about, one needs to go back to the United Nations' Earth Summit held in Rio de Janeiro, Brazil in 1992. In this meeting, heads of state from most of the governments of the world gathered to review the state of development in the world for the previous three to four decades and to chart way forward for development. A general realization in this meeting was that despite large amounts of money injected into development effort in developing countries, poverty had persisted and social and economic development was elusive, especially in the less developed regions of the world.

The need to refocus attention and efforts towards a different development emphasis as the earth moved into the twenty-first century was highlighted and documented in the United Nation's “Agenda 21” document. In this meeting, the concept of sustainable development was defined as development that allows the present generation to meet its basic needs without compromising the ability of future generations to meet their basic needs. Emphasis was placed on responsible

exploitation, consumption and management of the earth's natural resources without destroying the environment that sustains them. For sustainable development to be realized, it was agreed that involving and building the capacity of the primary beneficiaries or stakeholders in the development process was crucial. While there are many ways of building human capacity, one approach that was emphasized was that of building the knowledge and skills as well as changing the attitudes and perspectives of all stakeholders regarding development processes and activities.

The United Nations Development Programme (UNDP) was given the mandate to set up a global programme to build people's capacity as the world moved into the 21st Century. This was the origin of the Capacity 21 Global Programme, of which the various national programmers, including Kenya's, are a part. Since many countries in the developing world have capacity 21 projects, each national project was encouraged to formulate its own unique homegrown name to identify it from all others. The names needed to reflect the emphasis on sustainability of the development process and outcome.

## **2.8 The “Kendelevu” Project**

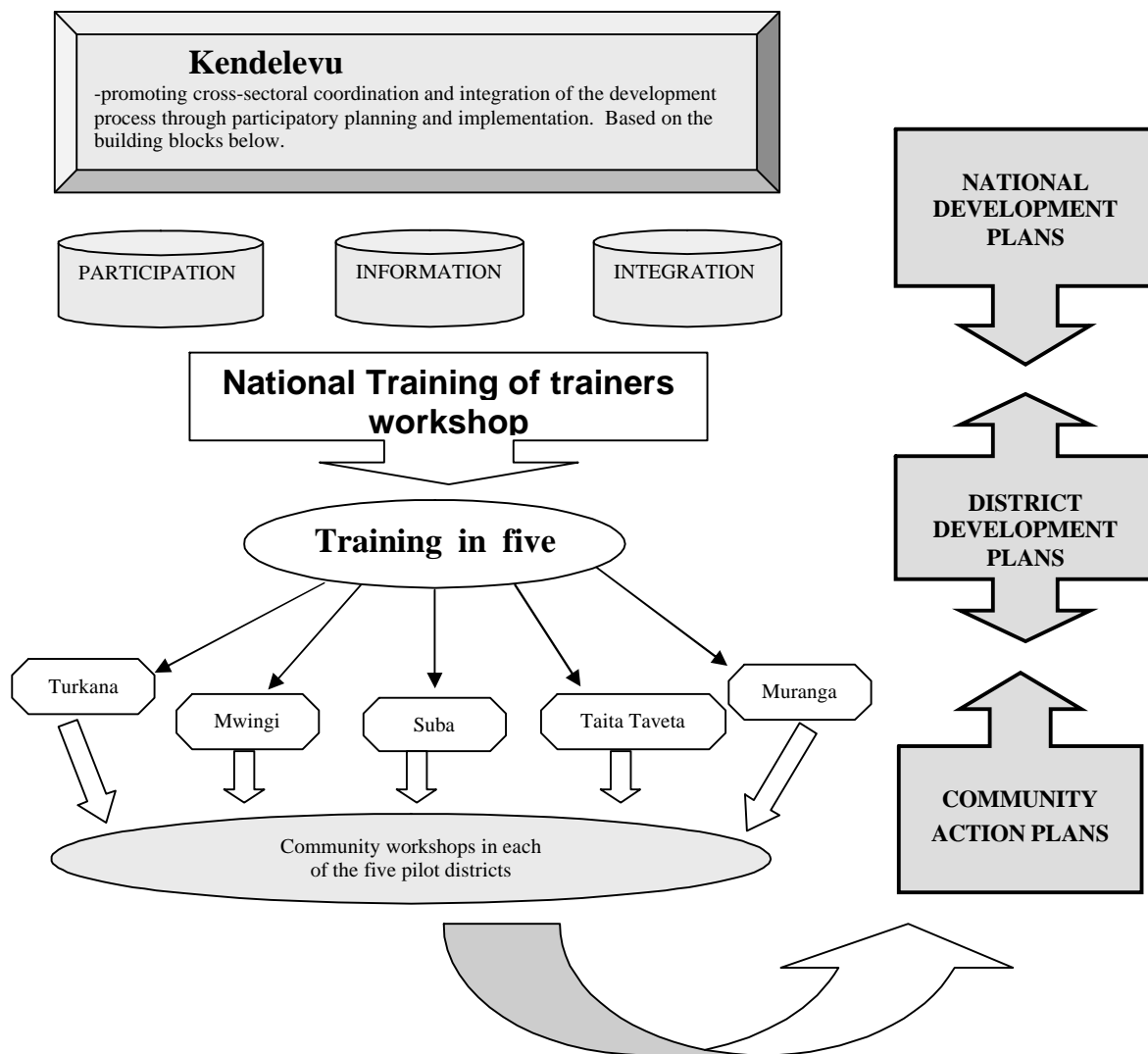
Kenya's Capacity 21 project has its homegrown name known as “Kendelevu”. This is a shortened form of “Kenya endelevu” which in Kiswahili means “progressive” or “sustainable” Kenya. This project was started in 1999 with UNDP programmed support and housed within the Ministry of Planning and National Development as the executing agency. On a pilot basis, it aimed at institutionalizing and enhancing participatory development planning, implementation, monitoring and evaluation of development projects and programmers in the country. It did this by building capacity at community, district and national levels to enable all stakeholders to participate in sustainable development activities. Project implementation was guided by the principles of participation, integration and information, with each principle guiding project outputs in the various areas of need in Kenya's development process.

Kenya's development planning has been characterized by lack of, or minimal participation of all stakeholders in the development planning process because the process has mostly followed a top-down approach. Also lack of information about participatory approaches among government officials, NGOs, CBOs and other stakeholders as well as lack of adequate and reliable data and information for planning and informed decision-making has been a major hindrance to the participation of stakeholders. The project also addresses the need to have a systematic way for the storage and management of the information at the district level. The project operated in only five districts, namely: Murang'a, Mwingi, Taita-Taveta, Turkana and Suba. The main approach used by the project has been that of training of the various

stakeholders starting with the national level through provincial, district and community levels. The approach built on the district focus for rural development strategy and national development plan as well as other poverty alleviation efforts of the government of Kenya. A full report of the project activities and results can be availed at request from UNDP-Kenya country office.

The diagram below gives the conceptual framework for the Project.

**Figure 5: Flow Chart of Capacity 21 Kendelevu Core Activities**



## **MODULE 3: ANALYSIS OF ISSUES**

### **3.0 Where Have We Come From?**

In formulating their Community Action Plan, the first step for any community is to critically look at its past history. Significant events in a community's past help plan for the future because events of the past provide the foundation for informing the future. Every community has a heritage and wealth of experience and knowledge that influences present attitudes and behavior. Analyzing past events can also help the community to identify trends and patterns, which can help them, formulate their CAPs. Systematic analysis of past events enables the community to identify long-term trends such as recurrent patterns of drought or floods, so that they are able to see their present state within its historical context. The historical analysis also helps them to identify lessons and best practices from the past and provides a good opportunity for them to avoid repeating mistakes from the past but instead build on the achievements and lessons from the past.

This module introduces two exercises for carrying out this kind of analysis. The first is an analysis of the recent history of the community and its progress, starting from a specific milestone, to the present day. It is a list of key events in the life of the community that helps to identify problems, and achievements. This historical time line, drawn as a "River of Life" is completed by a second exercise known as "Trend Lines". The community's "River of life" helps it to better understand the local, national, and international events it considers important in its history. The participatory planning workshop facilitates the generation of the time line by community members in groups. These discussions stimulate exchanges about problems as far back as the oldest local residents can remember or were told by their parents and grandparents. The significant events in the history of the community and lessons learnt from them, hitherto kept in oral form, are now documented through this process. The trend lines help the community to analyze historical developments of major issues affecting the community thereby helping them avoid uninformed reactions to current problems that can better be understood from a historical perspective.

### **3.1 Community "River of Life"**

The purpose of doing the Community River of Life is for the community to examine its recent history in terms of the social, cultural, economic, environmental, and political factors that have influenced the development of the community. The recent life history of the community is visualized as a "river of life" - a river is a very

meaningful symbol for most people, who find it quite natural and very stimulating to think about the history of their community in terms of a river. This exercise can be used as the first step in the formulation of the CAP, and can help to answer the question: “Where have we come from?” This exercise helps to bring out the relevant community, government and donor initiatives that have tried to address development in the past. The issues brought out by the “River of Life” help participants to identify the critical elements as well as lessons and best practices that will influence their vision of a sustainable community.

### **Procedure**

- Divide workshop participants into work groups. Each group is given some flip-chart paper and a set of pens of different colors.
- Each group draws the river for their community, going as far back as possible to a significant event in its history. The drawing would include the different phases of their recent history such as peaceful times and times of good harvests, as well as time of hardship. Major influences which contributed to the growth of the river, can be shown as tributaries and labeled. Small drawings showing the important people, events, and experiences, can be drawn beside the river.
- Each group is encouraged to use color to express different moods and events at different times.
- Each group is encouraged to particularly think about those development initiatives that have tried to reduce poverty. These would include government or donor driven strategies, policies, plans and programmes, as well as initiatives taken by the community itself. What impact did these initiatives have on the community and what were lessons learnt from these initiatives?
- What are the lessons and best practices from the past that are relevant to the future, and to the preparation of the CAP? What lessons are there in terms of the roles and responsibilities of men and women in development?
- Give each group 30 minutes for the drawing. Each group will share their river with the bigger group, focusing particularly on significant milestones. For each event, group to share with everybody such points as:
  - ✓ A particular strength that was involved - This could either be a strength that helped them through good or difficult times or a strength, they now realize, that would have helped them.
  - ✓ What lessons are there for the community and others from those milestones?
  - ✓ Have these milestones had different results for men and women?
  - ✓ What are the main areas that the community needs to focus on for the future?
  - ✓ What strengths would allow them to attain that future vision? How can both



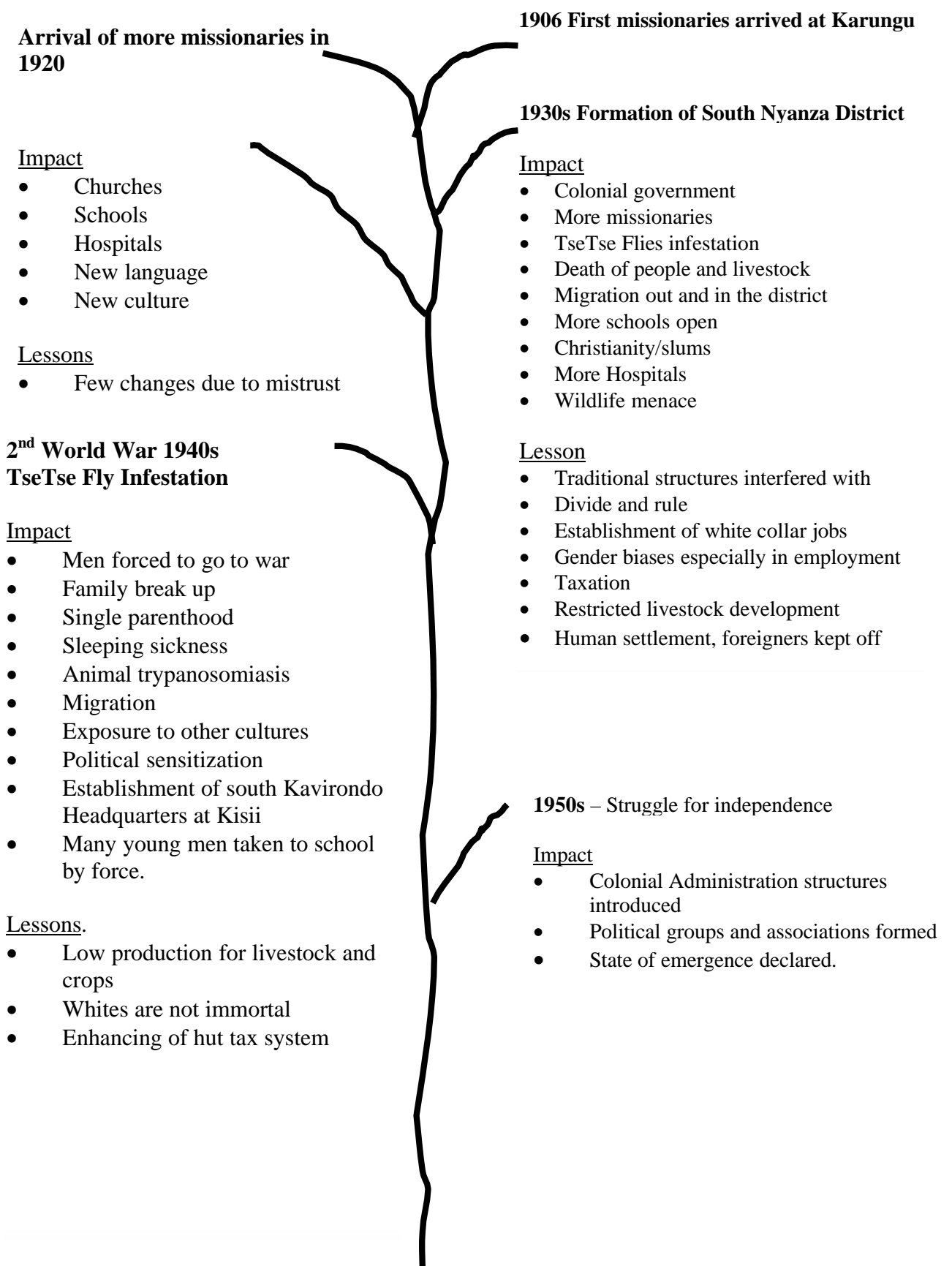
men and women play an equal part in the development process?

- ✓ In addition, each group will exhibit their river in the main conference room, in their allocated space, for sharing with all stakeholders.

### **Lessons Learnt**

- What was useful about the exercise?
- What was difficult about the exercise?
- Lessons learnt by doing the exercise.

**Figure 6: Example of the River of Life – Suba District**



**Figure 7 : (Continued) Suba District River Of Life**

**1960S**

- Formation of political parties
- Lancaster conference on constitution (Mboya, Odinga)
- Independence electioneering
- 1961 Elnino – Uhuru rains (Kodh Ouru)
- Independence
- Tom Mboya Era
- Introduction of Nile Perch
- Death of Tom Mboya
- Split of south Nyanza from Kisii (Kavironondo)

Impact

- Air lifts
- Displacement of people due to floods
- Destruction and diseases due to Elnino
- Improved structures for settlements
- Rusinga / Mfangano Airstrips
- More political awareness
- External Aid
- Increased fish and loss of indigenous species
- Bitter rivalry of political parties and individuals
- Tribal alienation
- Mistrust due to Mboya’s death.

Lesson

- Identification of different tribes
- Tribal/political conflict
- Instability in government
- Deterred developemnt

Impact

- Forced labour
- Forced tazation
- Kipande
- Settlement created at Lambwe valley
- Deforestation
- Arrest of Freedom fighters
- Detention in the Islands
- First Africans named at Legco (Odinga and Mboya)

Lesson

- Colonialists could not solve our internal problems
- Need for self governance

**1970s**

- ICIPE established (1977)
- Death of Kenyatta (1978)
- Beginning of Moi (Nyayo) Era
- People recovering from colonial governance and death of Tom Mboya
- Mbita / Homa Bay road construction
- Coffee Boom

Impact

- TseTse Fly control research 1977
- Employment creation
- Rural/Urban migration
- Deforestation
- Fear of civil war
- Slow pace of development
- Government biased towards development.

Lessons

- Leaders are not permanent, they come and go
- It is good to be self reliant
- Many people started working seriously in fish industries

**Figure 6: (continued) Suba District River Of Life**

**1980s**

- Nyayo Era
- Political Reliagnment
- Fencing of Ruma National Park
- Gorogoro famine
- Agitation for multipartism
- Sony Sugar company
- Mbita Ice plant

Impact

- Mwakenya & detentions
- NGOs coming in
- Increased employment opportunities
- Peak fishing period
- Improved infrastructure
- Increased fish landing sites (beaches)
- Increased fish export
- Control of wildlife
- District Focus for Rural Development
- Introduction of 8-4-4
- HIV/AIDS first victims
- Increased deaths, orphans and widows.

Lesson

- Dependency syndrome
- Poor governance
- Development closer to people
- Increased income
- Revival of Suba Ethnic group
- Increased poverty
- Poor governance
- Less fish species
- Rusinga opened to the outside.

**1990s**

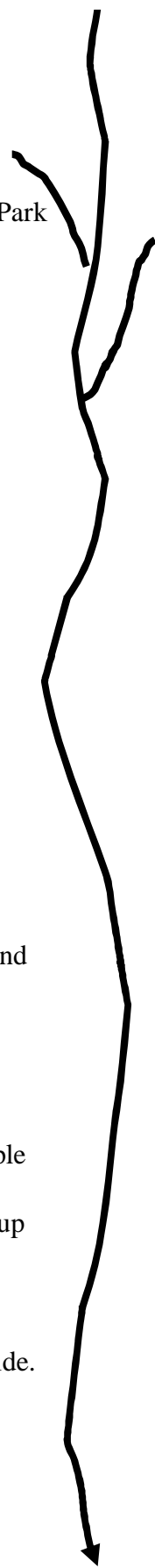
- Establishment of Homa Bay District
- Multi partism
- HIV/AIDS a National Disaster
- Construction of Mbita cause way
- **Establishment of Suba District**
- CBOS
- Water Hyacinth
- Tribal Clashes
- Rober Ouko's death
- Cooperation of political parties
- Elnino rains
- Subdivisions of constituencies.

Impact

- Increased political awareness
- Administration units close
- Rival of Suba Ethnic groups
- Increased poverty
- Increased insecurity
- Ecological imbalance
- Dependency syndrome
- Famine
- Dependency syndrome increased
- Fragmentation of development by NGOs
- Increased HIV/AIDS infections and deaths
- High school dropouts

Lessons

- Handouts did not achieve intended purposes
- AIDS awareness that it is real
- Community needs development should be internal
- Use of chemicals in fishing
- Multipartyism resulted into division and biases.



**Figure 6:**      (continued) Suba District River Of Life

**2000s**

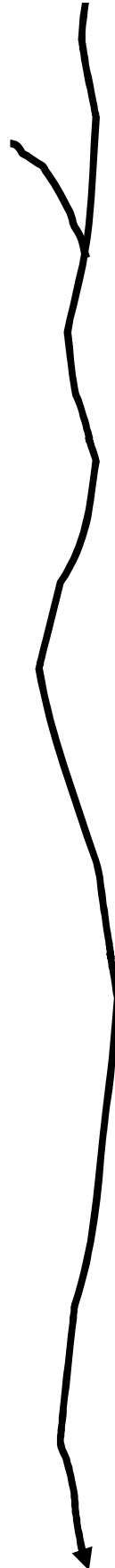
- Kenya constitutional review
- NDP/KANU cooperation
- Draught
- More NGOS
- More deliberate efforts to fight poverty by GOK. NGOs and CBOS
- Completion of Mbita Ice plant
- Construction of Mbita Water Supply
- Elnino Project (water/roads)

Impact

- Change political attitude in the community
- Depletion of Lake resources (fish)
- Famine
- Water supply complete
- Improved fish quantity and marketing
- PRSP, Kendelevu

Lesson

- Proper management of the Lake as resource required for fishing and farming
- Created a relaxed political atmosphere.



## 3.2 Trend lines

Trend lines depict in a graphical manner, the development of major events/issues in a given community over time. Trend lines show the key events that the community deems important and are also helpful in informing the perception of community members about significant changes overtime in their community.

Data collected and presented as trend lines are important for several reasons:

- the issues analyzed indicate events that people consider important.
- The direction of the trend is significant, even though the changes may not be quantified or are statistically inaccurate. The direction of change is equally important because it helps the community members to see their ever-changing situation.
- Finally, the very process of discussing trends in resource use in different groups will bring out important resource management, gender and social issues for preparing the **CAP**.

### **Purpose**

Trend analysis will help the community to:

- Learn how it views change over time in various sectors; Identify patterns and trends from the past so that the CAP can address the root causes of problems rather than focusing on symptoms;
- Identify differential impacts of past events on men and women in the community;
- Integrate key changes into a community profile, which will simplify problem identification; and
- Begin to organize the range of opportunities for the community to consider.
- Focus community attention on the positive and negative changes, over time.

Differences in the perception of various community groups regarding various issues is also important for example:

- Women have a different perception of events and trends. For instance, events perceived by men as beneficial may have had a negative impact on women. The group can discuss this and identify the reasons for these differences; this analysis will help in raising awareness on gender issues.
- Another example is that respondents in rich agricultural zones within a community may identify land productivity as constant, but those in poorer areas suggest it is declining, consequently, insight into some economic and social differences within the community is gained. It provides an opportunity

for further discussion as different groups compare the trends of similar issues and discuss reasons for the trends.

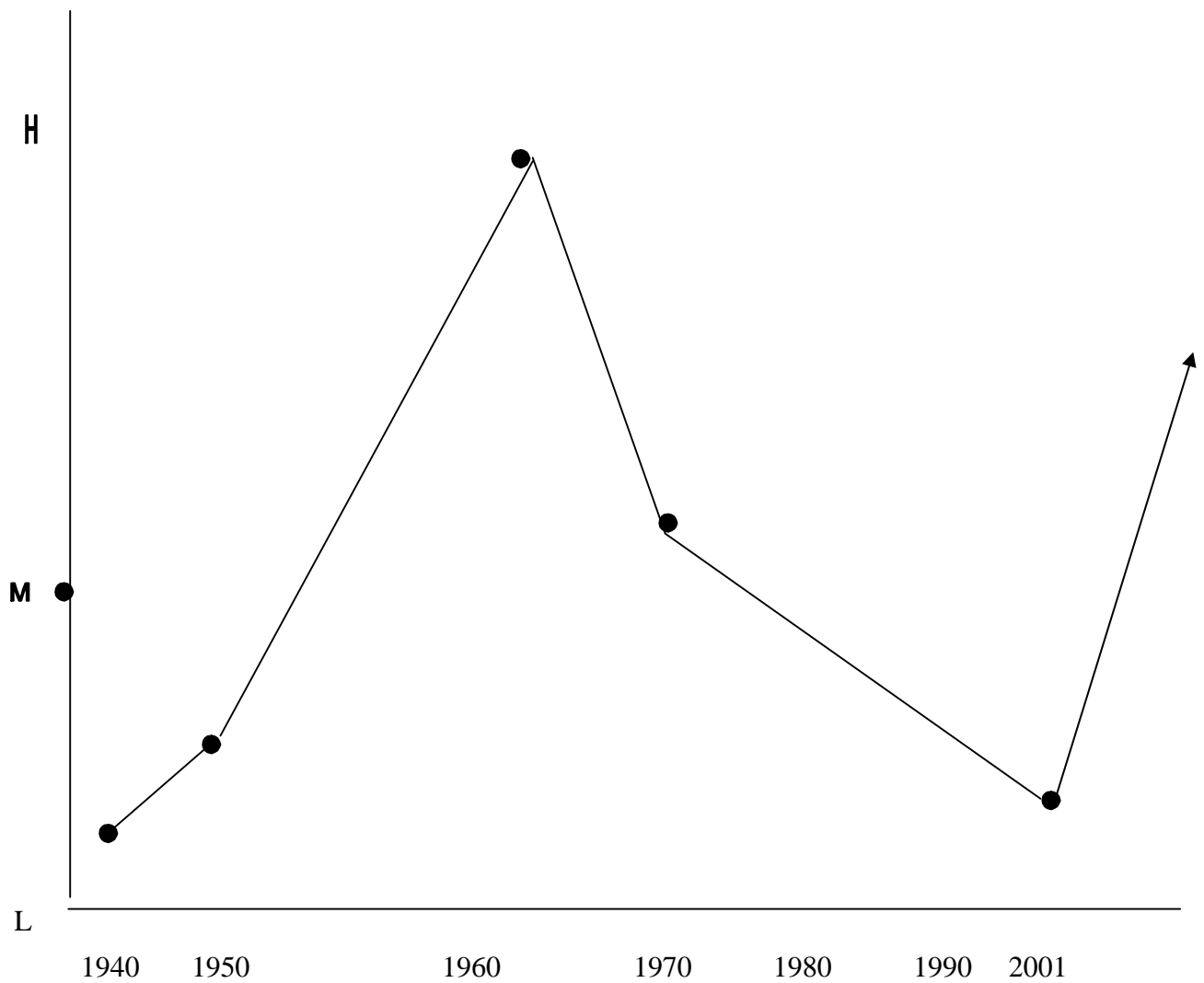
### **Procedure**

Trend lines exercise should include all the stakeholders, both male and female. The contribution of leaders of church groups, women groups, self-help groups, and administrative units are all important. As many community members as possible must be included in the discussion groups, since their comments on resource use reflect first-hand experience. All ecological zones in the study site should be represented.

The following steps are important for proper generation of trend lines:

- The facilitation team should carefully explain the purpose and process of trend lines to the community groups.
- Using simplified examples, the concept of graphs is demonstrated by means of locally available materials like sticks, leaves, flowers, and stones etc. Emphasis should be made on capturing changes rather than exactness.
- Once the concept is understood, ask the community members to list the major issues from the Community/District River of Life they would like to represent on the graphs. They can list as many issues as they wish, but they should scale down to between three and five.
- The facilitator draws two lines on the ground representing vertical and horizontal axes. Once this is done years should be indicated at equal intervals along the horizontal (bottom) line. The years may be written on intervals of 1 year, 5 years or 10 years, depending on the issue in question.
- Ask one of the community members to place a stone, a leaf, a flower or any other material, to indicate the status of issue or event during the first year of the trend line. This should be repeated for all the following years up to the present. The positions of those materials (placed by community members) mark the points of the graph. A line is then drawn connecting all the points on the ground.
- As the trends are generated, the facilitation team should probe for explanations of the changes. This will help identify underlying problems and previous attempts to correct the situation. For example, if the group agrees that soil erosion is getting worse, ask why. Find out what solutions have been tried in the past and how well they have worked. Ask what they think might ease the situation.
- After the trends have been drawn and confirmed by the community, a member of the facilitation team should redraw the graphs on a sheet of paper for documentation (See figure 8)

FIGURE 7: Example of Trend Lines From Suba District



**LEGEND**

- 1940s • Invasion through migration
- 1950s • Continued increase due to absence of control measures
- 1970s • Decline in population of Tsetse flies due to aerial and ground spraying and bush clearing
- 1980s • Decline due to combined efforts by GOK, ICIPE, KETRI, KWS and community.
- 1990s • Decline due to active involvement of the local community in control measures.
- 2000 • An upsurge due to pulling out by ICIPE, KETRI. The community relaxed in control measures.



## **Lessons Learnt**

At the end of this exercise let the larger group reconvene and discuss:

- What was useful about the exercise?
- What was difficult about the exercise?
- What lesson can be drawn from the exercise?

### **3.3 Where are we now?**

This section helps the community to answer the question: “Where are we now” and is an analysis of the state of the resources of a community - natural, human, institutions, social, etc. This is done through a range of exercises (see below). This analysis is based on the information collected by the community with the assistance of the facilitation team. The facilitation team consults with both men and women in the community to review and analyze existing information, as well as to help the community to collect any further information needed.

The purpose of this section is therefore to demonstrate some tools that can be used to generate ideas, analyze issues and come up with solutions. These are only a representative sample of the many types of tools available as different facilitators have their own favorite tools that they could use to do this analysis.

#### **3.3.1 Good Governance**

##### **What**

Governance is defined as the exercise of economic, political and administrative authority in the management of a country’s affairs at all levels. It encompasses the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences. Good governance includes the rule of law participation by the governed, equity, effectiveness, efficiency, transparency and accountability.

Good governance ensures that political, social and economic priorities are based on broad consensus in society and encourage politics of inclusion, accommodation and tolerance. As good governance is about involving people, decentralizing governance to the local level enables and empowers people to participate more directly in decision-making processes. By allowing local communities to manage their own affairs, decentralization enables more effective responses to people’s needs and priorities and makes development more sustainable through genuine local ownership. In summary good governance is:

1. **Participatory** - so that all stakeholders take an active part in decision-making and contribute to their community through their activities as

citizens.

2. **Transparent** - so that all stakeholders have access to information about local government decisions.
3. **Accountable** - so that all stakeholders, including local government, are accountable to the community, as a whole, for their decisions and actions.
4. **Effective** - so that local government and community resources are used wisely to address commonly agreed needs and priorities.
5. **Equitable** - so that all sectors of society have equal access to benefits of services and decision-making processes.

### **Purpose**

To identify governance issues that could affect the design and implementation of CAPS for sustainable development. The government acknowledges that every citizen has a basic entitlement to play a full role in society, participate fully in society's affairs and make decisions on these matters, pertaining to material and social standing. Individual citizens have the right to play their full social roles to achieve a basic state of well-being, irrespective of their race, color, sex, ethnic group, language, religion, age, political affiliation, disability or any other circumstances of birth. Some key governance dimensions include: -

- **Political Governance** entails decision-making and policy implementation by a legitimate and authoritative state, which represents the interests of the society and allows citizens to freely elect their representatives. Good political governance requires the following minimum conditions: freedom to choose both the political party and the candidate to support; an electoral body that is independent from any of interested parties; removal of constraints on political parties and voters, media freedom; and adequate security during political campaigns and voting exercises.
- **Economic governance** encompasses the process of decision making with respect to the economic activities and as such, influences societal issues such as equity, poverty and quality of life.
- **Administrative governance** provides an efficient, independent, accountable and impartial public administration system.
- **Systematic governance** includes the process and structures of society, which guide political and socio-economic relationships, protect cultural and religious values and create an enabling environment for sustainable improvement of quality of life.

## Procedure

The facilitation team discusses the purpose of good governance. The definition of good governance is also discussed.

1. The community brainstorms on what governance is and its purpose in the community issues that could affect the design and implementation of their community action plans. The community will specify the effects of each governance issue and propose intervention strategies using the table below.
2. The community brainstorms on what good governance is and why it is important in the community
3. Brainstorm on how governance or good governance issues could affect the design and implementation of the CAP.
4. Community to specify the effects of each governance issue and proposes possible intervention strategies as shown in the table below containing an example from Muranga District.

### Cattle Dips

Governance issues	How they affect the CAP	Intervention Strategies
<ul style="list-style-type: none"> <li>• Ownership</li> <li>• Grabbing of plots</li> </ul>	<ul style="list-style-type: none"> <li>• Apathy</li> <li>• Elect &amp; train communities</li> <li>• Abandonment</li> </ul>	<ul style="list-style-type: none"> <li>• Creation of awareness</li> </ul>
<ul style="list-style-type: none"> <li>• Operations &amp; maintenance</li> </ul>	<ul style="list-style-type: none"> <li>• Adulteration of chemicals</li> <li>• Increase of tick-borne diseases</li> </ul>	<ul style="list-style-type: none"> <li>• Strict quality control and supervision</li> <li>• Training and skills development</li> </ul>
<ul style="list-style-type: none"> <li>• Corruption</li> </ul>	<ul style="list-style-type: none"> <li>• Stalling of projects</li> <li>• Leadership wrangles</li> </ul>	<ul style="list-style-type: none"> <li>• Transparency</li> <li>• Accountability</li> <li>• Legal acting</li> </ul>

### Mukuruwe Wa Nyagathanga

Governance issues	How they affect the CAP	Intervention Strategies
<ul style="list-style-type: none"> <li>• Efficiency</li> </ul>	<ul style="list-style-type: none"> <li>• Production</li> <li>• Marketing</li> <li>• Technology</li> </ul>	<ul style="list-style-type: none"> <li>• Use right technology through training</li> </ul>
<ul style="list-style-type: none"> <li>• Management</li> </ul>	<ul style="list-style-type: none"> <li>• Wrong sitting of equipment</li> </ul>	<ul style="list-style-type: none"> <li>• Training on production techniques</li> </ul>
Equity	<ul style="list-style-type: none"> <li>• Uneven membership</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure good contribution</li> </ul>

### Water Projects in Muranga District

Governance issues	How they affect the CAP	Intervention Strategies
Lack of community involvement	<ul style="list-style-type: none"> <li>• Vandalized</li> <li>• Abandonment</li> <li>• Sabotage</li> <li>• Failure of operation and maintenance</li> </ul>	<ul style="list-style-type: none"> <li>• Consultation</li> <li>• Mobilization and enhanced ownership</li> <li>• Participatory involvement through leadership, management etc</li> </ul>
Political interference	Failure to see importance of developing CAP	Educate the community against being misled by politicians
Poor support from Government	<ul style="list-style-type: none"> <li>• Lacked continuity and finally stalled</li> <li>• Haphazard planning</li> <li>• Disinterest from the community and mistrust</li> </ul>	Government to take a facilitative role Build partnerships Sensitize the community and build confidence and trust

### 3.3.2 Stakeholder Analysis

Stakeholders are persons, groups or institutions with interest in a project or programmed. There are three groups of stakeholders

- **Primary stakeholders** are those directly affected, either positively or negatively
- **Secondary stakeholders** are the intermediaries in the project process, including both winners and losers, involved or excluded groups.
- **Key stakeholders** are those who can significantly influence or are important to the success of the project.

#### Purpose

The purpose of stakeholder analysis is to identify all the people who have an interest in or can contribute to, the project/CAP implementation. It is the first step in involving them in the process of the CAP. Without the involvement of all stakeholders, it will be difficult to implement the CAP.

#### Procedure

This exercise is carried out by the community members, with the assistance of the facilitators. The first step is a brainstorming exercise to identify stakeholders for a particular issue/project. The second exercise is to determine their interest, influence and their contribution to the project implementation.

## **Identifying stakeholders**

Before a project can be formulated and implemented, all people who have an interest in it or can contribute to its implementation must be identified.

### **Part A: Brainstorming**

The purpose of the brainstorming exercise is to generate a large number of ideas quickly about possible stakeholders, and to encourage creative and flexible thinking in identifying possible stakeholders. The participants should brainstorm for 10 minutes.

- v Ask the participants to quickly say who they consider to be stakeholders on a particular issue e.g. on a project that does conservation of biological resources. The facilitator should encourage participants to build on one another's idea.
- v At the end of the session take five minutes to group stakeholders with common interest.

### **Part B: Stakeholder Interest/Influence**

The purpose of this exercise is to identify stockholder's interest, influence and contribution to the community action plan.

- v Ask the participants (working in groups) to draw a circle in the middle of a large sheet of paper to represent the community action plan/project.
- v Using the list of grouped stakeholders, the participants discuss the interests of each group of stakeholders. Interests include any involvement in any part of the process any benefits or costs, and impacts. The groups should look at the interests and influence of men and women, to identify any differences between these interest/influence and to discuss the reasons for this different indicator of development of the community as a whole.
- v Ask each group to write the names of the stakeholder groups in circles. The size of the circle around the circle in the middle of the paper for each stakeholder group, would represent the relative interest of that group and the distance of the circle from the center represents their influence over the community action plan/project. (See figure 12).
- v When all groups have completed their work, let them present it in the plenary session.
- v Open plenary discussion by looking at the diagrams presented by the different

groups checking for commonalities and differences. Focus on the relationship between interest and influence do those with the greatest interest have the most influence? Do those with the greatest influence have the most interest? How is this expressed in terms of the interest and influence of men and women within the community?

### **PART C: Stakeholder Matrix**

- v On a flip chart, draw a matrix with the names of all stakeholder groups (from the contributions of all the groups) on the first column down the left-hand side. Across the top of the columns, list the following parameters: formulation of the action plan; getting resources, management; see table below) and monitoring and evaluation.
  
- v List HOW each stakeholder group can be involved in those areas of the community action plan that are most relevant to them and where they have most to contribute.

**EXAMPLES OF A STAKEHOLDER MATRIX  
CONTROL OF TRYPANOSOMIASIS IN SUBA DISTRICT**

STAKEHOLDER	TASKS				
	FORMULATION OF ACTION PLAN	GETTING RESOURCES	MANAGEMENT	IMPLEMENTATION	MONITORING AND EVALUATION
COMMUNITY	-Initiate CAP -Develop actual CAP	-Contribute labor -Donor support -Income generating activities (IGA)	Management of committees	-Assign specific roles to individuals	-Close supervision
GOK	Assist community to formulate CAP	-From Government -Donor inputs	Follow-up and training	-Execute control measures	Routine assessment
ICIPE	Initiate and assist community to develop CAP	-Training -Proposal writing -Provide inputs -Identify donors -Share research findings	-	-Assist to implement	Assess impact of Tsetse control efforts
KETRI		Negotiate with donors	-	-	-
KWS		Provide inputs	-	-Execute control measures	-Supervision of Tsetse control efforts
IAEA		Provide funds	-	-	Follow-up to ensure proper use of funds

**Figure 8: Participatory Stakeholder Analysis**



### **3.3.3 Institutional Analysis**

Institutions are groups or organizations, both formal and informal that influence development in a given community. Some groups can be made of local, community residents. These are often known as community based organizations (CBOs). Others may include both local and external membership and go by different names, but unless they are governmental they are referred to as Non-Governmental Organizations (NGOs).

In any community there are many institutions playing different roles in development. Such institutions include government departments, schools, training centers, churches and so on. They may also be women groups, youth groups, clan elders and so on.

As each institution has a unique role it plays in the community, it is important not only to know the role such an institution plays but also the constraints it faces. Institutional Analysis is conducted in order to know the characteristics and the role played by each institution.

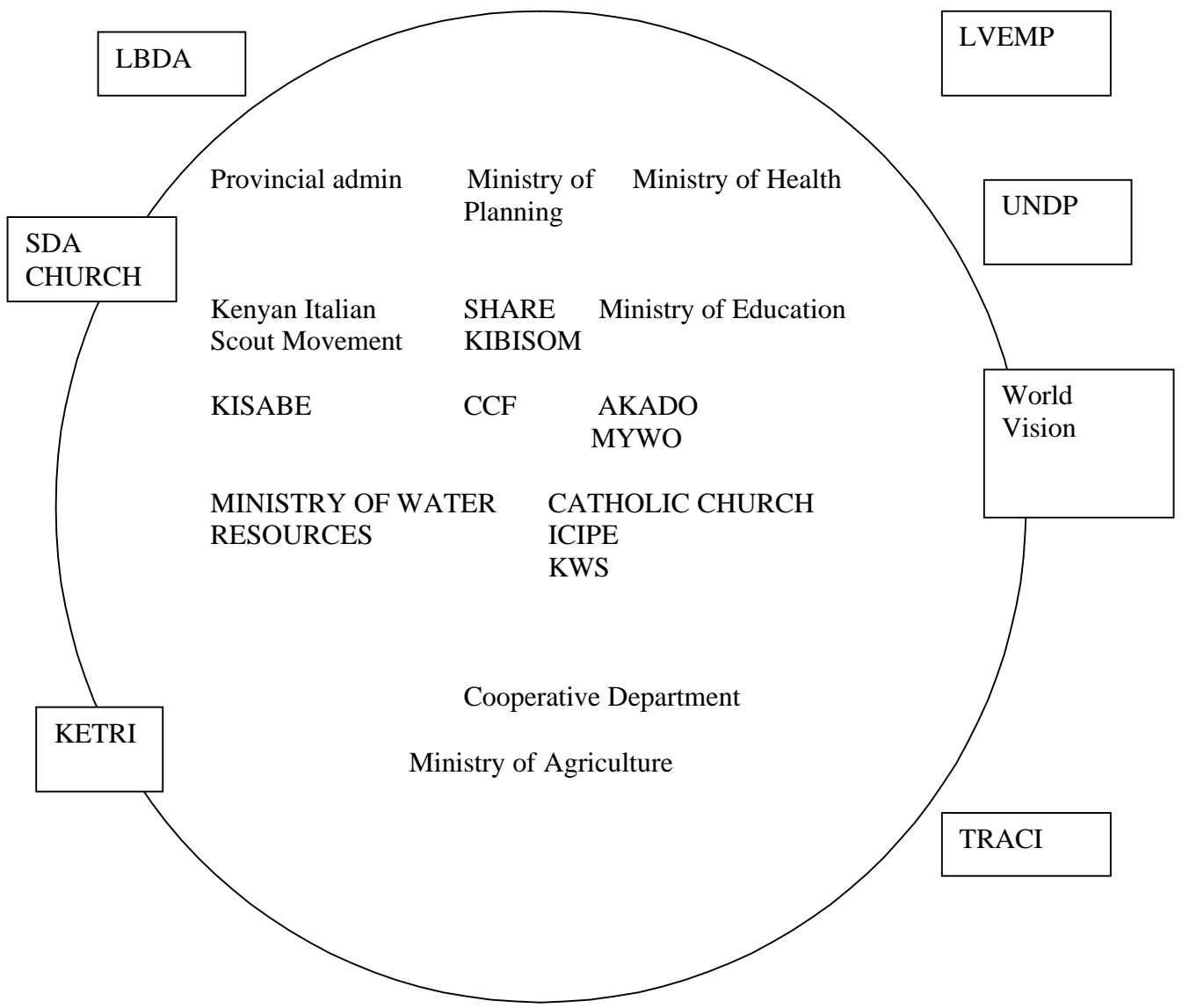
#### **Procedure**

- Brainstorm and list institutions operating in the community. As each name is agreed upon, write it on card/paper.
- Prepare a matrix and fill details across.
- Draw a big circle on the ground or on plain paper to represent the community.
  
- Write the names of the institutions, one card per institution
- 
- The community should determine where the card should be placed vis a vis the circle on the ground.

There are three (3) possible positions where the card could be placed: inside, on the margin or away from the circle. The institutions that are placed inside the circle mean that such institutions are actively operating in the community. Those on the margin mean they are partially inside and outside. The third group means it does not have any physical presence in the community. (See Figure 13)



**Figure 9: An Example of Institutional Analysis From Suba District**



## **Lessons Learnt**

At the end of the exercise ask participants to discuss:

- What was useful about the exercise
- What was difficult about the exercise
- What lessons can be drawn from the exercise

### **3.3.8 SWOT Analysis**

#### **What**

SWOT analysis is designed to help people to identify the internal strengths and weaknesses of their community in relation to the opportunities and threats presented in the external environment. SWOT is a powerful analytical tool that directs communities away from on the surface observance of the community towards the internal dynamics, attitudes, values and feelings of community members towards the community.

#### **Purpose**

The purpose of this exercise is to help community members to define the current Strengths, Weaknesses, Opportunities and Threats for their community. The Strengths exist within the community and the aim of identifying them is to build on these strengths to achieve goals and objectives. These strengths reflect the contributions of both men and women in the community. The weaknesses are also internal to the community. For example, inequalities within the community, such as differences in the rights and responsibilities of men and women, can be highlighted as weaknesses within the community. Community projects/programmers should seek to overcome these weaknesses.

The Opportunities occur in the external environment and it is up to the community to see if it can harness them to help the community to achieve its goals and objectives. Threats are also in the external environment and the community must be aware of them so that it can manage them in some way through projects and CAPs.

#### **Procedure**

SWOT helps to identify issues and to develop appropriate strategies for intervention based on the analysis.

Form small working groups: Each group draws four quadrants on one page as labeled

“Strengths”, “Weaknesses”, “Opportunities” and “Threats” as indicated on the figure below. Fill in the quadrants using the following guiding questions:

- What are our major strengths?
- What are our major weaknesses?
- What are our major opportunities?
- What are our major threats?

**SWOT Analysis: Example of Suba District**

<p><b>STRENGTHS</b></p> <ul style="list-style-type: none"> <li>• Lake Victoria</li> <li>• Fertile land</li> <li>• Large human resources base</li> <li>• Plenty of natural resources (wildlife, scenery, flora, lakes)</li> <li>• Many development Agencies</li> </ul>	<p><b>WEAKNESSES</b></p> <ul style="list-style-type: none"> <li>• Poor farming methods</li> <li>• Negative attitude towards farming</li> <li>• Rural/Urban migration</li> <li>• Poor infrastructure</li> <li>• Dependency syndrome</li> <li>• Adherence retrogressive agricultural practices</li> <li>• Administration close</li> <li>• Negative attitude towards the lake as a resource</li> <li>• Poor governance</li> </ul>
<p><b>OPPORTUNITIES</b></p> <ul style="list-style-type: none"> <li>• Experienced fishermen</li> <li>• Boat makers and repairers</li> <li>• Plenty of fish</li> <li>• Favorable weather</li> <li>• Available extension officers</li> <li>• NGOs</li> <li>• CBOS</li> <li>• New agencies coming into the district</li> <li>• A relatively new district</li> <li>• Opportunities for cross-border trade</li> <li>• Tourism opportunities</li> <li>• Political cooperation/merge</li> </ul>	<p><b>THREATS</b></p> <ul style="list-style-type: none"> <li>• Unpredictable weather conditions</li> <li>• Poor legislation on lake water.</li> <li>• HIV/AIDS</li> <li>• Water borne diseases</li> <li>• Harsh Climate</li> <li>• Tsetse fly menace</li> <li>• Insecurity</li> <li>• Capital flight/mobile population</li> <li>• Brain drain</li> <li>• Malaria</li> <li>• Drought</li> <li>• Mistrust</li> </ul>

### SWOT Analysis: Example on Fish Processing From Suba District

<p><b>STRENGTHS</b></p> <ul style="list-style-type: none"> <li>• Plenty of fish</li> <li>• Many skilled fishermen</li> <li>• Plenty of water for ice making</li> <li>• Abundance labor</li> <li>• Security</li> <li>• Plenty of fish</li> <li>• Many skilled fishermen</li> <li>• Plenty of water for ice making</li> <li>• Abundance labor</li> <li>• Security</li> </ul>	<p><b>WEAKNESSES</b></p> <ul style="list-style-type: none"> <li>• Poor infrastructure</li> <li>• Politics</li> <li>• Poor fishing</li> <li>• Poor infrastructure</li> <li>• Politics</li> <li>• Poor fishing</li> </ul>
<p><b>OPPORTUNITIES</b></p> <ul style="list-style-type: none"> <li>• Ready market</li> <li>• Plenty of building materials</li> <li>• Good water transport</li> </ul>	<p><b>THREATS</b></p> <ul style="list-style-type: none"> <li>• Piracy</li> <li>• Unhygienic landing beaches</li> <li>• Illiteracy among beach leaders (known as jaboya's)</li> <li>• Water hyacinth</li> <li>• Exhaustion of fish through tracking</li> <li>• Pollution</li> </ul>

#### Lessons Learnt

- What was useful about the Exercise?
- What was difficult about the Exercise?
- What lessons can be drawn from Exercise?

#### 3.3.4 Gender Analysis

##### Purpose

The purpose of this section is to increase awareness about gender issues by looking at how projects and CAPS can impact on the role of men and women in society. Gender analysis, gender planning and gender training are all means by which communities can improve the gender balance of their development activities and their equity impact on women and men.

This section consists of a series of explanatory notes about gender, which correspond to exercises to illustrate the points being made. The exercises on gender analysis look at four different aspects of gender analysis.

- An exercise on how the attributes commonly ascribed to men and women are socially rather than biologically determined (covered under “attributes of men

and women’

- An exercise on the gender roles and gender division of labor.
- Gender access and control of resources.
- An examination of how CAP project objectives and activities can have differential impacts on men and women in a community.

## **Gender**

### **What**

Gender refers to the roles, responsibilities and behavior of men and women in the day-to-day social, cultural, economic and political contexts. Gender describes those characteristics of men and women, which are socially determined, in contrast to those, which are biologically determined.

### **Purpose**

The distinction between sex and gender is made to emphasize that everything women and men do and everything expected of them with the exception of their sexually distinct functions (such as childbearing, breast-feeding and conception) can change and does change over time, and according to changing and varied social and cultural factors.

### **Who**

Codes of behavior are given to girls and boys, women and men, to tell them how they are expected to dress, speak and act, as well as the work that they are expected to do and how they are permitted to interact with each other. All of these are gender attributes. While sex is physically determined, gender is socially constructed.

### **How**

Gender roles and behavior are taught verbally, from the moment of birth in many places. The birth of a boy child is often cause-of celebration, while the birth of a female may be greeted with indifference and sadness. Many parents treat male and female children differently e.g. encouraging boys to be active and girls to be passive.

### **Application**

Understanding gender differentiation and gender discrimination enables us to make our social analysis fair. This helps to focus our social interventions, as we become aware of all the complex ways in which society slots people (men and women) into different categories and roles. We also learn ways in which these roles can be the basis of both cooperation and conflict.

## **Gender Division of Labor**

### **What**

Gender division of labor refers to the different kinds of work done by men and women and the different values ascribed to the work. This work is often categorized as “women’s work” and “men’s work”. All societies have some kind of gender division of labor. But tasks considered to be originally suited to women’s physical stature or temperament in some societies, may be considered to be more suitable for men in others. In some places, the women thatch houses and plough while the men do the cooking. In other places, this pattern is reversed.

Different kinds of work done by women and men are also classified as productive labor and reproductive labor. Productive labor is work, which creates goods and services for sale and exchange. Reproductive labor includes not only the obvious element of childbearing, but also child rearing and all those activities that go into maintaining human resources usually in the home. This includes providing food, water, clothing and caring for the physical and emotional needs of individuals.

All over the world, work that is performed predominantly by men is given higher status, as well as higher remuneration, than that typically done by women. There is a widely held assumption that domestic cleaning is considered to be women’s responsibility. Such work is regarded to be beneath men. Women’s work is of lower status. This differential valuing of tasks shows the inequality between women and men.

### **Purpose**

Analysis of the gender division of labor helps to clarify the interdependence and cooperation on one hand, and the inequalities and conflicts, on the other, in the work relationships of men and women. It is the understanding of these relationships that is fundamental for planning. It sheds light on how development support will affect the work done by women and by men. It will also show how various interventions affect the relationships between women and men. It will also demonstrate how female and male tasks are related to each other.

### **Who**

Analysis of gender division of labor is done by the community to understanding the work done by both men and women in its social context and how development projects and programmers affect women and men.

### **How**

The activity profile is a tool used for finding out who does what and is an analysis of gender division of labor in terms of the labor in terms of production of goods and services (productive labor) and the maintenance of human resources (reproductive

labor).

### Activity Profile - An Example From Suba District

Activity	Female			Male			Time		Where Done
	Girls	Adults	Elders	Boys	Adults	Elders	Day	Season	
<b>Productive Activities</b>									
Livestock rearing	v	v	v	v	v	v	Night		Home and field
Crop production	v	v	v	v	v	v	v	v	Farms
Fishing	v	v	v	v	v	v			Lake
Fish processing	v	v	v	v	v	v			Local markets or/and outside
Fish mongering	v	v	v	v	v	v			Homes and beaches
Boat building				v	v	v	v		Homes and beaches
Net making				v	v	v	v		Home
Rope making			v	v	v	v	v	v	
Sisal processing	v	v	v	v	v	v	v		Field and homes
Small business	v	v		v	v		v		Market places
<b>Reproductive Activities</b>									
Cooking	v	v	v				v		Home
Water fetching	v	v	v				v		Lake and water points
Firewood fetching	v	v	v				v		Fields
Child care	v	v	v				v		Home

### Application

The gender division of labor analysis is invaluable for targeting performances and identifying what assistance women and men may need. Furthermore, because the completed chart shows both the timing and location of women's and men's major tasks, planners get a sense of where or when prospective clients can and cannot be reached for training or by a particular intervention. Specifying both the gender and age of people performing various tasks helps to illuminate the economic value of children in a particular community. This also shows the relative value of boys and girls and the ways in which responsibilities and status change over the life span of both men and women.

#### 3.3.5 Access and Control Profile

##### What

The access and control profile is a tool to distinguish differences between women and men in terms of who has access to, and control over, the resource necessary to

perform their tasks and the benefits from performing them. Women may have access to some of these resources such as land and yet lack control over them. They will be unable to assert their priorities for its use and their access to the benefits of land cultivation will be restricted. Because women generally work longer hours than men, they have less access than men to time. This, in turn, restricts women's access to social resources and benefits such as schooling and training, which could open up new life chances and income-earning opportunities.

### **Purpose**

The access and control profile gives insights into power relationships within a community/society and what they are built on. Power is vested in control over resources such as land, equipment, other assets or labor and over benefits such as agricultural produce or political prestige.

### **Procedure**

- The community members can analyze the access and control profile. It is best used in conjunction with the activity profile. For example, if it were determined during the activity profile that women produced and sold handicrafts as an income generating activity, then in the chart below, it could be recorded that women had access to cash. If women wanted to use this money for their children's education but their husbands decided to spend the money socializing with their male friends, this could indicate that women did not generally have control over cash, or over decisions about access to children's education. Planners involved in promoting income generating projects for women may use this information to incorporate a direct joint savings plan for women. At the same time, they would have to think carefully about women's ability to access contraceptive services, through social marketing schemes, if men exercise tight control over the money women earn.
- Draw the access and control profile matrix as shown in the example below.
- Tick across to indicate who (men and women) has access and control over the resources and benefits.

### **Access and Control Profile- Example from Suba District**

Resource	Access		Control	
	Men	Women	Men	Women
Land	v	v	v	
Boat	v	v	v	
Livestock	v	v	v	
Money	v	v	v	
Children	v	v	v	
House	v	v	v	v
Benefits Time (Outside)				



Resource	Access		Control	
	Men	Women	Men	Women
Income				
Education				
Social Status				
Basic needs				
Other assets				

### Lessons Learnt

- Completing an access and control profile will help planners to understand the gender division of power and decision making within households and communities. It is important to recognize that access to resources (including, for example, family planning methods or information) does not necessarily imply control over the use of those resources. Frequently, men have control over women's use of resources including land labor, equipment and money, or over their access to education and training.
- Furthermore, use of resources does not guarantee either access to control over the benefits which accrue from those resources, including income, assets, various goods, education and community prestige. Moreover, women tend to be at a disadvantage; in some cases a woman's wages from work is given directly to her husband.
- We suggest a short exercise, to be done in a participatory manner in plenary, be inserted here to analyze usage of time by men and women from waking up to going to bed. This would help participants to better understand the GAM exercise, which tend to confuse trainees.

### 3.3.6 Gender Analysis Matrix

#### What

The Gender Analysis Matrix is the tool used for analyzing development projects in order to determine the actual or potential impact, which different interventions do or could have on women and men.

#### Procedure

The facilitators request both women and men, preferably in equal numbers to complete the matrix.

- Determine the activity/project
- Make the matrix as shown in the example (Figure from Suba)
- Place (+) or (-) across the matrix to indicate how the project/activity impacts on the women men, households and community items of labor, time, resources and

culture.

Using the chart below, each level of the matrix is filled one at a time, by asking questions about what impacts a planned project may have on women's labor, time, and access to and control over resources. Impacts of the planned intervention on men, women, households and on the community as a whole is assessed and each potential impact is marked as positive (+) i.e. contributes to the overall well-being of men, women, household and community or (-), i.e. not contributing to or adversely affecting the well-being of these groups, where uncertain impact is perceived, a (?) is placed.

#### **Gender Analysis Matrix: Example for Poultry Project**

	Labor	Time	Resources	Culture
Women	-	-	-	-
Men	+	+	-	+
Household	-	-	-	-
Community	+	-	+	-

#### **Lessons Learnt**

The GAM can be used at the project planning stage to determine whether the potential effects of a project are consistent with project goals; at the design stage, when awareness on gender differences should affect the project design; and during monitoring and evaluation, to assess project impact and compare goals. The completed chart should be regularly reviewed and revised if it is to be effective for monitoring project implementation.

### **3.3.7 Problem Trees**

The issues that we are trying to address in a community action plan or project are often not clear. In many cases, we see just the “tip of the rock” while most of the critical and/or dangerous problems lie hidden beneath the surface. Often, we cannot see the entire problem and come to the wrong conclusions - we then treat the symptoms (what we can see) rather than the cause (the root or focal problem).

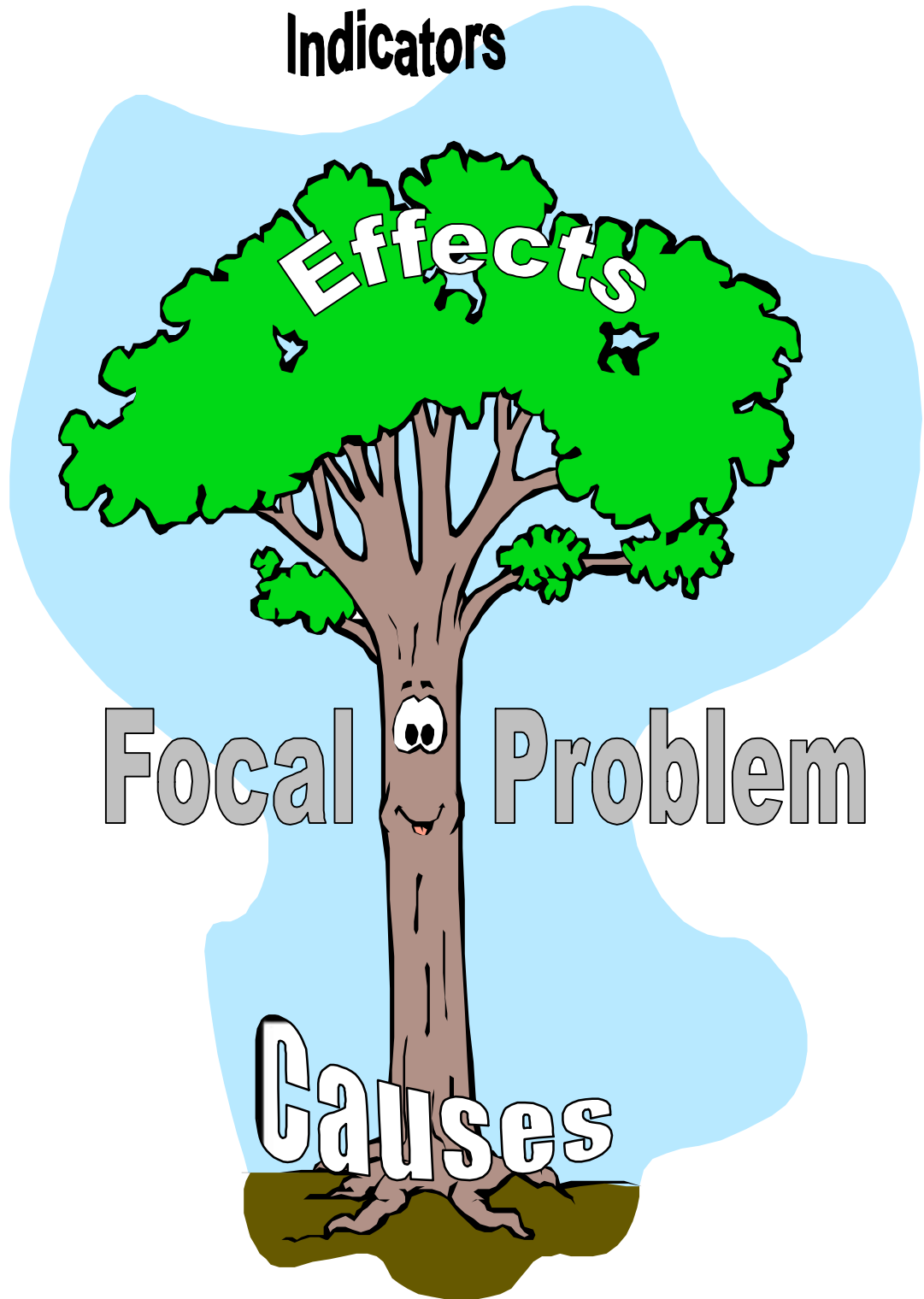
Many ships and boats have sunk, after sailing into rocks and hidden islands or even icebergs, because they cannot see the ninety percent of the problem that lies below the surface of the sea. Therefore, if we are to avoid the same fate as such ships and boats we have to try and find out the hidden pitfalls facing us in designing our projects or community action plans. By the time that we realize we have hit a rock the ship is sinking and we are crying out for help because we are sinking. By then, it is too late. The “Problem Tree” is a technique that helps us to overcome the ignorance that leads to such dangerous situations. It gives us an insight into the underlying problems in a given situation and how these can be tackled. It can also be used to look at problems that are gender specific, and have an undue effect on either men or women. The “Problem Tree” is a useful exercise for answering the question: “Where are we now?”

#### **Procedure**

Brainstorm on the major issues/problems facing the community:

1. Refer to problems/issues identified during district/community Rivers of Life and Trend Lines.
2. Brainstorm on major problems or issues facing the community or district in terms of sustainable development.
3. From the results of the brainstorming, let the group decide which is the “focal” problem i.e. the one to which all others relate. Think particularly about how the problems impact on both men and women in the community.
4. Begin to group the other problems into causes and effects, and start building the “roots” or CAUSES of the focal problem and the “branches” or EFFECTS of the focal problem.
5. The causes of the focal problem become (see figure 10) potential outputs and activities for the action plan.

Figure 9: An Illustration of the Problem Tree



## MODULE 4: STRATEGIC AND ACTION PLANNING

### 4.0 Where Do We Want To Go?

This module is about **“Where the community wants to go to”** and **“how they can get there”**. It complements the trust building and analytical exercises presented earlier. The aim of this module is to help the community to develop a vision for the future. This will determine the over-all direction for the CAP, which will help move the community towards that vision.

### 4.1 Vision Tree

One way of helping a group work out their vision for the future is to use a “Vision Tree”. The Vision Tree helps the group to articulate their vision for the future for their community. This exercise is useful for a small group to work out their vision as it helps them to look beyond current problems to a positive vision of the future.

#### Procedure

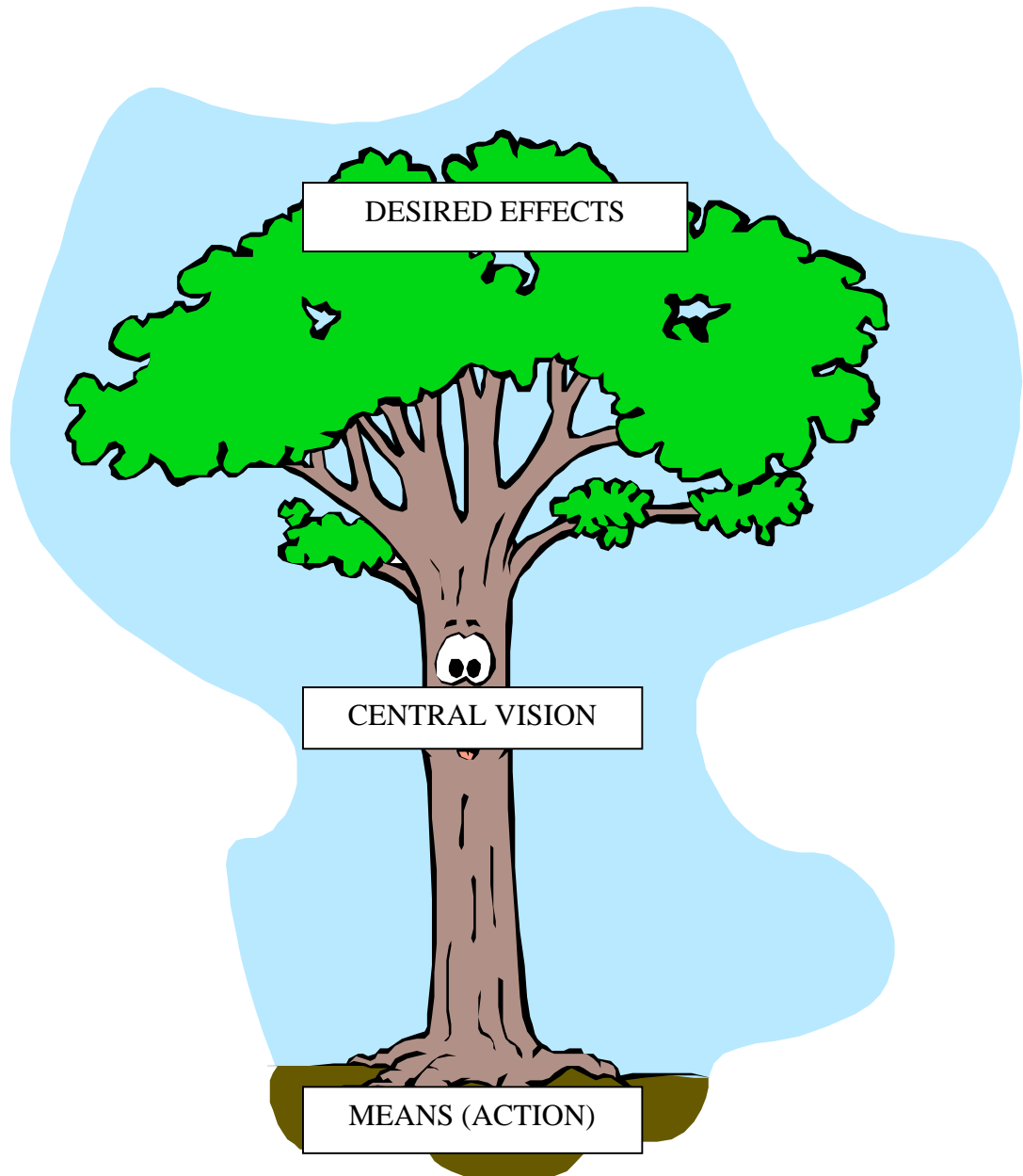
The exercises of developing a Vision Tree will help all stakeholders, both men and women, to divorce themselves from present problems and to think about how they would like their community to be like in future. The following steps can be used to develop a vision tree:

Ask participants in each working group to visualize their district or community, as they would they would like to see it in 20 - 30 years time.

- Ask each group to brainstorm about the characteristics of their community if their vision is to be realized -what the community would be like in fifty years time. This should produce a list of desired characteristics or “effects” of realizing their vision. Each individual effect is best written down on a card or piece of paper, so that it can be easily moved.
- The group then chooses a central vision, using the results of the brainstorming as a starting point - this is the trunk of the “Vision Tree”.
- The group then places the desired effects as the branches of the tree, with major effect as main branches and minor effects as the smaller branches.
- The group then brainstorms about how they will get there - these mean actions that will cause the vision to be realized. Each individual action/means is best written down on a card or piece of paper so that it can be easily moved.

- Similarly, the group then places the means as the roots of the “Vision Tree”, placing them in order of priority and magnitude.
- This is the “Vision Tree” of the group for their district or community. It includes the vision; the desired characteristics (and how these are to be achieved) see Figure 17 on next page.

**Figure 10: The vision Tree**



## 4.2 How Do We Get There?

This question helps participants to think of the practical means by which the group's objectives can be achieved and how the vision of the community can be realized. In this way they explore the necessary processes and actions needed that include time to start to implement the actions, both individual and collective.

The first step in deciding, "How do we get there?" is to identify the stakeholders. The next step is to set goals, identify objectives and set priorities. These are then developed into action plans that include CAP. Implementation is a continuous process that calls upon personal and group commitments to carry out these plans.

### 4.2.1 Setting goals

The first step in working out "How do we get there?" is to set goals. A goal is a single statement of the overall aim of a development project. A goal is defined as the solution to the focal problems identified in the problem tree. Identify the focal problem by referring to the Problem Tree developed earlier.

- Each "interest group" then makes a goal statement about their particular interest based on the vision. A goal is defined as the solution to the focal problem identified in the Problem Tree. This goal would contribute to the overall vision and would be a statement of where we are trying to get to by a particular time. For example, a goal should be a statement like "By 2020, we will manage land resources in a sustainable manner".

### 4.2.2 Identifying objectives

Objectives are stepping-stones to goals. The objective is the primary reason for the project. It is derived from the problems that the project is designed to address, the developments expected during the life of the project and the expected situation at the end of the project.

The objectives must be **SMARTING**:

**Specific:** This is statement of the results that are desired rather than being a generalization.

**Measurable:** The desired result can be measured in some way preferably, by a combination of qualitative and quantitative indicators.

**Attainable:** The community should be able to achieve the desired results after

implementing the project. In other words, the expected results should not be so ambitious that it cannot be achieved.

**Results oriented:** The objectives should clearly specify the desired results. This result could be physical (e.g. digging a well), qualitative (e.g. improved capacity for policy development), or process (e.g. more sustainable fishing practices).

**Time-bound:** The objective should have a target date by which it should be achieved.

The next step is to analyze the different options identified by the objectives and to rank them in order of priority. This will help identify the key issues that must be tackled first and allow the strategy to concentrate its efforts on these key issues, rather than dissipating it on a wide range of issues. This process also assists in identifying those areas that need to be monitored closely, as an indication of progress. The action plan can then be developed from the list of priorities.

The following exercise demonstrates how the analytical process works to help identify objectives, rank them in order of priority and then formulate relevant indicators of progress.

### **Developing objectives - an exercise**

The purpose of this exercise is to demonstrate to participants how they can use the logical framework analysis to develop specific objectives (or purpose) based on the goals identified.

- Refer to the goals identified in section 4.2.1
- Identify appropriate stepping stones to the goals (actions required to arrive at the identified goals) for example (from Suba)  
“Tarmac 200 km of major roads in the district by 2010”.

### **4.2.3 Activities**

These are specific undertakings to achieve the objectives of the project. For example “mobilize and solicit funds” (Murang’a)

- Refer to activities identified under Vision Tree exercise



### 4.3 Community Action Plans

#### Purpose

Community Action Plan (CAP) is a summary of all the community's development priorities and potential, which are used as a basis for sustainable development planning.

The CAP covers several issues:

Development priorities as agreed on by the community, proposed actions and requirements, duties and responsibilities for individuals and groups, work schedules; and identification of areas where the community needs external assistance.

The CAP is an important document for community development planning e.g.. Sub-Location Development Committee may use the document for extracting sectoral projects, which they transmit to the District Development Committee for possible funding under the Government's Poverty Reduction Strategy (PRSP). Similarly, the plan can help external donors at implementing agencies to determine whether the community's common development goals are in line with their own priorities.

#### Procedure

1. Identify a common vision for the community (refer to the vision Tree developed earlier) -this is the vision that provides the overall direction for the CAP.
2. The community **sets goals** and prioritizes them (Refer to 4.2.1)- the community can then formulate individual actions in order to achieve each of the specific goals.
3. Identify and prioritize objectives (Refer to 4.2.2.)
4. Identify activities for set objectives) (Refer to 4.2.3)
5. Who will do what and when?
6. What resources will be required and when?
7. How much money will be needed?
8. What are the indicators of achievement (Refer to Problem Tree)
9. What are the constraints /risks/threats (refer to SWOT Analysis)?
10. Remarks these are assumptions). Examples of CAPS are shown in Appendix 1.

#### Lessons Learnt:

1. Despite the 4 day training the "Crust" remains in some of us

2. We need to remove our own “Crust” before we can help communities remove theirs
3. The process of budgeting has to be more specific in the real situation
4. Role of the community should be clear
5. “De-crusting” takes long and need commitments
6. Difficult to remark on something one has not done.
7. Planning requires a lot of thinking and some level of technical expertise, i.e. in roads works. Need to work with those with required expertise.
8. Dependency syndrome remains a hindrance in community planning
9. Need to consider utilization of local resources
10. Talking and acting may not be equal in the District.

## **MODULE 5: PROJECT CYCLE MANAGEMENT**

### **5.0 Introduction**

Project Cycle Management (PCM) is an integrated approach to the planning, design and management of development programmes and projects that takes into account the principal objectives of the district, community and the national government. The different components of the PCM are:

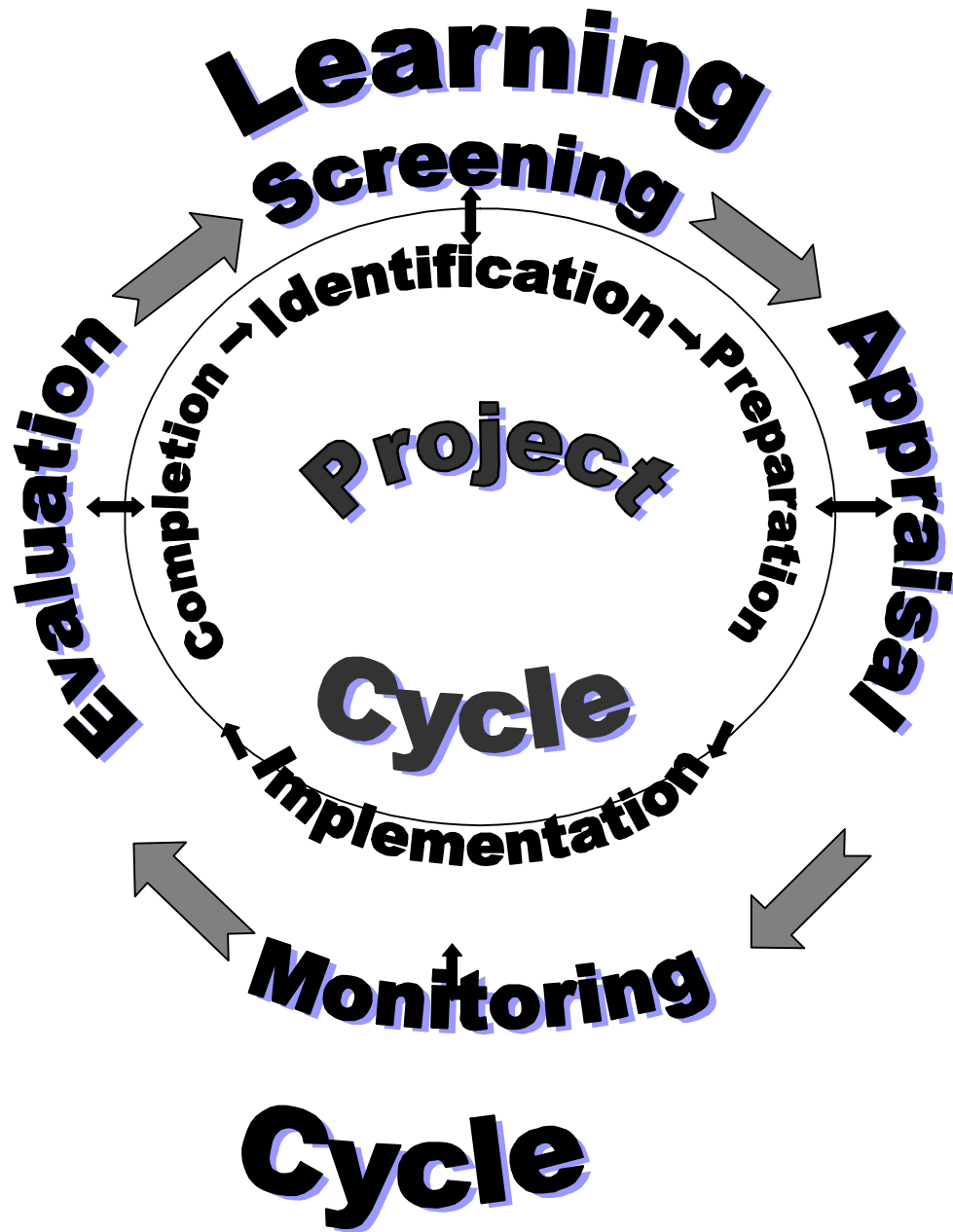
**Project cycle** - This includes the following stages:

- „Project identification
- Project preparation
- Project implementation
- Project evaluation

**Learning cycle** - This involves the process through which lessons learnt are fed back into the project design and implementation. The different steps in the learning cycle are:

- Screening
- Appraisal
- Monitoring
- Review
- Evaluation

Figure 11: Project and Learning Cycles



### Purpose

In the project cycle management is a process of transferring CAPS into project proposals that can be funded by the community, government and donor agencies. Using the approaches described in the PCM helps to ensure that individual projects are part of a wider cyclical process, with each individual project contributing to long-term sustainable development strategies. This cyclical process helps the community to learn from the past experiences in order to improve the performance of future

projects, through feedback from the evaluation of completed projects.

- **Management tools** - These are used to manage a project. They include work plans, budgets, roles and responsibilities, terms of reference (TOR), monitoring strategies, resource schedules, and human resources requirements. **Log frame** - Logical framework analysis links together the project cycle and provides a tool for planning, design, monitoring and management.

## 5.1 Steps in the project cycle

### 5.1.1 Project Identification

This first step, in the project management cycle, is to answer the following questions to define the **goal and purpose** of each proposed project:

- **Why** is the project needed? This is the **reason** for the project and should include a clear statement of the specific problem(s) to be addressed by the project and why they are a priority.
- An assessment of the **sustainability** of the expected achievements of the project in terms of the lasting social, economic and environmental benefits for men, women and children in the community.
- How the project contributes to the CAP, the current District Development plan and the National Poverty Reduction Strategy.
- Who will benefit from the project? This should include the direct and indirect **beneficiaries** of the project activities and results, and also describe how both men and women from the community might be involved in the design and management of the project.
- **How** will the goal and objectives be achieved? This should include preliminary ideas on the main parts of the project and the expected results.
- **What** are the potential areas for significant social, economic and environment **impacts and the major risks and constraints?** These impacts should be taken into consideration in designing the project and the risks should be manageable within the project. If the potential risks and any negative impacts cannot be managed within the project, then the rationale and justification for the project should be re-examined.

The analyses carried out as part of the learning cycle helps to answer these questions. The problem analyses will help identify the “focal problems” that the project should address as well as the root causes and subsequent effects.

### **5.1.2 Project Preparation**

The aims of project preparation are to:

- Determine the viability and sustainability of the achievements of the proposed project through the collection and analysis of data;
- Prepare an outline of the project design that is acceptable from technical economic institutional, social, cultural, gender, and environmental perspectives. This draft outline of the project can be used to identify funding both from government sources and from donors.

### **5.1.3 Project Design**

The project design is the culmination of the systematic and logical process of the project management cycle. At this point, the analyses and synthesis of information gathered from earlier- stages of the cycle - project identification and preparation - are used to formulate detailed project design. The design phase brings together the activities, inputs and resources required to produce the expected results and desired purposes in a coherent form. CAPs and the current district development plan help in formulating the activities and input necessary to produce the expected outputs, and in identifying key impacts and monitoring criteria. The project design can be used to access funding from external sources. The project design should represent the needs and priorities of all the different stakeholders: the community, the district administration, government agencies and should be carried out with their participation. The ultimate aim of the design is to formulate a project that will lay the foundations for sustainable and lasting benefits for the community.

### **5.1.4 Project implementation**

Implementation is the process of managing the inputs and activities set out in a project design to obtain planned results and achieve the project purpose. Successful project management requires a clear understanding and definition of roles and responsibilities of the various stakeholders: local government, communities, private sector. etc.

Project implementation begins with an annual plan, which provides a detailed schedule of project activities for the next year. The annual plan should include a detailed work plan for the year that describes activities, tasks, physical inputs, and a financial budget, which set out the costs of implementing the work plan.

The annual plan is a time slice of the project. During the course of preparing annual plans, especially after the project has been operational for a year or two, changes to the project design may be identified as a result of feedback from monitoring. These changes should be incorporated into the project design. This requires a flexible approach to management. As these changes would need to be incorporated into the project implementation at the earliest practicable opportunity.

### **5.1.5 Project Completion**

The final step in the project management cycle is the completion of the project. This involves two major steps:

- The preparation of a Project Completion Report for the community by the Project Management. This report should confirm that the project has been completed and specify to what extent planned results and the project purpose were achieved. The report should also document any lessons learnt from the planning and implementation of the project. This report should be included in a CAP information database so that a database of lessons learned by the community can be built up over time.
- an evaluation of the project by the stakeholders to identify lessons learnt in the planning and Implementation of projects, and feed the information back into revision of the CAP and future district development plans.

### **Lessons learnt**

Guiding principles in PCM

- Sustainability
- Participation
- Partnerships
- Capacity building and institutional development

## MODULE 6: PARTICIPATORY MONITORING, EVALUATION AND LEARNING (PMEL)

### 6.0 What is PMEL?

Monitoring, evaluation and learning are **participatory** processes that involve managers, personnel and communities in collecting, processing and communicating information to assist in decision-making, it is a continuous feedback system, on-going through out the life of a project programmed, and involves the overseeing or periodic review of each activity at every level of implementation to ensure that:

- Inputs are ready on time
- Work plans are followed, as closely as possible
- Adjustments can be made, and corrective actions taken, where necessary
- People, who need to know, are kept informed
- Constraints and risks can be foreseen, and timely solutions found
- Resources are used efficiently and effectively
- Best practices are identified

### 6.1 Purpose of PMEL

The purposes of monitoring and learning are:

- To provide early **feedback on progress** towards objectives that have been agreed between different stakeholders: national government, districts. NGOs, Cobs. private sector and communities. This will help to identify problems at an early stage, so that relevant changes, in activities and schedules, can be made before it is too late.
- To keep a close watch on the possible negative and positive impacts of activities and inputs. These include critical economic, social, and environmental impacts. Timely information on these impacts can help to mitigate any negative effects by making relevant course changes early.
- **Accountability** - Programmed and project managers, districts and communities need to know that planned activities are being implemented as agreed and that resources are being used efficiently and effectively.
- Monitoring the **performance** of programmed and project personnel in carrying out their tasks.



- To provide feedback on whether existing or new approaches that have been developed are working effectively in the field. This feedback allows any deficiencies to be rectified.
- To enable programmed and project managers as well as district teams and communities to **learn** from the field-testing of participatory and integrated approaches at the district and community levels. This will identify best practices and lessons that can be used to improve programmed and project performance, as well as providing models for other communities and districts to emulate.

**Monitoring and Learning** is a management tool for continuous learning and quality control.

A monitoring and learning system answers questions of:

- **Relevance** - Does the project address Kenya's needs in terms of sustainable development and poverty alleviation? At the community level, does the project help communities identify and address their needs?

## 6.2 How to Conduct a PMEL

### Key Principles

Monitoring and learning are carried out at the level activities, outputs and objectives. The following should be put considered:

- the efficiency with which the project activities and inputs are being used to achieve the project outputs. This is the usual concept of monitoring used in most projects, which concentrates on quantity and time indicators, which are verified through regular reports.
- The effectiveness of project outputs in helping to achieve desired objectives. These look at issues such as quality of outputs, involvement of stakeholders, and the process used to achieve outputs.
- Evaluating the impact of a project on the achievement of results and objectives, and on critical social, economic, environmental and political processes.

**Base line data** provides an essential yardstick for evaluating progress.

An effective monitoring system requires the project team and communities to have a clear idea of what they are trying to achieve i.e. the expected results, and the indicator- that will be used to measure efficiency, effectiveness and impacts. These indicators should be:

- A **measure** of results, impacts or activities that are **important** to the achievements of objectives;
- A **plausible** measure of what the project is trying to achieve;
- **Sufficient** to give an indication of success or failure;
- **Independent** of other factors so that only one particular set of measurements is required for each indicator;
- **Verifiable** as part of the project;
- **Precisely defined** in terms of nature, quality, quantity and timing.

### 6.3 When to do PMEL

Monitoring is a continuous process that occurs at all stages of project implementation, from the early stages to completion. It should not be confined, merely to periodic meetings. As the purpose of monitoring and evaluation is to enable programmed participants to learn from their experience, it is important that self-monitoring becomes part of the culture of project implementation and management.

The main monitoring and learning mechanisms for the project could include:

- at the **activity** level - Project staff, communities, the national consultants district and national steering committees. This will require self-monitoring by stakeholders in the pilot projects, with assistance from programmed staff, in defining indicators, monitoring schedules, and allocation of resources. The monitoring mechanisms and indicators should be defined in the project Log-frame and Community Action Plan.
- At the **output** level - Project staff, community representatives, district and national steering committees, national consultants, the programmed manager, programmed adviser, GOK.
- At the objectives level - Community representatives, project staff, district and national steering committees, national consultants, the programmed manager, programmed adviser, GOK.

#### **6.4 Who should do PMEL?**

Effective monitoring requires that all project personnel, at the national level and in each of the pilot projects, should be involved in self-monitoring. In addition, in the pilot projects, community stakeholders should also be involved in monitoring. The formulation and monitoring of indicators must be a participatory process in which the first step is to carry out a stakeholder analysis, to identify potential actors, especially those likely to be affected by the project and those involved in carrying out activities and managing the projects. The roles and responsibilities in monitoring and learning have to be defined at an early stage.

## APPENDIX 1: COMMUNITY ACTION PLANS

### GROUP ONE VISION- POVERTY REDUCTION

Objectives	Activities	By whom	By when	Resources Required	Where	Budget	Indicators Achievements	Constraints	Remarks
To have 1000 acres of land for food production in Suba by irrigation	Land clearance Survey Civil works Cultivation Irrigation	Community Min. of Agriculture -IU Extension officers	Feb 2002 June 02 June 02 Aug. 2002	Labor, Farm implements, land, water, pump pipes	USAO Sub/location 100,000 100,000 100,000 100,000	50,000 30,000 250,000	Area of Land cleared Area of land Cultivated Area of land irrigated	Low participation High soil salinity Insecurity	Full comm. Participation Acquisition pump and pipes at civil works stage Agriculture ext. officers to be fully involved
To increased the tonnage of fish from 1000 tons to 2000 tons by 2003 Every month			April 2001	Increase the quantity of fishing gears Training of fishermen on modern fishing technology	Fishermen	1.1 Million	10 Fishing boats 85 nets purchased	Piracy HIV/Aids Poor storage/'Reservation Failure to change attitude among fishermen	Cost sharing
			By March 2001	Improve facilitates at the landing beaches	GOK-FD	50,000/	50 fishermen trained		
			By March 2002		Beach management committees  Local	30,000/	2 Landing beaches rehabilitated Tonnage of fish increased	Clanism Lack of support from local authority	Cost sharing

**GROUP 3**

**VISION- IMPROVE THE AVAILABILITY AND ACCESSIBILITY OF SAFE PORTABLE WATER**

<b>Objectives</b>	<b>Activities</b>	<b>By whom</b>	<b>By when</b>	<b>Resources Required</b>	<b>Where</b>	<b>Budget</b>	<b>Indicators/Achievements</b>	<b>Constraints</b>	<b>Remarks</b>
To increase the availability and accessibility of safe portable water y 50% to the population by 2006	Identify 250 Water user groups	Community IA'S Administration	5 Divisional	By 2002	Transport Stationery Personnel	100000 30,000 180,000	No of NGOs identified	Infrastructure Coordination	Funds available
	Train 250 WUG	I A's	2002-2006	Water sites		1.5 million	No. of Water Users Groups	Infrastructure Community contribution	GOK support
		IA's ;community			Equipment Personnel Transport	120,000	No of functional facilities Reduction of water borne diseases  Percentage of people with access to safe water	Infrastructure Community contribution	Community support and participation

**GROUP FOUR**  
**VISION- IMPROVE ROAD NETWORK IN SUBA DISTRICT BY THE YEAR 2010**

Objectives	Activities	By whom	By when	Resources Required	Where	Budget	Indicators/Achievements	Constraints	Remarks
Bitumize 200 Kms of major roads by 2010 in Suba	Consult with MOPW	Stakeholder (Divisional Reps)	Jan 2002	Transport & meals	Mbita	Transport 10 x 200 Meals 10 x 2000  Total 4000/	The meeting took place Minutes of the meeting	Unavailability of funds MOPW unwilling	The Reps to give feedback to the community and stakeholders
	Mobilize/Seek/Source/Solicit funds	District roads committee and divisional reprs. 10	March 2002	Transport Meals Accommodation Proposals		Transport 3 x 1000 Meals Ve feed a ck to the \s3x 4000 Accom. 3x1000 Total 11,400	Meeting with donors took place Written commitments from donors Kshs. 100 million Received from donors(WB)	Technical skills on proposals writing lacking Unfavorable response form donors	Give feedback to the stakeholders
	Contract & tender out the services	DRC and tendering committee	June 2001	Mbita	Transport and subsistence  Funds	Transport 10 x 200 Meals 10 x 200 Total = 400 Kshs 90	Tendering meeting held Minutes of the meeting The work is started	Contractors requiring/quoting more than what is available The contractor mot moving into the site immediately	Feedback to the stakeholders Tendering done on merit M&E by stakeholders
	Mbita-Sindo Agolo Muok road 100 kms	Mugoya construction	Jun 2005	Suba	Funds	45 million	The roads tarmac	Shoddy work Unfavorable weather Abandonment of the site	Work completed within schedule
Opening & Murraming of 100 Kms feeder roads by 2010 in Suba District	Consult with MOPW	Divisional reps (stakeholders)	Jan 2002	Mbita	Transport meals		The meeting took place Minutes of the meeting	Unavailability of funds MOP unwilling	The reps to give feedback to the community/stakeholders

	Raise mobilize seek funds	Divisional reps + DRC	Nov 2001	Mbita Nairobi	Transport meals, Accommodation proposals		Meeting with donors took place Written commitments form donors (IMF) Kshs 40 m received form donors (IIMF)	Technical skills on proposals writing Lacking Unfavorable response from donors	Give feedback to the stakeholders
	Contract & tender out the services	DRC and tendering committee	June 2002	Mbita	Transport Subsistence Funds	Kshs 40 million	Tendering meeting held The work is started	Contractors requiring quoting more than what is available The contractor not moving its the site immediately	Feedback to the stakeholders Tendering done on merit M/E by stakeholders
	Construction/murraming		Jun 2005	Suba Mfangano	Funds	“	The Roads Murrammed		Work completed within schedule

## APPENDIX 2: SAMPLE OF TRAINING WORKSHOP PROGRAMMED

### TOPICS

#### **Day One: Setting The Scene**

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- Registration
  - Logistics of the workshop
  - Interactive introductions for participants and expectations
  - Ground rules
  - Personal River of Life
  - Introductions to Kendelevu Project
  - Introduction to workshop and the toolkit
  - Trust building exercise (Personal River of Life)
  - Attributes of women and men
  - District River of Life
  - Daily Evaluation
- 

#### **Day Two: Analysis of Issues**

---

- Learning Review
  - Community River of life
  - Gender Analysis
  - Trend lines
  - Problem Tree
  - Stakeholder Analysis
  - Institutional analysis
  - Daily evaluation
- 

#### **Day Three: Analysis of Issues**

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- Learning Review
  - Good Governance
  - Stakeholders analysis
  - SWOT analysis
  - Strategic and action planning
  - Setting goals
  - Identifying objectives
  - Ranking objectives
  - Daily evaluations
- 

#### **Day Four: Field Visit**

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## **Day Five: Project Management Monitoring and Learning**

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- Field Recap
- Vision Tree
- Goals /Objectives
- Project cycle management
- Community Action Plans
- Maintaining and learning strategies Personal commitment
- Group commitment
- Final workshop evaluation
- Closing ceremony

## APPENDIX 3: WORKSHOP EVALUATION FORM

### Part A

**Please rate the following aspects on a 1 - 4 scale by circling the appropriate response.**

1. How useful was the workshop for you as an individual ?  
 1 Not useful                      2. Useful                      3. Very Useful                      4 No comment
2. How well organized was the workshop?  
 1. Not organized              2. Organized              3. Very Organized 4. No comment .
3. Please comment on the following components of the workshop:

*a) Plenary Sessions*

1. Poor                      2. Good                      3. Very Good                      4. No comment

*b) Group Work*

1. Poor                      2. Good                      3. Very Good                      4. No comment

*c) Individual Exercises*

1. Poor                      2. Good                      3. Very Good                      4. No comment

4. Please assess how well each of the following sessions of the workshop was conducted. (Tick inside the appropriate box). In this question please indicate in order of preference the three topics you enjoyed most:  
 1=Best    2=Second    3=Third

	ASSESSMENT				
	Poorly	Well	Very Well	Don't Know No Comments	Preferred Topic
Gender Analysis					
Governance					
SWOT Analysis					
Project Cycle Analysis					
Vision Tree					
Attributes of Men and Women					
Problem Tree					
District River of Life					
Introduction of Capacity 21 Kendelevu					
Institutional Analysis					

5. Overall, how would you rate the workshop?

1. Poor    2. Good    3. Very Good    4. No Comments

## **PART B**

On a rating of 1-4 assess how the workshop has improved your ability to:

6. Plan and organize a workshop that includes both formal and informal presentations and interactive exercises:

1. Not improved 2. Slightly improved 3. Greatly improved 4. No comments

7. Manage a workshop so that all planned topics are covered in a timely manner and stated objectives are achieved;

1. Not improved 2. Slightly improved 3. Greatly improved 4. No comments

8. Design a workshop that helps meet the needs of participants;

1. Not improved 2. Slightly improved 3. Greatly improved 4. No comments

9. Facilitate a workshop to ensure that all participants are able to contribute to workshop discussions and results

1. Not improved 2. Slightly improved 3. Greatly improved 4. No comments

10. Evaluate the results of a workshop;

1. Not improved 2. Slightly improved 3. Greatly improved 4. No comments

11. Would you recommend this workshop to a colleague?

1. Not improved 2. Slightly improved 3. Greatly improved 4. No comments

## **PART C**

1. What did you find the least helpful about the workshop?

2. How are the skills learnt relevant to your work?

3. What did you learn for the first time during the workshop?

4. Any suggestions you may have for improving the workshop?

5. Comments about any other aspects of the workshop?

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