

Manual



**Constituency
Strategic Planning
Manual**
Facilitator's Guide

Published by
Institute of Economic Affairs

Written by
Katindi Sivi Njonjo

© Institute of Economic Affairs
5th Flr, ACK Garden House, Wing D
Bishops Road, 1st Ngong Avenue
P.O. Box 53989, 00200
Nairobi, Kenya
Tel: 254-020-2721262, 2717402
Fax: 254-020-2716231
Email: admin@kenya.or.ke
Website: www.ieakenya.or.ke

ISBN: 9966-7183-4-6

Design and layout,
Sunburst Communications Ltd.
Tel: +254 - 20 - 312328
Email: info@sun.co.ke

Print and Publishing,
Ascent Limited
Tel: +254 - 20 - 2725303
Email: info@ascent.co.ke

Table of Content

PREFACE	8
ACKNOWLEDGEMENT	11
ABBREVIATION	12
Facilitator's Resource	
CHAPTER 1	20
INTRODUCTION	
1.0 Preparing to get started	
• Strategic planning sensitization workshop	
23	
• Collaborating organization	
• Selection of participants	
• Data gathering and analysis	
• Booking venues and sending participant invitations	
• Choosing an effective note taker/rapporteur	
• Preparing to facilitate the strategic planning workshop	
1.1 Getting Started	25
• Course opening	
• Prayers (interfaith)	
• Introductions, articulating the participants expectations	
and setting workshop norms	
• Demonstrate the importance of planning together	
• Illustrate what strategic plans are	
• Review of workshop schedule, goals and objectives	
CHAPTER 2	35
FACT OR FICTION?	
2.0 The Environment Scan	
• Present the constituency poverty map, and the analysis of	
the constituency demographic indicators from the data	
analysis, field survey and focus group discussions	
• Presentation of causes and effects	

- Application of the PESTEL analysis and establishing driving forces
- Assessing the internal and external environment

CHAPTER 3

50

PLANNING

3.0 Where do we go from here?

- Priority setting
- Planning,
- Visioning and Shared Visions
- Mission
- Goals and Objectives
- Values
- Core Strategy

CHAPTER 4

71

RESOURCES

4.0 What do we have in our hands?

- Overview of devolved funds and their roles in development
- Presenting an analysis of actual moneys disbursed by the government (according to government records) and citing some case studies
- Highlighting key lessons learnt from development agents in the constituencies i.e. District and Divisional Officers, NGO's and different devolved fund managers

CHAPTER 5

99

ACTION PLANNING

5.0 What do we do, when, where and how?

- Action Planning

CHAPTER 6

106

MONITORING & EVALUATION

6.0 What have you been up to?

- Different M&E tools and feedback processes
- Kabete case study

CHAPTER 7

120

Conclusion

7.0 The journey has just begun!

- Reflect on the strategic planning workshop and comment
- Review workshop expectations to check if the participants expectations were met
- Allow participants to evaluate the facilitation process
- Communicate post workshop points of action and timeframes
- Conclude (vote of thanks and prayer).

REFERENCES

125

ANNEX 1

128

ANNEX 2

136

LIST OF TABLES

Table 1:	PESTEL Analysis
Table 2:	SWOT Analysis
Table 3:	Enhancing Strengths and Opportunities, turning Weaknesses into Strengths and Threats into Opportunities
Table 4:	Shared Visioning Allows a Move
Table 5:	Current Agricultural Production vs. the Constituency's Potential
Table 6:	Possible Earnings from the Sale of Poles per Acre
Table 7:	Rongai Constituency HIV/AIDS Fund Allocation
Table 8:	RMLF Allocations for Khwisero Constituency
Table 9:	REPLF Allocations to Busia District
Table 10:	Primary School Enrolment (2002 – 2007) in Garissa District
Table 11:	FPE Funds Disbursed to Garissa District since Implementation of the programme (May 2003 – April 2007)
Table 12:	An Example of other Funding Sources in Garissa District
Table 13:	Free Primary Education Support Programme
Table 14:	Percentage Allocations of CDF for 2005/6 and 2006/7 Financial Year in Khwisero Constituency
Table 15:	CDF Allocation in 2005/6 and 2006/7 in the Education Sector (Khwisero Constituency)
Table 16:	Secondary Schools Physical Facilities and priorities in Khwisero Constituency

Table 17:	Devolved Funds and other Financial Resources in Ugenya Constituency in 2006/7
Table 18:	Devolved Funds and other Financial Resources in Dujis Constituency in 2006/7
Table 19:	Action Plan for a Three-Year Strategic Plan
Table 20:	Performance Indicators of the Action Plan on Table 19
Table 21:	An Example of a Log-Frame
Table 22:	Point of Action after the Workshop
Table 23:	Sub-Locations in Rongai Constituency
Table 24:	Voter Registration by Location and Gender in Rongai Constituency

LIST OF GRAPHS

Graph 1:	National LATF Allocations
Graph 2:	National RMLF Allocations
Graph 3:	National SSEBF Allocations
Graph 4:	National REPLF Allocations
Graph 5:	Electricity Coverage in Busia District and Lighting Types in Butula Constituency
Graph 6:	National FPE Allocations
Graph 7:	National CDF Allocations
Graph 8a:	Area Covered by Locations in Rongai Constituency
Graph 8b:	% Area Covered by Locations in Rongai Constituency
Graph 9:	Population in Rongai Constituency by Gender
Graph 10a:	Population in Rongai Constituency by Location
Graph 10b:	% Population in Rongai Constituency by Location
Graph 11:	Population in Rongai Constituency by Location and Gender
Graph 12a:	% Population by Age in Rongai Constituency
Graph 12b:	Population by Age in Rongai Constituency
Graph 13:	Population by Age and Stratified by Location in Rongai Constituency
Graph 14:	Voter Population by Gender
Graph 15a:	% Voter Registration in Rongai Constituency by Location
Graph 15b:	Voter Registration in Rongai Constituency by Location and by Gender
Graph 16:	Lighting in Rongai Constituency
Graph 17:	Water Sources in Rongai Constituency
Graph 18:	Waste Disposal in Rongai Constituency
Graph 19:	Sources of Cooking Fuel in Rongai Constituency
Graph 20:	Floor Types in Rongai Constituency
Graph 21:	Roof Types in Rongai Constituency

Graph 22:	Wall Types in Rongai Constituency
Graph 23:	Area Covered by Tarmac Road in every Location
Graph 24:	Road Coverage and Type in Rongai Constituency by Location
Graph 25:	Primary School Distribution by Location in Rongai Constituency
Graph 26:	Primary School Completion Rate by Gender in Rongai Constituency
Graph 27:	Secondary School Distribution by Location in Rongai Constituency
Graph 28:	Secondary School Completion Rate by Gender in Rongai Constituency
Graph 29:	Health Facilities in Rongai Constituency by Location
Graph 30:	Police Posts/Stations in Rongai Constituency by Location
Graph 31:	Police Officers in Rongai Constituency by Location

LIST OF FIGURES

Figure 1:	Same Object Different Perspectives
Figure 2:	Demonstrating Strategic Planning
Figure 3a:	Poverty Incidence in Mombasa District by Constituency Level
Figure 3b:	Poverty Incidence in Kisauni Constituency by Location
Figure 4:	Problem tree Analysis
Figure 5:	Focal Problem Analysis
Figure 6:	Driving Forces
Figure 7:	An Illustration of Kenya's Internal and External Environment
Figure 8:	Likely Outcome of Uncoordinated Visioning
Figure 9:	Shared Vision
Figure 10:	Attributes of a Good Vision
Figure 11:	Strategic Planning Concepts
Figure 12:	Group Work and Presentation (Dujis Constituency), a Vision Statement (Ganze Constituency)
Figure 13a:	Kiima Kimwe Hill before a Tree Planting and Gabion Construction Project
Figure 13b:	Kiima Kimwe Hill after Environmental Conservation
Figure 14:	Proposed Coordination of Development and M&E Structure in Kabete Constituency
Figure 15:	Poverty Levels in Rongai Constituency by Location

Preface

Since 2006, The Institute of Economic Affairs (IEA-Kenya) through the Futures Programme has explored ways in which rural development could be enhanced. This was because the legislation of the Constituencies Development Fund (CDF) Act in 2003 and the administering of other funds at the constituency level significantly changed development dynamics. Citizens not only exercised their civic rights within this jurisdiction but also engaged more and more in planning, implementation of projects and programmes as well as in monitoring and evaluation, activities that were formerly a preserve of Government.

In finding out if the citizens were effectively participating in these development processes, IEA-Kenya in conjunction with Kenya National Commission on Human Rights (KNCHR) commissioned a citizens' report card in 2006. This report revealed that only 38.7% of Kenyans participated in selection and prioritization of projects, 37.8% in determining the location of projects, 35.4% in project follow up and monitoring and 22.9% in management of project funds. Findings by the Institute of Policy Analysis and Research (IPAR) on participation were also very low. There were only 18% involved in needs identification, 5% in tendering and procuring and a mere 15% in monitoring and evaluation of programmes and projects. A mechanism to facilitate participatory planning at all levels was therefore considered timely and necessary.

IEA-Kenya adopted the strategic planning methodology to help improve this situation. Though a business planning tool that determines where an organization is going over the next year or more and how it will strategically position itself to get there, the methodology was adopted to help constituencies identify, plan for and effectively address pressing issues as well as utilize funds effectively. As a result, IEA Kenya facilitated Butula, Kabete, Kilome, Rongai, Khwisero, Ugenya, Ganze, Gachoka and Dujis constituencies in strategic planning conversations. All community leaders and fund managers were involved. However, out of these, only Kabete and Dujis constituencies published and launched their plans.

The invaluable lessons learnt from the strategic planning exercises, and the enormous demands IEA-Kenya continues to receive from other constituencies, necessitated the writing of this manual. It is published to aide community facilitators to run successful constituency strategic planning workshops and to produce apt constituency strategic plans. The primary focus of these plans is the prioritization of key performance areas to achieve the highest impact in collaboration with all development actors. It is therefore not a tool that aides the planning for one specific fund like CDF.

The workbook defines the basic principles of strategic planning in a constituency setting, highlights a facilitator's competencies and gives a step by step account of how to facilitate each session of a strategic planning workshop. Practical exercises and case studies are included to make the exercises very realistic. Ways in which all the development agents in the constituency can work together are spelled out to help harmonize projects and programmes thus eliminating duplication and meaningless rivalry. The workbook assumes that a constituency has not been involved in a consistent development planning process with all the development agents in the constituency. It therefore emphasizes a sensitisation workshop to introduce strategic planning as a useful tool that a constituency should consider adopting. It also gives the rationale for carrying out strategic planning.

It is important for users of this manual to note that all situations are not the same. The material here can therefore be modified to suit different situations without misrepresenting the facts or altering the meaning that this guide seeks to give.

Why Should Constituencies have Strategic Plans?

First, strategic planning ensures that community leaders and those who are involved in development processes have genuinely thought through the decisions made on public service delivery. People's situation, needs, perceptions and experiences are articulated, thus helping different thoughts to be collated and organized into more coherent strategies. It permits them to own programmes and projects. Ultimately this motivates them to committedly offer leadership and work towards the implementation of these projects and programmes

It is paramount that the citizenry is aware of the leadership's development intentions. Since not everybody can be involved in the actual development of the plan, strategic plans act as that bridge between the leadership and the community. They enable the leadership or the implementers to communicate the development strategy, goals and objectives to their constituents with justification. That understanding supports an increased level of commitment to the development work.

Because of the kind of factual analysis that goes into the strategic planning process, a constituency is able to focus on the right priorities. The development process is therefore not marred with wrong perceptions, personal or factional interests. Energies are also not dissipated working out the wrong interventions. This leads to a more effective use of community resources. Whereas a strategic plan cannot cure all of a community's ills, it acts as both a leadership tool and a management tool. As a leadership tool the process asks: "are we doing the right thing" and as a management tool, the planning process allows people to make sure that the community is "doing things right."

Constituency strategic plans improve the connection between national policy priorities and those at district, constituency, location and sub-location levels. This harmonization is paramount for development to have any meaningful impact.

It is envisaged that this manual will be used to standardize constituency strategic planning processes in Kenya. We hope the planning will encourage effective participation, better leadership, the implementation of projects and programmes that have an impact, enhance transparency and accountability hence a more empowered community.

Acknowledgement

Institute of Economic Affairs (IEA-Kenya) through its Futures Programme would like to thank Mr. Peter Maina of Maer Associates who conducted a very successful ‘Training of Facilitator’s Workshop’ on 24th to 28th October 2005 at The Lukenya Getaway, and thus provided some of the useful insights in this manual.

IEA-Kenya would also like to thank Prof. Preston Chitere (UoN), Godfrey M Kariuki (MoPND), John Nyerere (Initiative Consulting), Mbutu Mwaura (KIPPRA), James Kabucho (Life Skills Promoters), Janet Kiarie (MS Kenya), Wangui Mwangi, Albert Mwenda, Thitu Mwaniki, and John Mutua all of IEA-Kenya who participated in the peer review meeting of the first draft on 19th March 2007 at Panafric Hotel. Our gratitude is extended to Abraham Rugo, Irene Kinuthia both from IEA-Kenya, Owino Magana (E-Kazi, Africa) and Andy Harris (Harvard University) for editing the manual.

Finally, we would like to thank Mr. Robert Gichira, a strategic planning expert for reviewing the manual and providing further guidelines on how the manual could be improved.

This work would not have been possible without the financial support of Department for International Development (DFID), Swedish International Development Agency (SIDA) and Canadian International Development Agency (CIDA) for the initial funds to facilitate Butula, Kabete, Kilome, Rongai, Khwisero, and Ugenya constituency strategic plans. That experience shaped the writing of this manual. Special thanks go to Diakonia, East and Southern Africa office for funding IEA-Kenya to conduct strategic planning exercises in Gachoka, Dujis and Ganze constituencies, for providing funds to publish this workbook and to conduct 183 Training of Trainers (ToT’s) workshops in 61 constituencies. We hope that the ToT’s will train other facilitators and with this pool of knowledge help our constituencies to plan more effectively.

Abbreviations

AEO	Area Education Officer
AIDS	Acquired Immune Deficiency Syndrome
ALRMP	Arid Lands Resource Management Project
ASAL	Arid and Semi Arid Lands
CACCs	Constituency Aids Control Council
CBOs	Community Based Organizations
CBS	Central Bureau of Statistics
CDC	Constituency Development Committee
CDF	Constituency Development Fund
CEPED	Centre for Education, Peace, Environment and Development
CIDA	Canadian International Development Agency
CSR	Corporate Social Responsibility
COMESA	Common Market for Eastern and Southern Africa
CWIQ	Core Welfare Indicators Questionnaire
DAO	District Agricultural Officer
DDC	District Development Committees
DDPs	District Development Plans
DEO	District Education Officer
DFID	Department for International Development
DFRD	District Focus for Rural Development
DICECE	District Centers for Early Childhood Education
DRB	District Roads Board
DSO	Districts Statistics Office
ECK	Electoral Commission of Kenya
EAC 1	East African Community 1
EAC 2	East African Community 2
ECED	Early Childhood Education Development
ECD	Early Childhood Development
EMACK	Education for Marginalized Children in Kenya
EMIS	Environmental Management Information System
ERB	Electricity Regulatory Board
FPE	Free Primary Education
FPESP	Free Primary Education Support Programme
GEMA	Gikuyu, Embu, Meru Association
GoK	Government of Kenya
GTZ	German Agency for Technical Cooperation
HIV	Human Immuno-deficiency Virus
IEA - Kenya	Institute of Economic Affairs

KADU	Kenya African Democratic Union
KPU	Kenya People's Union
KANU	Kenya African National Union
KAU	Kenya African Union
KAMATUSA	Kalenjin, Maasai, Turkana and Samburu
KCC	Kenya Creameries Cooperative
KIPPRA	Kenya Institute of Public Policy Research and Analysis
KLGRP	Kenya Local Government Reform Programme
KMC	Kenya Meat Commission
KNBS	Kenya National Bureau of Statistics
KPLC	Kenya Power & Lighting Company
KRB	Kenya Roads Board
KShs	Kenya Shillings
LASDAP	Local Authorities Development Action Plan
LATF	Local Authorities Transfer Fund
LEGCO	Legislative Council
LCD	Liquid Crystal Display
LDC	Locational Development Committees
M&E	Monitoring and Evaluation
MoH	Ministry of Health
MoPND	Ministry of Planning and National Development
MoF	Ministry of Finance
MoE	Ministry of Education
MoU	Memorandum of Understanding
MP	Member of Parliament
NACC	National Aids Control Council
NARC	National Rainbow Coalition
NEP	North Eastern Province
NGOs	Non Governmental Organizations
NMC	National Management Committee
PEF	Poverty Eradication Fund
PESTEL	Political, Economic, Socio-Cultural, Technical, Environment and Legal
PRSPs	Poverty Reduction Strategy Plans
PETS	Public Expenditure Tracking Surveys
PS	Permanent Secretary
PTA	Parents Teachers Association
REPLF	Rural Electrification Plan Levy Fund
RMLF	Roads Maintenance Levy Fund
SAPs	Structural Adjustment Programmes
SIDA	Swedish International Development Agency
SID	Society for International Development

SMC	School Management Committee
SME's	Small and Medium Enterprises
SSEBF	Secondary School Education Bursary Fund
SWOT	Strengths, Weakness, Opportunities & Threats
TSC	Teacher Service Commission
ToT's	Training of Trainers
UoN	University of Nairobi
UNICEF	United Nations Children's Fund

The Facilitators Resource¹

Facilitation involves leading people over whom one has no direct authority or power and therefore cannot enforce a leader's views. It also refers to the ability to assist others in setting their own goals and plan for themselves to achieve the desired results.

Facilitation therefore means handholding people and leading from behind. This requires persuasive skills and the ability to lead by example releasing those who are being facilitated to proceed and succeed on their own. The mark of a good facilitator is to have those s/he is facilitating excel to even greater heights than what the leader has achieved.

A facilitator has to simultaneously lead the group on two threads:

- The technical subject matter being soundly addressed
- The management of the group work process so that it leads as efficiently as possible to the desired group results. It is especially important that the process is managed in such a way that all group members feel that they were fully involved in arriving at all the group outcomes.

Any facilitator engaging in this work, requires a basic understanding of the purpose of the devolved funds, and intended place within Kenya's socio-economic development. Similarly, the Facilitator needs an understanding of how to work with groups to achieve specific results. These are referred to as *technical knowledge and skills*. However, the distinguishing ability of a good facilitator is not his or her technical skill, but the capacity to enable others to work effectively together. A facilitator also requires another set of *behavioural competencies*. These are learned skills, or natural personal attributes that enable the facilitator to interact with groups and to guide them to work successfully together.

The Facilitators Competencies

Competence generally refers to education/knowledge, experience and skills that enable one to carry out specific tasks. Facilitation competencies include conceptual, technical and interpersonal competencies. A fairly easy way to think about how deeply one knows or needs to know a given subject is the "ESAACK continuum".

For participants to understand effectively, the facilitator needs to be conscious about the level at which to address a subject. Facilitation should always be from the participant's point of view and not from the point of view of the facilitator.

¹ Adopted from Maer Associates

The ESAACK continuum

Knowledge: being generally aware about something e.g. a facilitator being able to give sound information to participants on why the CDF fund was established.

Comprehension: a good understanding of information beyond having general information about something, e.g. a CDF facilitator not just knowing why the CDF was established, but properly understanding the rules and regulations set to govern the fund.

Application: using information to better carry out specific tasks; translating knowledge into valuable action e.g. a CDF facilitator not just understanding the rules and regulations that govern the fund, but also using those principles to encourage the committee to invite local communities to set their own priorities and to discourage the Constituency Development Committee (CDC) from any tendencies of centralizing its thinking and practices.

Analysis: systematically exploring the deeper, alternative meanings and angles to specific information. For example, listing all the CDF project proposals, and examining their budgets in light of how many people they would benefit, so as to help decide which one to prioritize.

Synthesis: Processing information into knowledge, and translating these into valuable knowledge made from a combination of many separate pieces of information. For example, after the above analysis, a discussion can help synthesize constituency priority areas and the criteria for apportioning funds for the CDF committee.

Evaluation: Assessing processes or systems against specified benchmarks or desired outcomes e.g. facilitators might hold a workshop to review and agree which is best among the different approaches that they have used in helping the CDF committees to engage better with local communities' own perceived priorities.

In addition to technical competencies, a person's abilities to carry out something properly i.e. *personal attributes*, are also important. Personal attributes are natural characteristics that positively or negatively contribute to a person's effectiveness in a specific task.

1. *Mastering yourself:* includes keeping in mind that the group is likely to learn more from what you do, rather than from what you say.
2. *Seeing the big picture:* involves guiding the group towards long-term thinking, such that even in the absence of a well-trained facilitator the group is able to make good decisions with sustainable benefits. The facilitator should be careful

to lead from behind such that his or her leadership is seen as guidance, not interference with or a substitute for the group's official leader.

3. *Creating a shared vision:* includes helping the group deepen participation and collective ownership of their ideas, procedures and outputs, both within the group and between the group and its stakeholders.
4. *Clarifying group purpose and priorities:* requires choosing an appropriate modus operandi (standard ways of carrying out its tasks) that draw on a balance of sharp focus on the **purpose** of the group and before starting any activity defining what **results** to aim to achieve, and agreeing what systematic **processes**/procedures to follow in order to achieve the desired results. In this, particular care should be taken not to unnecessarily compromise results for the sake of procedure or process
5. *Communicating effectively:* means working carefully to show a clear and consistent message.
6. *Encouraging and motivating:* involves inspiring hope in the target audience to ensure continual effort towards the common goal, while at the same time ensuring that a credible road map is agreed upon to attain that goal. There is therefore need to show the importance of a clear goal and also a need to go beyond intellectual reasoning to practical actions
7. *Negotiating conflict:* deals with the fact that any progressive group of people can be expected to have divergent views on any given issue. Conflict can be used as an opportunity to strengthen a group. It is therefore key for a facilitator to be competent at averting unnecessary conflict but to also be able to constructively use people's difference of opinion to explore more widely and strengthen ideas and negotiate conflict to ensure good final results owned by the entire committee.
8. *Leading from behind:* this requires a facilitator to be able to guide the audience towards a determined goal while allowing the group to 'be in charge' to some extent e.g. by taking credit for successes realized in the process.

The effective facilitator therefore needs to in practice, combine all these competencies to achieve practical group outcomes.

[illegible]

Chapter 1: Introduction

1.0 Preparing to get Started

Objectives

1. To identify an organization within the community to steer the strategic planning exercise
2. To sensitise the community on the rationale of constituency strategic planning
3. To ensure that a representative group of participants is selected and available for the workshop
4. To gather constituency data for analysis
5. To prepare adequately for the facilitation process
6. To design an effective facilitation methodology to suit the selected group

Content

- Collaborating organization
- Strategic planning sensitisation workshop
- Selection of participants
- Data gathering and analysis
- Booking venues and sending participant invitations
- Choosing an effective note taker/rapporteur
- Preparing to facilitate the strategic planning workshop

TIME: Should be completed at least two weeks before the actual strategic planning workshop

Preparatory Phase

Selecting a Collaborating Organization

Finding a credible organization in the constituency to steer the strategic planning process and give the required support i.e. financial, office space, telephones, computers, copiers, secretarial support etc will be key to getting started. This organization must be respected and legitimate with operations in the constituency, otherwise the strategic plan risks being labelled 'foreign'. The selected organization must keep proper documentation of the whole process, including minutes of all meetings for future reference and for accountability purposes. Care needs to be taken

when selecting a collaborating organization because negative vested interests could completely interfere with the strategic planning objectives.

Constituency Development Committees (CDC's) were given the leeway to finance constituency strategic plans by the National Management Committee² (NMC) in 2007. For this reason, the CDF office could act as a host organization. However, care must be taken so that the politics of the day do not interfere with the process. Other professional organizations within constituencies may also be fundraising from independent donors to be able to facilitate the strategic planning process. One could look them up for possible collaboration.

Strategic Planning Sensitization Workshop

Strategic planning is largely a foreign concept at the community level. It is therefore paramount to have a workshop with community leaders and opinion-shapers (as many as can come) to educate them on what a strategic plan is all about and why strategic plans are carried out. Highlighting specific benefits to that community helps boost buy-in and endorsement of the process. Once people take ownership of the process, then it becomes indispensable otherwise the strategic planning organizers risk failure.

Because the constituency is a political unit, it is easy for the work to get derailed by non-issues. The facilitator/s, in collaboration with the strategic planning organizers, must ensure that the agenda of the workshop is properly understood. The information given in the workshop must therefore be succinct. The participation of all community leaders and opinion shapers is likely to give the work legitimacy. Popularizing the strategic planning exercise among community members boosts participation and acceptance.

Since there are many actors in the development process of the constituency, there is need to have custodians of the strategic plan. A steering committee that is representative of all these actors becomes necessary to coordinate the strategic planning process and oversee implementation of projects e.g. in the first two years. They could chair sector committee meetings and take up the monitoring and evaluation role. A public vetting process should be carried out to select these individuals. Participants can decide on a criterion e.g. have sector representatives or organizational representatives etc. Whatever the case, the demonstration of a democratic process and the calibre of members chosen will determine the success of the implementation phase. A gender balance and the representation of minority groups must be observed for fairness.

² NMC has since changed to National Management Board

The committee is likely to be an amorphous group of individuals because of the nature of their function. It is however important for the collaborating organization to facilitate them to hold meetings and move around the constituency inspecting projects. This facilitation need not be financial. It therefore must be very clear to the individuals joining the steering committee that they are serving on a voluntary basis.

Selection of Participants

After the sensitization workshop has been held, the facilitator and the collaborating organization should start preparing for the strategic planning workshop. For this workshop to be fruitful there is need to have a careful selection of participants. Most of these will have participated in the sensitization workshop. A proposed list includes:

1. Committee members or representatives of all devolved funds i.e.
 - LATF – Local Authorities Transfer Fund
 - Constituency HIV/AIDS Transfer Fund
 - RMLF - Roads Maintenance Levy Fund
 - SSEBF - Secondary School's Education Bursary Fund
 - PEF - Poverty Eradication Fund
 - CDF - Constituency Development Fund
 - REPLF – Rural Electrification Programme Levy Fund
2. District and Divisional Development Officers i.e. ministry technocrats in education, health, housing, agriculture, water, livestock, statistics, forestry etc
3. Women and youth group representatives
4. Representatives of active NGO's/CBO's
5. Religious leaders (of dominant religions in the constituency)
6. Local Administration Officers i.e. all the chiefs and a select number of sub-chiefs
7. Local opinion leaders like teachers, prominent business people
8. Constituency MP
9. Other constituent members (location and sub-location representation is vital)
10. Various political party representatives
11. Institutional representatives in the constituency e.g. a teacher's college representative, cooperative representative, small traders associations etc
12. Representatives of the business community
13. Various community professionals

NB: Getting a proper representation of people to participate in the strategic planning exercise will result in greater support. Gender balance is essential. Encouraging minority groups to take part in the process boosts the credibility of the plan and the process. It is important for all participants to confirm attendance in good time for proper logistical arrangements. An average of 25-45 participants will be ideal.

Data Gathering and Analysis

Getting as much information as possible about the constituency will give an objective perspective of the constituency. This will help eliminate perceptions that may be misinformed or exaggerated. Sources of credible constituency information may include: the Government through Kenya National Bureau of Statistics³ (KNBS), the District's Statistics Office (DSO), District Development Plans (DDP's) and Poverty Reduction Strategy Papers (PRSP's).

A questionnaire⁴ sent out to every chief could enable the collection of recent data stratified by location and gender and with more indicators of analysis. In some constituencies, the chiefs are not literate. The chiefs can therefore work with someone who can translate or interpret the information to get the right feedback. In addition to this, a field survey should be commissioned, mainly to observe actual conditions and any changes that might have occurred over time. This information needs to be complemented by people's perspectives on different development issues that cannot be explained statistically. The facilitator will therefore have to put together focus group discussions. A focus group discussion brings people from similar backgrounds or experiences (e.g. mothers, young married men, birth attendants or midwives etc) together to discuss a specific topic of interest to the facilitator(s) or workshop organizers. Homogeneous samples are preferred because mixing groups, for example by age or gender, may inhibit some people, especially women and children, from expressing their views. Proceedings can be recorded using a tape recorder to verify discussion points and capture all the issues raised. However, there has to be consensus that this is okay with the participants.

Booking Venues and Sending Participant Invitations

Together with the collaborating organization, arrange and book an appropriate venue to accommodate the workshop participants, and to hold the strategic planning workshop.

Workshop invitations should be sent on time with all the logistical details included e.g. the type of reimbursements to be made and on what criteria so that participants do not come with unrealistic expectations or cause unnecessary problems if for example out of pocket allowances are expected and are not given.

Appropriate information should be given to external/ guest speakers including the guest of honour well in advance and the necessary equipment such as laptops, projectors, flip charts etc prepared to facilitate effective presentations. Presenters (who are mainly fund manager of the various devolved funds, line ministry officials

³ Formerly known as Central Bureau of Statistics (CBS)

⁴ Annex 1: Constituency indicators - is a proposed questionnaire to guide collection of data in the location/ division

and NGO representatives are required to present on day 3) can be asked to prepare a brief paper (5 pages at most), which they'll hand in to the note taker to ensure that no details of the presentation are left out.

From the IEA-Kenya's experience, a residential workshop has more active participation, is less disruptive and is likely to have better time management. However, the cost implications may be somewhat high.

Choosing an Effective Note Taker

Because of the demands of facilitation, an effective rapporteur or note taker to capture all the workshop proceedings is needed. This person together with the facilitator may draft the constituency strategic plan. Alternatively, the note taker and a group of volunteers from the workshop can form a sub-committee that will draft the strategic plan. They should be conversant with the basic requirements of writing a conventional strategic plan.

Preparing to Effectively Facilitate the Strategic Planning Workshop

The facilitator needs to prepare adequately for the strategic planning session. This will include:

- Designing an effective facilitation methodology to suit the selected group of people, the geographical location and the culture of the people e.g. choice of language, male vs. female facilitators, dress code, written or sign language etc
- Developing workshop materials and participants files (i.e. photocopies of case studies, reference notes, stationery, etc.)
- Prepare all the necessary workshop equipment i.e. LCD projector, overhead projector, flip chart paper, felt pens, a tape recorder, camera (both still and video) etc

In places where electricity is not available, the facilitator will have to improvise visual aides' e.g. print large sized slides of the PowerPoint presentation to hang on the wall when illustrating different learning point. A generator can be procured in advance and in cases where facilitators do not have laptops and LCD projectors, they can organize to hire.

1.1 Getting Started

Objectives

1. To conduct introductions, set workshop norms & participants expectations
2. To set the learning climate
3. To introduce strategic planning concepts
4. To review the training agenda

Content

- Course opening
- Prayers (interfaith)
- Introductions, articulating the participants expectations and setting workshop norms
- Demonstrate the importance of planning together
- Illustrate what strategic plans are
- Review of workshop schedule, goals and objectives

Time: 2 hours

Plenary: Official Opening and Introductions

Course Opening⁵

The collaborating organization welcomes participants and invites the guest e.g. a respected community leader in the constituency to officially open the workshop. This is preferably held on the morning of the first day (day 1). The session should not take too long. The organizer needs to have briefed the guest well in advance to ensure that partisan politics, out of context or inflammatory remarks are not made to stir up conflict or confuse the purpose of the workshop.

⁵ Official course opening is an important undertaking especially at the constituency (a political unit) as it seems to give a process some form of blessing/ legitimacy hence wide acceptance by the participants

Prayers (Inter-Faith)

Depending on the workshop participants, this may or may not be done. If the participants are of diverse faiths, it is important for the facilitator to take this into account by allowing the group to decide or by having inter-denominational prayers to accommodate all faiths.

Introductions, Expectations and Workshop Norms

NB: This is usually an icebreaker that effectively helps participants to begin interacting more freely in latter sessions. Combining introductions, expectations and workshop norms saves a lot of time.

Group Exercise

NB: There are many creative ways of conducting the introduction section. Below are just suggestions that the facilitator could use

1. Participants to pair up

Criteria 1: The facilitator may give participants cards with certain key words written on them that are related to the workshop concepts. These may include words like;

- | | |
|------------------|------------------|
| • Colla-boration | • Vis-ion |
| • Mis-sion | • Part-icipation |
| • Deve-lopment, | • Consti-tuency |
| • Commu-nity, | • Po-or, |
| • Net-working | • Lea-ders |

Notice that each word is broken into two therefore each participant picks part of a word and finds the person with the other half of the word. Both make a pair (words are written on a flip chart during training preparation and presented to participants so that they are aware of the partner they will be looking for.

Criteria 2: Ask people to pair up with their neighbour. This may not be a very effective method if one wants to facilitate group learning and really break the ice because people tend to sit next to friends in foreign settings. It is however a good method in cases where there are time constraints.

2. Ask each pair to answer the following questions;

- Full name
- A nick name/how a participant prefers to be called (this is later written on a name tag)
- Occupation or area of expertise
- What to expect from the workshop
- One thing the participant likes
- One thing the participant does not like.

The facilitator will allow a conversation to ensue for about 15 minutes between the pairs.

Plenary: Discussions

Participants will then go back to their seats and each person introduces their partner. This feedback session should take about 1 hour at most. It however depends on the number of participants.

If participants were chosen on the basis of criteria 1, participants may also explain the meaning of the word formed by the pair. It becomes an excellent basis to introduce participants to different strategic planning concepts.

Lesson

The brief discussion is very important in boosting interaction among participants and forming new friendships.

By stating nicknames, people's attitudes begin to thaw and an informal, friendly atmosphere begins to set in. This is important if people are to interact more freely.

Finding out what people do enables participants and the facilitator to take note of the wealth of experience and expertise in the room. The facilitator also establishes a point of reference on specific issues during subsequent sessions.

In understanding the expectations of participants, the facilitator begins to establish the caliber of participants, how to work with them during the workshop period while ensuring that the expectations raised are adequately addressed. This enables participants feel a sense of worth because their concerns were treated as important. They also feel satisfied that their time was not wasted.

NB: Some participants will have expectations that cannot be met in the workshop or expectations that are not realistic e.g. to develop constituency Y. Because this expectation is impractical and outside the scope of the workshop, the facilitator needs to point out to the participants that the expectation cannot be met and give reasons why this is the case e.g. the facilitator may respond by saying that development cannot be achieved in a workshop but by the end of the sessions, we will have planned effectively on how constituency Y can develop. This way, the participant still feels valued and not undermined. Some expectations may be practical and in line with the workshop's objectives but the facilitator may not have planned to handle the topic in the programme. It becomes appropriate to modify the workshop agenda to meet those expectations e.g. by including some additional material/information.

These expectations should be recorded on a flip chart as everybody introduces themselves and hanged on the wall for reference at a later stage.

By stating a like and a dislike, the facilitator is able to record on two different flip charts, the workshop norms. This is done to help make the learning environment manageable during the workshop period. The two flip charts should also be hanged in an appropriate place to guide the sessions. Some of the norms may include but are not limited to;

Like's

- Respect of everyone's opinion
- Listening carefully and avoiding unnecessary movements
- Asking questions for clarity
- Keeping time

Dislike's

- Sleeping or dozing during the workshop
- Talking/murmuring while someone else is talking
- Receiving calls during workshop sessions

These are always referred to when an incident occurs that contravenes the agreed norms.

Workshop norms may lead to the facilitator, with the help of participants agreeing on different roles that participants can take up such as the role of a time keeper, energizer, doing daily re-caps etc. By participants taking up these roles, a sense of ownership begins to set in.

Each participant should then fill out a nametag/write their names visibly on a card and place it in front of them. Meanwhile, a participant's list could be going round, for the facilitator to also have the full details for administration purposes.

Because all participants are at varying levels of education, careers and age, the facilitator needs to set an atmosphere of equality. S/he will therefore hand small pieces of paper to the participants to write their titles e.g. chief, MP etc. The facilitator will then instruct all of them to crumble the piece of paper and throw it in a wastebasket. The facilitator should proceed to explain that all titles have been surrendered meaning that all participants have equal rights and should behave like students. They will follow all instructions given by the facilitator and contribute to discussions without feeling more superior or inferior to others. It helps deal with cultural barriers such as the fact that women or youth don't talk in the presence of old men. This game has been one of the most hilarious each time IEA-Kenya has played it in a workshop. Of course the agreement here is that participants will collect their titles at the end of the workshop.

Demonstrating the Importance of Planning Together

If the facilitator was to place a figure 3 on the floor as illustrated in figure 1, the participants would see different letters or number depending on where one is standing or sitting. They would see number 3, letter M, W or E.

Figure 1: Same Object Different Perspectives



Source: *Author's analysis*

It is important for participants to know that no answer is wrong. All of them are correct depending on different perspectives represented in the room. So is strategic planning. It is guided by people's collective wisdom, experimental realities, knowledge, education, background, areas of specialization, culture, religion and social status as they have a great influence in the way participants perceive or interpret things. A strategic planning exercise builds on people's creativity and collective consensus, respecting people's priorities and choices.

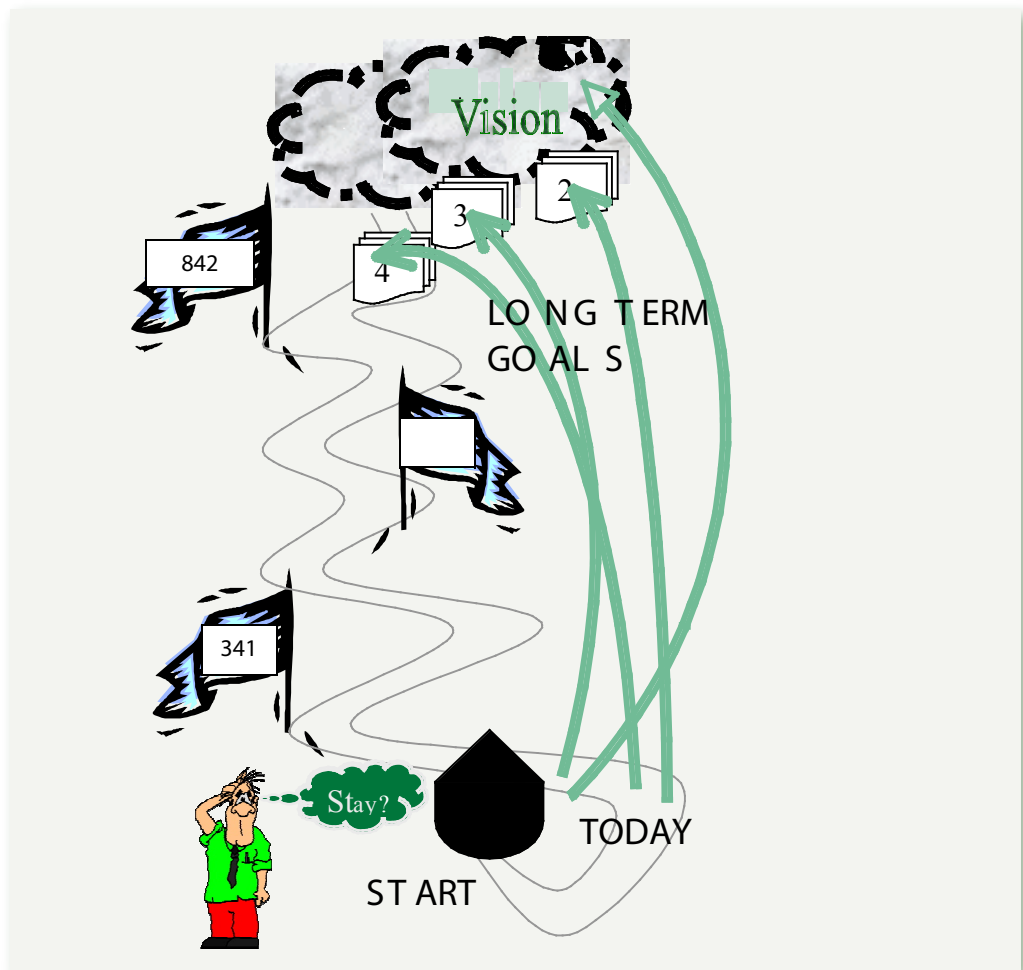
For this reason, the facilitator must encourage ALL participants to share their thoughts and experiences.

Illustrate What Strategic Plans are

A strategic plan is a roadmap that states where we are going (vision) and gives some short term strategies of how to get there through a set of actions. Like all roadmaps, these actions should have milestones saying "if this is achieved, we will have gone X kilometres further towards our destination (vision)," as illustrated in figure 2. Participants should be made aware that effecting strategic plans can be

overwhelmingly challenging and therefore it is possible to plan and never implement. That's why many people plan but never start the journey.

Figure 2: Demonstrating Strategic Planning



Source: Maer Associates Training

Review the Workshop Schedule, Goals & Objectives of the Course

The facilitator should distribute the workshop timetable/schedule and take the participants through what is to be learnt each day and the expected results at the end of each day. S/he should point out that the strategic planning sessions combine group discussion and group presentations, formal presentations by the facilitator and others, as well as demonstrations. The facilitator should also at this point mention what s/he expects from the participants e.g. keep time, be willing to work extra hours etc.

The schedule outline includes:

- Day 1: Facts or Fiction: The environmental scan**
Helps us understand our current reality, our past and the driving forces thereof.
- Day 2: Planning: Where do we go from here?**
Helps us chart the future we envision for ourselves and generations to come.
- Day 3: Resources: What do we have in our hands?**
Helps us map out our financial resources, natural, technical and human resource potentials that will be used to implement the plan
- Day 4: Action Planning: what do we do, when, where & how?**
To institute activities, programmes and projects that help achieve the desired goal.
- Monitoring and Evaluation: What have you been up to?**
To put in place a checks and balances that will enable the discipline of staying on course
- Next steps: What happens after the strategic planning workshop?**
To inform participants on the plan of action after the strategic planning workshop has ended

At the end of day 4, the workshop organizers conduct a participant's review of the workshop. This review is to gauge the participants' satisfaction with the workshop. They get a chance to evaluate the facilitator's performance. They also get to review the extent to which their expectations were met.

Workshop Schedule

	SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY
		Constituency – Facts & Figures (Situation analysis)	Taking Stock	Resources	Action Planning
8.00 - 10.00 am		<ul style="list-style-type: none"> Opening prayer (optional) Official opening & welcoming remarks Climate Setting & introductions Participants' expectations Workshop Norms/housekeeping matters Introduction to the course content Review of the workshop schedule, goals and objectives 	Previous day's review & evaluation <ul style="list-style-type: none"> Lecture: Priority setting Lecture: Introducing planning concepts i.e. Vision, Mission, Core strategy, goals and objectives, values 	Previous day's review & evaluation <ul style="list-style-type: none"> Lecture: Human, technical, natural and financial resources 	Previous day's review & evaluation <ul style="list-style-type: none"> A summary of key strategic planning outputs Lecture: Action Planning Group work and plenary discussions of the constituency projects and programmes
		TEA BREAK			
10.30 am - 1.00 pm		<ul style="list-style-type: none"> Lecture: Constituency facts & figures Plenary discussions / questions Lecture: Causes and effects Group work & plenary discussions 	<ul style="list-style-type: none"> Group work & plenary discussions: Vision Exercise 	<ul style="list-style-type: none"> Presentations by various stakeholders (give organizational mandate, highlight successes and challenges, finances) 	<ul style="list-style-type: none"> Group work and plenary discussions of locational projects and programmes
		LUNCH BREAK			
2.00 pm - 3.30 pm		<ul style="list-style-type: none"> Establishing driving forces using PESTEL analysis Group Work & plenary discussions 	<ul style="list-style-type: none"> Group Work & plenary discussions: draft a mission statement, goals and objectives, core strategy and values 	<ul style="list-style-type: none"> Presentations continue 	<ul style="list-style-type: none"> Lecture: Monitoring and Evaluation (M&E) Group work and plenary discussions of an action plan & log frame
		TEA BREAK			
4.30 pm - 5.30 pm	<ul style="list-style-type: none"> Arrival & Registration Briefing after Dinner 	<ul style="list-style-type: none"> Lecture: SWOT analysis Group work & Plenary discussions Further Analysis of the SWOT (to minimize risks and enhance the positive aspects) Day's wrap up (Where we are) 	<ul style="list-style-type: none"> As above Field visit (Optional) Days wrap up (Where we want to go) 	<ul style="list-style-type: none"> Presentations continue Day's wrap up (What we shall do with what we have) 	<ul style="list-style-type: none"> Conclusion Review workshop expectations Facilitator evaluation Point of action, post planning workshop Official closing of the workshop

Notes

This image shows a full page of white paper with horizontal dotted lines. The lines are evenly spaced and run across the width of the page, providing a guide for handwriting or typing. There are no margins, text, or other markings on the page.

Chapter 2: Fact or Fiction?

2.0 The Environmental Scan

Objectives

1. To present and verify the constituency facts and figures
2. To point out causes and effects and establish driving forces
3. To scan both the internal and the external environment in which the constituency exists
4. To find ways of enhancing the strengths and the opportunities as well as reducing or eliminating weaknesses and threats.

Content

- Present the constituency poverty map, and the analysis of the constituency demographic indicators from the data, field survey and the focus group discussions
- Presentation of causes and effects
- Application of the PESTEL analysis and establishing driving forces
- Assessing the internal and external environment

Time: 2 1/2 hours

Lecture: Constituency Map and Demographic Indicators

The facilitator will present the constituency map and give the constituency statistics⁶ as analyzed from the data collected, the focus group discussions and the field survey. This visual presentation brings out clarity of facts among participants. It helps challenge the wrong perceptions and re-align others. For example, many participants may have general ideas about poverty. This presentation will help them sharpen these ideas more because of the precision attached to numbers. The participants for instance may know that many people in Kisauni constituency are poor. However, a data analysis will bring out the fact that 45.6% of people in Kisauni are poor (see figure

⁶ Annex 2: Facts & Figures - is an example of data analysis. This analysis is as a result of data collected during the preparatory stage with the questionnaire provided in annex 1

3a). A further breakdown of that data reveals that poverty in Kisauni Constituency ranges from 26% in Kizingo location to 79% in Mwakirunge location (see figure 3b). More analysis will reveal how many people are poor (in terms of real numbers), who they are (male or female, children or disabled), where they are located and what type of poverty (food poverty, absolute poverty) etc.

Figure 3a: Poverty Incidence in Mombasa District by Constituency Level

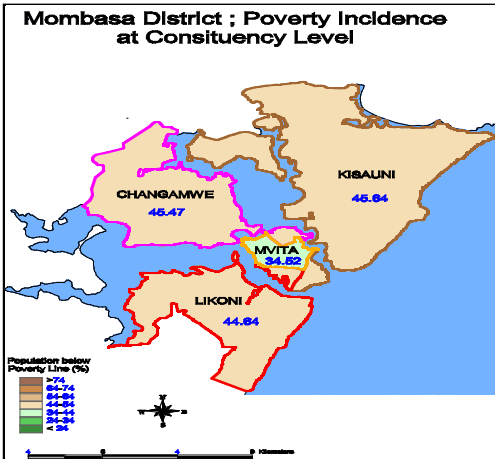
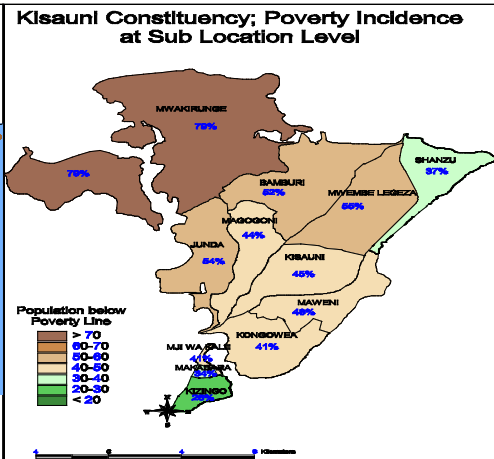


Figure 3b: Poverty Incidence in Kisauni Constituency by Location



Source: CBS (Now referred to as KNBS), 2005

Plenary Discussions

Once the analysis is presented, participants are asked to comment on the presentation. The facilitator should encourage them to give general comments, share their experiences and their knowledge since this is their daily reality.

The facilitator will provoke the participants to start thinking about underlying factors or reasons why things are the way they are e.g. why the constituency lacks sufficient clean water, why there is low school enrolment, high child mortality rates, high HIV prevalence etc and the effects of these on the well being of the constituent members.

Lecture: Causes and Effects

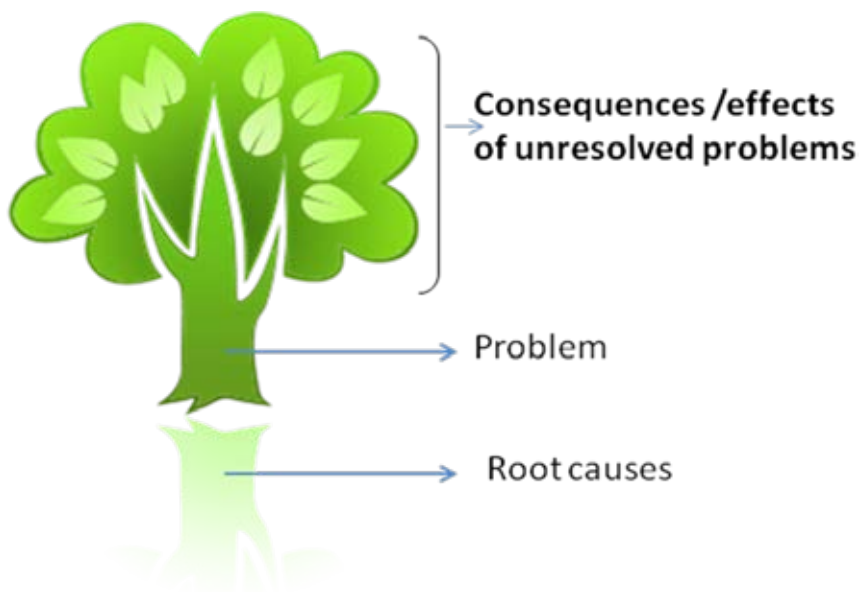
To facilitate this analysis, the facilitator will introduce the concept of a Problem tree analysis as a tool for analysing the causes and effects of the data presented.

These steps are illustrated on a tree diagram (see figure 4) where the tree trunk/stem is used to denote the problem /focal problem, the branches and the leaves denote

consequences of the problem while the roots denote the underlying causes of that problem.

To demonstrate, a facilitator will draw a tree image and agree with the participants on one issue to be analyzed e.g. lack of sufficient clean water. This should be written on a sticker and pasted at the tree trunk as the focal problem. The facilitator should not worry if it seems like a broad topic because the problem tree will help break it down. The group will then identify all possible root causes of the focal problem and then identify the consequences/effects of the problem to the community by constantly posing the question ‘why?’ These are also written on stickers and pasted in the tree diagram.

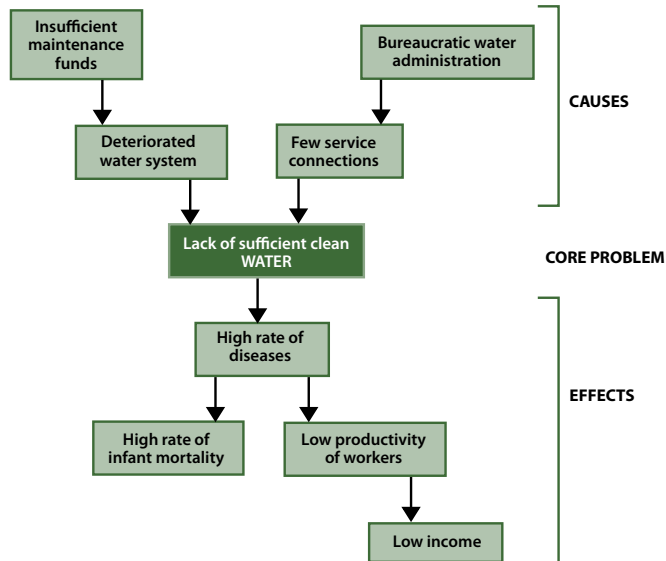
Figure 4: Problem Tree Analysis



Source: *Author's analysis*

Alternatively, these may be presented on a diagram as illustrated in figure 5.

Figure 5: Focal Problem Analysis



Source: <http://web.mit.edu/urbanupgrading/upgrading/issues-tools/tools/problem-tree.html>

Group Exercise and Plenary Discussions

The facilitator should split the participants into groups

There are many ways of grouping people.

- **Criteria 1:** Have participants' count 1, 2, 3, 1, 2, 3... then all 1's form a group and all 2's form the second group etc.
- **Criteria 2:** Divide the participants into two depending on the sitting arrangement so that the group on your right hand side forms group 1, and the group on your left hand side forms group 2.
- **Criteria 3:** Choose who will go to group 1 and who will go to group 2. This choice could be made on the basis of striking a regional balance, gender balance, devolved funds representation etc among participants.
- **Criteria 4:** Divide by location if they are about 3 locations in the constituency or by division if the locations are too many.

The Group Member Mix

While working with groups, it is important for a facilitator to be aware that group members tend to fall into the category of either good planners or good implementers, but rarely with both attributes in one person.

The facilitator must therefore manage this mix of group member tendencies, especially in sub group tasks, to achieve the best bottom line balance between the strategy's quality, and the effectiveness of the given task

Criteria 4 at this point may be the best because people are likely to have more accurate knowledge of their home area be it at the locational or at the divisional level.

The facilitator should then ask the participants to:

1. Verify if the data is a true reflection of the constituency (where it is not, the group members are required to give the correct figures/information).
2. Include other significant indicators, facts, recent events that are of importance, which the presentation does not capture
3. Each group is to do a tree analysis to come up with the root causes and effects of two most significant challenges identified in the data analysis (The facilitator can assign different sets of challenges to each group for analysis to avoid duplication)
4. The facilitator should ask participants to record the discussions on a flip chart paper and present this information at plenary.
5. When the groups report back, the facilitator should also allow for debate and discussion.

Lesson

A problem tree analysis helps to analyze an existing situation by identifying the main causal relationships of any given problem. One is therefore able to understand the context, inter-relationships of problems and the potential impact when targeting projects and programmes towards specific issues.

NB: Problem trees are not static. They are devices to broaden thinking as opposed to a definitive project determinant e.g. lack of sufficient water could be a cause or an effect depending on the context and/or situation. The project objectives and tasks will therefore be different in each case.

Lecture: Establishing Driving Forces

Time: 1 1/2 hours

A further analysis should be carried out to better understand the environment in which the above challenges have existed. Historical trends and how these have interfaced over time are therefore examined through the PESTEL model i.e.

- **Political:** Refers to the political context and dynamics under which the problem has existed whether at the constituency, district, national or global level.
- **Economic:** Refers to the economic circumstances or environment within which the problem has existed.
- **Social/cultural:** Refers to social differences such as community myths, levels of attachment to various traditions and practices, ease of persuasion or dissuasion from a mindset/viewpoint, and factors such as gender imbalances of education etc that contribute to the challenges the community faces.
- **Technological:** Access (and ability and personal inclination to exploit) to certain infrastructure and technological advantages e.g. roads, telephone etc and the way they affect development in various ways. How these have contributed to the said challenges because different parts of the constituency have varying levels of technological advancement, should be borne in mind when prioritizing where to spend funds/institute projects.
- **Environmental:** This refers to the natural context that enhances development or further aggravates the problem thus affecting development.
- **Legal issues:** These refer to official or law related circumstances that further compound the issues at hand

Administering a PESTEL analysis enables the participants to give a holistic outlook of the underlying factors that have been shaping the constituency now and possibly in the future. These can be internal and/or national and global. Usually the facilitator will ask the participant to look for any noticeable patterns in relation to the problems. These patterns are referred to as driving forces.

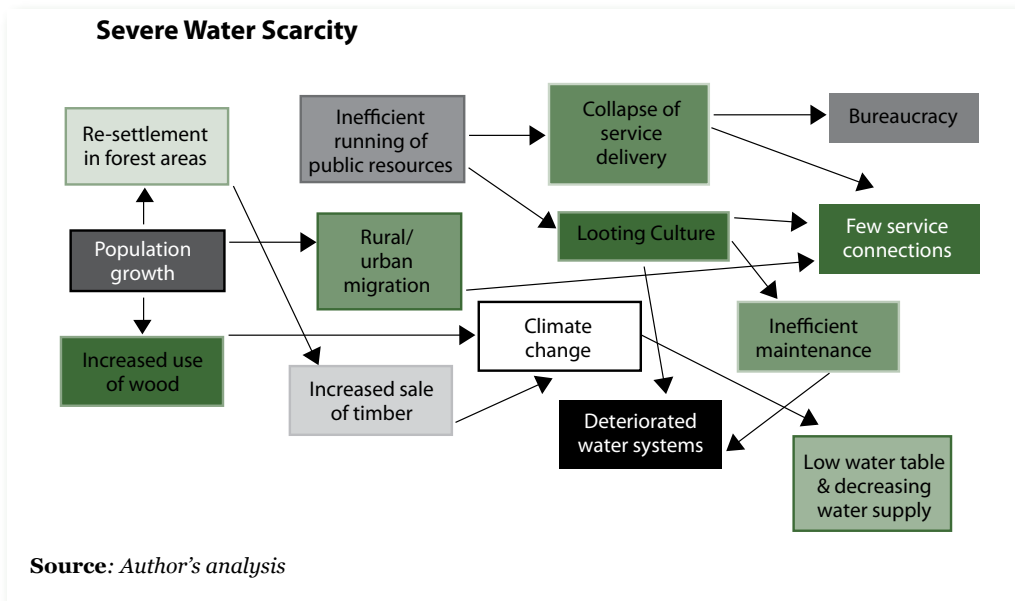
The PESTEL analysis is tabulated as illustrated on table 1.

Table 1: PESTEL Analysis

	50's	60's	70's	80's	90's	00's
Political	<ul style="list-style-type: none"> • State of emergency • Collaborators were made chiefs & headmen • Kipande system • Mau Mau struggle intensifies • Kapenguria 7 arrested • 1st African LEGCO • KAU resurrected as KANU 	<ul style="list-style-type: none"> • KPU formed • Small & big tribes divide in Lancaster talks hence KADU/ KANU divide • Independence (Uhuru) • KANU & KADU merged • Sessional paper No. 10 • Kisumu massacre • Mboya murdered 	<ul style="list-style-type: none"> • Kenyatta dies • Moi Rules • DFRD & quota system • JM murdered • Collapse of EAC 1 	<ul style="list-style-type: none"> • The Coop • Mwakenya, Fera & Fem movements • One party system & autocratic rule • SAPS • Divide & rule tactics • Inefficient running of public services • Collapse of Berlin wall 	<ul style="list-style-type: none"> • Multi-party clamour & elections • Intense police brutality • KAMATUSA / GEMA agreement 	<ul style="list-style-type: none"> • Change of regime • Broken MOU • Constitution Referendum • Goldenberg Anglo-leasing scandals • Introduction of CDF • Formation of EAC 2
Economic	<ul style="list-style-type: none"> • Men employed in white highlands • Land communally owned 	<ul style="list-style-type: none"> • Re-settlement of Kikuyu's in Rift Valley • Formed land buying companies 	<ul style="list-style-type: none"> • Settlement schemes in forests • Policy emphasis on farming than pastoralism 	<ul style="list-style-type: none"> • Declining agricultural production & famine • Increased poverty 	<ul style="list-style-type: none"> • Land clashes • Collapse of state corporations like KCC, KMC • Intensified regional inequalities 	<ul style="list-style-type: none"> • Election violence • FPE • Revival of state corporations like KCC, KMC • Economic growth
Social	<ul style="list-style-type: none"> • Polygamy • Had age group system of initiation 	<ul style="list-style-type: none"> • Missionary education, religion, farming and health care 	<ul style="list-style-type: none"> • Population growth 	<ul style="list-style-type: none"> • High Rural to urban migration 	<ul style="list-style-type: none"> • Culture of looting 	<ul style="list-style-type: none"> • Heightened tribal / ethnic tensions and clashes
Technological		<ul style="list-style-type: none"> • Modern transport system 	<ul style="list-style-type: none"> • Modern farming technologies 		<ul style="list-style-type: none"> • Increased manufacturing and share in COMESA market 	
Environmental	<ul style="list-style-type: none"> • Cutting trees for firewood 	<ul style="list-style-type: none"> • Inhabiting forests for Mau-mau fighting 	<ul style="list-style-type: none"> • Massive land division 	<ul style="list-style-type: none"> • Increased use of firewood for fuel 	<ul style="list-style-type: none"> • Climate change 	<ul style="list-style-type: none"> • Severe water scarcity
Legal			<ul style="list-style-type: none"> • Several constitutional amendments to consolidate powers of the president 	<ul style="list-style-type: none"> • Amendment of section 2A making Kenya a one party state 	<ul style="list-style-type: none"> • Torture 	<ul style="list-style-type: none"> • Anti-corruption cases, commissions and court battles

Source: Mulwa F., 2005 and from the various strategic planning workshops conducted

Figure 6: Driving Forces



Through the PESTEL analysis, we are able to deduce driving forces that have brought about the root causes and contributed to severe water scarcity as illustrated in figure 6. These were not revealed by the problem tree analysis. They include:

- Historical factors like resettlement of people by government in forests
- Population growth over time
- Increased use of wood fuel and sale of timber
- Rural to urban migration
- Inefficient management of government resources hence cultivating a culture of looting
- Climate change hence lowering water table and decreasing water supply from natural sources

The interplay between these factors over time have resulted to bureaucracy, inefficient maintenance, fewer connection services and deteriorated water systems which are the root causes of acute water scarcity. Examination of these factors clearly reveals that they are going to continue shaping the sector in the future e.g. climate change will continue affecting weather patterns globally and the water table hence is a determining factor in the availability of water 20 years from today. It is important for the facilitator to note that some of the driving forces can be dealt with to eliminate their negative effects e.g. increased use of wood fuel means that the country needs to find alternative sources of fuel. Policies can be put in place to prohibit tree felling and to ensure communities engage in intense tree planting activities.

Group Exercises and Plenary Discussions

1. Divide participants into two groups using the criteria previously given
2. Ask them to subject the constituency to a PESTEL analysis and establish driving forces for specific problems (a facilitator can assign a problem to each group)
3. These should be recorded on a flip chart and presented at plenary as the facilitator allows the participants to give comments, cite incidences or experiences that help further expound issues highlighting patterns or trends they may have noticed in relation to certain problems. The facilitator can ask each group to handle specific challenges to avoid duplication
4. The facilitator must also encourage a discussion on how these historical events have influenced the present and are likely to influence the future

Aim

- This exercise enables the participants to carry out an honest audit of their constituency.
- It also enables them revisit historical trends and events to identify what the driving forces have been over time
- The exercise provokes thinking around whether these driving forces should continue being determinants of the situation or whether they should change. It triggers debate on what alternatives there are or what hard decisions can be made (i.e. lessons that can be learnt from these past experiences)

Group leaders present their findings and discussions. This critical analysis of the past and the present is key in determining the future direction.

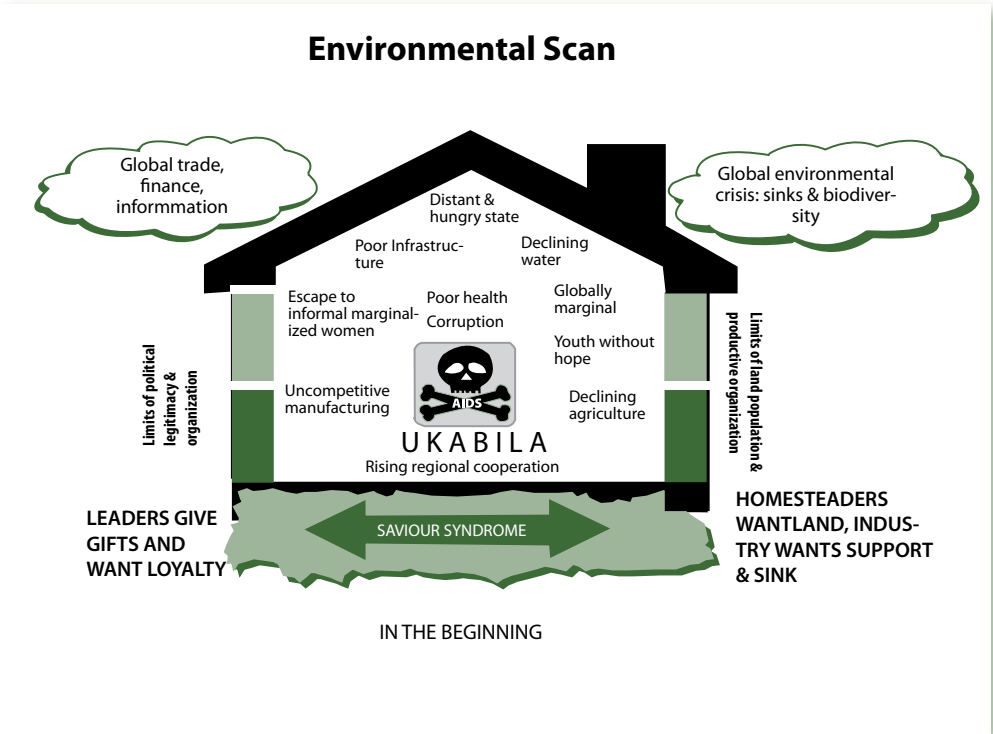
Lecture: Presenting the SWOT Analysis

Time: 1 1/2 hours

Having established the past and present, there is need to understand the comparative advantage the constituency has and some of the challenges it faces within or without. This requires analyzing the constituency's strengths and weaknesses as well as existing threats and opportunities by critically scanning both the internal and the external environment using the SWOT analysis. A SWOT analysis includes analyzing:

- **Strengths:** These are internal factors and assets that are beneficial to the constituency. These may include: the agricultural potential of the area; number of resources available such as schools, hospitals, roads etc; level of investments; strategic industries; and natural resources
- **Weaknesses:** These are inherent disadvantages in the community whether natural or man-made that slow/prevent development. These may include natural disadvantages like water weeds in lake Victoria, Arid and Semi Arid Land (ASAL), disease burden, poverty levels etc
- **Opportunities:** These are usually external factors that may contribute to the well being of the community e.g. a major highway like Mombasa road passing through the constituency increases economic activity in the constituency.
- **Threats:** These are external influences or possible setbacks that have occurred before or that can possibly occur. These possibilities should be kept in mind as possible hindrances to development or factors that may nullify the existing strengths e.g. clashes with neighbouring communities causing people to abandon their homesteads and forego their economic activities or an increase in input prices making farming expensive/lowering productivity of farmers.

Table 2: An Illustration of Kenya’s internal and external environment



Source: Adopted from IEA/ SID 2000 Scenarios Project

It depicts the internal environment of Kenya as one characterized by a weak foundation of political patronage and a homestead economy. Over time it faces various challenges. Kenya’s existence in the region and the globe is also destabilized by global trends hence reaching the limits of our development models.

In the internal environment, the community has a high measure of control if the actors choose to influence or determine their own course e.g. choosing a credible leader will further enhance the strengths. In the external environment the community has little control over these factors as they are usually unpredictable and may be intimidating. Taking account of the external environment is however crucial for the long-term survival and wellbeing of the community. Local communities may choose to shape external environments by collaborating with others or putting deliberate and strategic measures.

A SWOT analysis is tabulated as illustrated on table 2

Table 2: **SWOT Analysis**

Strengths.. Are internal and highlight resources and capabilities	Weaknesses.. Are internal and highlight deficiencies in resources and capabilities
Good volcanic soils for horticulture	People rent out farms and remain idle then buy food at high prices thus increased poverty
Opportunities.. Are external and highlight factors and situations that can affect the community favorably	Threats. .Are external and highlight factors and situations that affect the community negatively
Good volcanic soils hence the sprouting of many flower farms in the constituency thus providing wage employment	Use of harmful chemicals in flower farms without protective garments hence increased cases of impotence, abortions, skin diseases

Source: Rongai constituency strategic planning workshop

Group Exercise

1. Allow participants to go back to their original two groups
2. Using the findings of earlier exercises i.e. the facts and figures presentation, the problem tree and the PESTEL analysis, the groups are required to determine the Strengths, Weaknesses, Opportunities and Threats of the constituency.
3. These should be recorded on the SWOT table format (see table 2 above)

NB: The different groups are necessary for different viewpoints to emerge.

Plenary Discussions

The above group work will be presented at plenary by group representatives. The facilitator will allow time for debate, comments and suggestions then all the information is collated together in one table. The facilitator then leads discussions on how the strengths and opportunities can be further enhanced while turning weaknesses into strengths and threats into opportunities. This exercise is tabulated as illustrated on table 3 below. This can be done at plenary or in group sessions depending on the facilitator and the time.

Table 3: Enhancing Strengths and Opportunities, Turning Weaknesses into Strengths and Threats into Opportunities

Area of Focus	Description	Options
Strengths	Good volcanic soils for vegetable farming	<i>Enhance the strengths</i> Form groups and contact the District Agricultural Officer(DAO) for training for optimal use of land
Weaknesses	People are poor and idle yet they rent out farms and buy food	<i>For minimizing/overcoming weaknesses</i> Encourage people to farm for subsistence and commercial purposes to reduce poverty, hunger and idleness
Opportunities	Many flower farms providing wage employment	<i>Enhance the opportunities</i> <ul style="list-style-type: none"> • Advocate for better pay • Advocate for flower farms to be involved in Corporate Social Responsibility
Threats	Exposure to harmful chemicals thus rendering people impotent, causing abortions & skin diseases	<i>For minimizing on the threats</i> <ul style="list-style-type: none"> • Legislate the use of protective garments • Compensate the staff affected by the chemicals

Source: Muhwa F., 2005

Lesson

A SWOT analysis triggers conversations around how to enhance the positive factors and how to reduce negative determinants whether internal or external.

The conversation will help bring out strategies the constituency na adopt if success is to be achieved.

[illegible]

Chapter 3 Planning

3.0 Where do we fo from here?

Failing to plan is planning to fail

Objectives

1. To prioritize
2. To introduce strategic planning concepts
3. To establish the strategic

Content

- Priority setting
- **Concepts of:**
 - Planning,
 - Visioning and Shared visions
 - Mission
 - Goals and Objectives
 - Values
 - Core Strategy
- Crafting a vision and mission statement, goals and objectives, values and a core strategy

Time: 2 hours

Plenary: Administering a 'Reflections' Session:

On day 2, there is need for the participants to revisit the lessons learnt in the previous chapter (day 1) and give any personal opinions or feelings the sessions may have triggered. The 'reflections' provide an opportunity for the facilitators and participants to share feedback, clarify issues and identify areas that need emphasis or further discussion.

Planning therefore becomes the next logical step after establishing the constituency's current reality. Such planning will largely be based on, but not limited to, the identified opportunities for change in response to the challenges raised. Having ascertained

where we have come from, where we are, why we are where we are and lessons we can learn, an effective planning process seeks to respond to these challenges in light of where we want to go.

Lecture: Priority Setting and Plenary Activity

Challenges/problems can be enormously overwhelming in magnitude and in number. If care is not taken, all these challenges may end up being shopping lists that cannot be solved realistically. Prioritization or ranking therefore becomes necessary so that challenges are dealt with in a more systematic manner i.e. from the most urgent/pressing to the least. Prioritization also ensures that strategic decisions are made to implement high impact projects with a big ripple effect, possibly at a lower cost.

From the previous day's work, participants are asked to elaborate what they think are the priority needs in the constituency and why. The facilitator should emphasize the fact that the priorities are not based on people's feelings and perceptions but from the outcomes of the data and the problem tree analysis as well as PESTEL and SWOT analysis. Each priority identified by the participants is written on a separate flip chart and pasted on the wall.

All participants then get two differently coloured stickers e.g. pink and blue and each is given a different value from the other. The pink sticker could be equivalent to 10 points and the blue sticker could be 5 points. Each participant then chooses the two most important challenges in order of priority and puts the stickers accordingly. Once everyone has made a choice, the challenges can be organized in order of priority depending on the accumulated value of each challenge.

Time should be allowed to debate the list of priorities, justifying why one is more important than the other until the group comes to a consensus. The facilitator should comment on the priority areas in relation to regional and national policy frameworks such as the district development plan and vision 2030. This is critical for harmonization purposes and to emphasize that the strategic plan is not going to be implemented in isolation from these processes.

Lesson

1. This exercise helps the participants prioritize the challenges as is emerging from the data analysis and form their perceptions as residents of this constituency. It is possible however for the community to be blind to some of the critical areas that emerge from the data analysis/facts and figures. Facilitators should therefore give the necessary guidance without imposing their opinion by rating the severity (seriousness of the problem) and magnitude (number of people affected).
2. Different participants have different interests and therefore priorities are likely to vary. The above method tries to neutralize these varying opinions into an agreeable set of widely accepted priorities.
3. In carrying out an analysis it is imperative to keep in mind that communities change, sometimes very rapidly. Yesterday's issues may not be today's issues and therefore one should not be static. That is the reason why the prioritized challenges/activities are planned for in one or two years then a review is carried out to plan and accommodate new trends that may have emerged.

Lecture: Introducing Planning Concepts

Vision

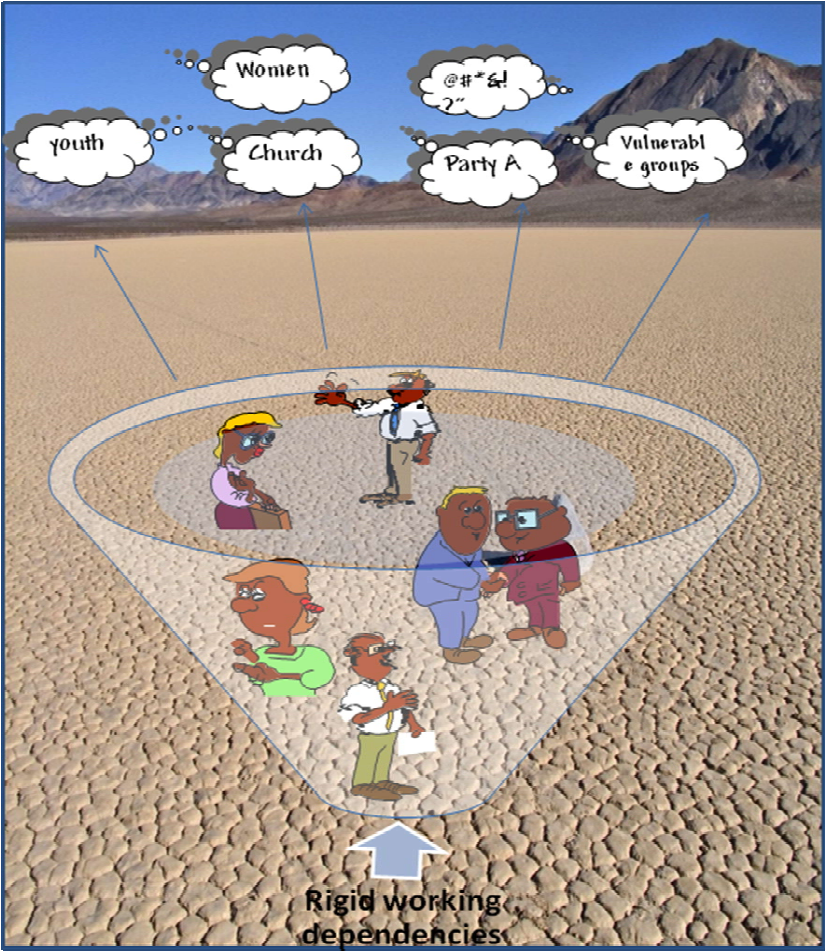
Visions are mental pictures/ a dream of what anyone would like the constituency to look like if the plans succeed - a desirable end in the long term. In a community of diversity and where minimal harmony exists be it between or among clans and tribes, political alignment or through religious affiliation, not one vision will exactly be the same as another. Usually there will be as many visions as there are the number of people since no one is talking to the other as illustrated in figure 8.

A scenario like that often leads to competing interests, no clear notion of what is important nor a clear sense of the way forward. Energies eventually become dissipated and people are likely to get side-tracked towards non-productive programmes that slow the development effort. This could also be used to explain why different development agents, all working to improve a constituency never make an impact even after a long time. There is lack of coordination, wastage of funds and duplication of projects.

The different mental pictures need to be harmonized to come up with a shared vision as illustrated in figure 9. A shared vision is the collective mental picture/dream of the constituency if the plans succeed. This can only be achieved through participatory

visioning, which means that a facilitator needs to honestly encourage and practically help⁷ a group of people to develop, in their own terms, a mental picture of the collective future that they desire.

Figure 8: Likely Outcome of Uncoordinated Visioning



Source: Mulwa F., 2005 and modified by author

⁷ The help is necessary because harmonizing different views can cause major conflicts

Figure 9: Shared Vision



Source: Mulwa F., 2005 and modified by author

Participatory visioning is important as it fosters the ownership for the required inputs and arising results, while coherently multiplying effort as more things can get done by a larger number of willing people. At the same time, everybody feels obliged to protect the collective plan and proud to be responsible for its end result.

It is important to note that visioning does not take place in a vacuum. It therefore has to relate to the larger national picture. However, the constituency's vision should NOT be limited by the larger national vision, strategy or policy e.g. vision 2030, but should seek to complement it. This means that the group needs to be aware of what is going on within the larger national framework.

Table 4: **Shared Visioning Allows a Move**

From	To
• Individual heroics	• Collaborative actions, hope and possibility
• Blaming others	• Taking responsibility for own challenges
• Focusing only on the here and now	• Careful forward thinking
• Scattered ad hoc activities	• Purposeful, interconnected action
• Self-absorption	• Generosity and concern for common good

Source: *Mulwa F., 2005*

Developing the Shared Vision

To be able to craft an effective vision statement, the participants need to describe how they want their community to be in the future i.e. a 10 – 50 year timeframe because it must be long term. The participants therefore need to clearly articulate the future they desire for themselves and the generations to come. As a group, they need to be clear on where they intend to go; what they intend to become; what their constituency will look like if they succeed in their plans; the kind of community or society they would want to see in place in the future.

NOTE: The participants at this point should focus on what the vision is not how the vision will be achieved.

Figure 10: Attributes of a Good Vision



Source: Mulwa F., 2005 and modified by author

Usually a Vision Statement will Begin as Follows:

- A constituency where.....
- We envision a
- We aspire to.....
- We hope for

Examples of Vision Statements Include:

1. We envision a vibrant rural community that is sustained through creativity, diversity and collaboration.
2. A well educated youth, capable of finding or creating good jobs locally
3. An economically thriving community where all constituent members enjoy quality life

4. A leading Constituency that is self reliant with sustainable development⁸
5. A just, united and developed society living in a secure environment, enhancing quality of life where all opportunities and resources are equitably shared⁹
6. A community that is united, fair, just, secure and free from poverty, exploitation and is self sustainable.¹⁰
7. A model, enlightened and prosperous constituency providing basic needs and services towards improved living standards of the community¹¹

Limitations to Vision Building

Visioning is sometimes limited by fear of failure and fear of the unknown, religious limitations, varying philosophies of life, laziness, limited exposure, lack of discipline and motivation, uncertainties of the external environment, ignorance of the need to plan etc. The seeming inability of communities to dream of a better future is also due to the tyranny of the overwhelming challenges, negative experiences of the past and the lack of a planning culture. The facilitator therefore needs to encourage the participants to think positively. It is their responsibility to change the present circumstances.

Mission

A *mission statement* explains what a particular group of people exist to achieve in relation to attaining the vision. A mission also states the particular contribution a community will make towards building the kind of constituency envisioned. A mission statement therefore seeks to define the purpose of existence. It also describes generally how the group will contribute to achieving the vision.

In defining a mission statement, a group needs to address the following questions:

- Who are we as a community or as a group? It should be noted that this question can be surprisingly difficult for the strategic team to answer succinctly (Bryson, 1995).
- What are the basic social, economic and political problems we exist to address?
- In general, what do we do to recognize or anticipate and respond to these needs and problems?
- What makes us distinct or unique as a group?
- Who are the key stakeholders and how should we respond to them?
- What are our common goals and aspirations?

On this basis a community can discuss their collective responsibility in achieving the vision. It is however very important to note that different development actors in the constituency exist for specific reasons e.g. the SSEBF exists to identify needy students and facilitate the bursary allocation process. Due to their mandate as a committee,

⁸ Mwatate Constituency Strategic Plan, 2004 - 2014

⁹ Kabete Strategic Plan, 2007 - 2009

¹⁰ Rongai Strategic Plan, 2007 - 2012

¹¹ Mandera Central Strategic Plan

their mission cannot go beyond the regulations that govern SSEBF. However, since the individuals are part of the larger community, they can be involved in defining the collective responsibility of the people in achieving the vision. The mission statement can also describe what the steering committee exists to do or achieve in relation to the constituency strategic plan.

Examples of Constituency Mission Statements Include:

1. To ensure that all development partners work together to facilitate the economic development of the constituency
2. To facilitate and enhance the collective action of all Bahari constituents to eradicate poverty and in-equality in order to improve the quality of our lives in all respects¹²
3. Mobilize the community to ensure proper utilization of resources and foster a good working relationship with all development agents.¹³
4. To bring all stakeholders together to use the existing opportunities and resources in a cost effective way for the benefit of all constituents¹⁴

Goals and Objectives

Goals are those long-term intentions that the group would like to achieve as milestones towards the intended vision. Objectives on the other hand are substantial short-term tasks one would like to achieve, which collectively lead to the full achievement of the goals e.g. Assuming that the vision is 20 years long, it may be necessary to draw 5 year goals, and annual objectives. Goals and objectives guide specific action.

Example of Goals and Objectives

In Kilome constituency, people below the poverty line and with no education in rural areas were 68%, while those below the poverty line with primary education were 65%. The proportion of people below the poverty line and with secondary education was 46%. This example clearly shows that the higher the level of education, the lower the poverty prevalence. With a constituency vision that reads '*A developed society where everyone is self reliant and free from poverty*', one of the long-term goals could be to have 1,000 graduates in the next 10 years as one way of reducing poverty. Annual objectives would therefore include targeting to produce at least 100 graduates every year. Specific actions towards the realization of this goal and objective may include:

1. Sponsoring more students through the bursary fund for entry, retention and completion of secondary and university education
2. Improving education facilities like building of science laboratories in secondary schools to enhance science performance

¹² Bahari Constituency Strategic Plan, 2004 - 2007

¹³ Butula Strategic Plan, 2006 - 2008

¹⁴ Kilome Strategic Plan, 2007 - 2012

Values

Values describe what is important to us as a group regarding the way decisions are made or things are done. In other words, values are the rules of the game. It is important for the group to discuss what beliefs hold them together as a community or as a group or what they value most e.g. regarding consulting those people who are directly affected by the decisions made by community leaders, the use of power by those in authority, education, health, family, community development, conflict resolution, social relationships, wealth distribution and service provision to the poor.

Values give meaning to group's, community's or a country's life. Clarifying values enables the re-aligning of a constituency's plan to what the citizens' consider most important to their lives. It ensures their participation in, ownership of, and commitment to the planned activities and appreciation of the results.

Examples of values include: respect of the rule of law, community participation and working together, transparency and accountability, honesty etc.

Core strategy

A *Core strategy* refers to a game plan and could be in terms of policies, programmes, actions, decisions, resource allocations etc. Strategies vary by level, function and timeframe (Bryson, 1995). Bryson also argues that an effective strategy must meet several criteria. It must be technically workable, politically acceptable to key stakeholders, and must accord with the organizations philosophy and core values. It should be ethical, moral and legal. It must also deal with the strategic issue it was supposed to address.

Core strategies acknowledge that whereas all other interventions are key, a priority strategy that has the comparative advantage and one that will be key in mobilizing people to the collective good of the community needs to be put in place. More importantly, the facilitator needs to push the group to think about factors that might be influencing the future as the group makes a choice on the preferred core strategy. This exercise refers to previous discussions held with the participants on the drivers of change (see section on PESTEL analysis). These factors could be guided by current political situation, government policy and global trends.

Example of a Core Strategy

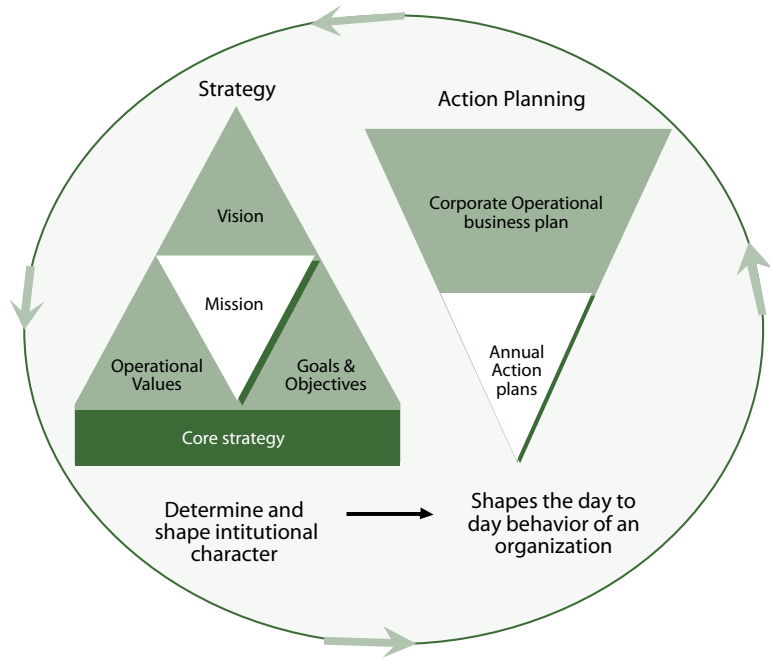
Kabete constituency in the quest to '*ensure the provision of quality life, availing opportunities to its people and equitably sharing resources*', agreed that their core strategy or game plan is to position itself as the sole provider of vegetables in Nairobi's *Wakulima* market. The constituency will therefore ensure that the infrastructure is adequate for the efficient transportation of vegetables, build *Cura* market to centralize vegetable collection in the constituency and start up a revolving fund for youth and

women to boost Small and Medium Enterprises (SME's). It is viewed that the game plan will have a ripple effect in that it will create employment for the many jobless youth, boost household incomes which in turn will enhance access to education and other opportunities for development.

The drivers of change in this case included the fact that rural to urban migration was likely to increase over time. With Nairobi being the capital city of Kenya, it is likely that its population will significantly grow hence a high demand for food. The second driver of change was seen as the current Kibaki administration whose policy largely outlined economic growth. This Government policy was seen as very conducive for the core strategy to thrive in the next five years.

The **vision** statement, the **mission**, **goals and objectives**, **values** as well as **core strategies** determine and shape institutional character. They give mental clarity of the intended accomplishments in order “to leave a mark”. These components therefore form the overall desires or hopes of a constituency. However, these are merely hopes. The bulk of the work lies in *operationalizing* these plans through operational plans and action plans in order to be successful. This is demonstrated in figure 11.

Figure 11: Strategic Planning Concepts



Source: Maer Associates and modified by author

NB: Major changes in a community can only start with a guiding philosophy. The vision works as that guiding philosophy. It therefore has to be the point of reference against which plans, actions and decisions are made and judged.

After the presentation, the facilitator should allow time for comments or questions.

Time: 2 ½ hours

Group Exercise

1. Having presented the strategic planning concepts, divide the participants into two groups.
2. Ask the participants to creatively present the ideal constituency future they envision. The vision could be presented in form of a drawing, a song, a poem/shairi or telling a story. The presentation must strictly last ten to fifteen minutes with all group members participating in the process and the presentation
3. They should then come up with a vision statement which they write on a flip chat paper. The guiding principles presented earlier should be adhered to
4. All groups will be required to make presentations of their discussions at plenary
5. The group work can take about one hour after which the participants are asked to report back.

Figure 12: Group Work and Presentation (Dujis constituency), A Vision Statement (Ganze Constituency)



Plenary: Discussions

Once the two groups have presented, a plenary discussion ensues. The facilitator should encourage participants to comment on the similarities and the differences between the two vision statements. Each group may be asked to explain the group discussions that took place in order to come up with the vision statement. Both statements are also tested against the rules of writing a good vision then a process of consolidating the two to come up with a draft vision statement can follow.

Rongai Constituency Vision Statement:

'A community that is united, fair, just, secure and free from poverty, exploitation and is self sustainable'

Lesson

Visions respond to the current realities without limiting the dream. Effective vision statements are therefore contextual and unique to the particular situations/constituencies e.g. the Rongai constituency vision responds to issues of tribal differences between the Kikuyu and the Kalenjin thus the emphasis on unity. Issues of fairness, justice and freedom from poverty respond to historical injustices of land grabbing hence squatter cases in Makongeni location and a pending relocation to Banita settlement Scheme. It also responds to issues of exploitation of workers in large flower and sisal firms. An emphasis on security responds to cattle rustling and conflict with neighbouring communities.

NB: This session can be very challenging and a facilitator must use skill to ensure that common ground is found. In the strategic planning exercises that IEA has facilitated, we have insisted that participants translate the vision statement into vernacular. This would make it easy to refine it and foster understanding among others particularly the illiterate members of the constituency when it is shared.

Group Exercise

Time: 3 hours

Having agreed on a draft vision statement, participants are asked to re-group and:

1. Draft a proposed mission statement enumerating the role of constituent members in realizing the vision or the purpose of the steering committee in the realization of the strategic plan.

2. Discuss what the constituency's core strategy will be and why
3. Enumerate the goals that can be pursued in the next five years if the vision is to be achieved
4. Enumerate a set of objectives that would help achieve the stated goals
5. Enumerate a set of core values needed to successfully deliver the stated vision

NB: the point of reference for all these tasks is the draft vision statement. Each outcome must be recorded on separate flip charts. This exercise is very intense and can be confusing for some participants. The facilitator needs to frequently visit the groups to clarify the task and answer any questions they might have.

Plenary: Discussions

After each group presents, the mission statements, the core strategies, the goals and objectives as well as the core values from the two groups are compared for differences and similarities. The facilitator helps the participants scrutinize the work against the underlying principles of the concepts. This is purely done for purposes of instigating debate and provoking more thoughts to refine the work. The facilitator must therefore re-assure the participants that the work is not to prove any group wrong or right.

Because of the intensity of this session and due to time constraints, it is wise to select a small task force/working group. This group is required to harmonize the outcomes and incorporate comments from the plenary session to come up with a proposed mission statement, goals and objectives, a core strategy and a set of values. Each group can volunteer three of its best group members who together form the task force/ working group. From IEA's perspective, this approach has proved to be very important in boosting ownership and acceptability.

Field Visit (Optional)

IEA Kenya in some workshops has set aside time for a field visit. This has proved to be very important in expanding the participants' world view and motivating people to think more positively. One such visit was in Ugenya Constituency.

The Constituency's Background

Ugenya constituency is in Nyanza Province, Siaya District. It has 2 divisions namely; Ukwala and Ugunja, 11 locations and 49 sub-locations. The Constituency occupies 520 Km² i.e. 34% of the districts land area. Population in Ugenya in 2001 was estimated at 180,723 people. With a population growth estimated at 0.9% by the District Statistics Office, the current population is estimated at 188,999 people. According to the district statistics, 52% of the population is below 18 years, 37% is between 18 – 55 years and 11% is above 55 years.

The constituency is in the uplands geomorphological area which is suitable for crop farming and livestock keeping as it receives high rainfall ranging from 800mm -

2000mm. The long rains fall between March and June while the peak is realized in April and May. The short rains occur between August and November. River Nzoia passes through the constituency and holds great potential for irrigation. The constituency has average farm sizes of 5 acres.

Table 5 highlights the current agricultural production and compares it with the constituency's potential as illustrated by the Ugunja Divisional Agricultural Officer.

Table 5: Current Agricultural Production vs. the Constituency's Potential

Crop	Current Production (Per acre/unit per year)	Potential Production	Loss (in KShs. per unit per year)
Maize	12 bags	22 bags	10 bags x KShs 1,200 = KSh. 12,000.00
Sorghum	6 bags	8 bags	2 bags x KShs 1,400 = KSh. 2,800.00
Sweet Potatoes	10 tonnes	30 tonnes	20 tonnes x KShs 10,000 = KSh. 200,000.00
Cassava	8 tonnes	20 tonnes	12 tonnes x KShs 10,000 = KSh. 120,000.00
Cotton	250 kgs	900 kgs	550 kgs x KShs 21,00 = KSh. 11,571.00
Milk	3 litres per cow per day	20 per cow per day	17 litres x 20.00 x 365 days=KShs 124,100.00

Source: Ugunja Divisional Agriculture Officer

A farmer in Ugenya constituency loses KShs. 12,000 per acre per year if s/he grows maize, KShs. 2,800 if s/he grows sorghum, KShs. 200,000 if s/he grows sweet potatoes, KShs. 120,000 if s/he grows cassava and KShs 11,571 if s/he grows cotton. From one cow, the farmer loses KShs. 124,100

Ugunja division produces on average 36,100 bags of maize per year. The demand for maize in the same division is 75,000 bags. The constituency therefore has a deficit of 38,900 bags of maize which are purchased from Ugandan traders/farmers at an average price of KShs. 1,200 per bag. In essence, Ugunja division loses KShs. 47,896,000 million annually to Uganda. If every farmer produced to the optimum, all this money would circulate within households in Ugenya.

A Field Visit to Mr. Odero's Farm

A field visit to Mr. Odero's farm in Ugenya constituency emphasizes the potential of the people to sufficiently feed themselves and sell the surplus thus increasing household incomes substantially.

Mr. Odero has 2 acres of land in which he has planted 800 commercial banana plantains. He applies the organic farming technique and therefore each plant produces 5 times in a year. With each bunch of bananas selling for KShs. 600, Mr. Odero in one year receives **KShs. 2.4 million** from the sale of bananas and an extra KShs. 200,000 from selling suckers alone i.e. 800 suckers x KShs. 250 each.

Mr. Odero has another 3 acres of land in which he has planted commercial trees i.e. the *Eucalyptus Camaldulensis species*. In one acre, he has planted 1,000 trees i.e. using 2x2 spacing and in two acres he has planted 640 trees in each acre i.e. using a spacing of 2.5 x 2.5 (the ideal spacing for electricity poles).

Table 6 illustrates possible earnings from the sale of poles per acre

Table 6: Possible Earnings from the Sale of Poles per Acre

Period of sale & estimated amounts	640 trees/per acre	1000 trees/per acre
1.5 years (Kshs. 100.00)	Kshs. 64,000	Kshs. 100,000
3 years (Kshs. 200.00)	Kshs. 128,000	Kshs. 200,000
4 years (Kshs. 300.00)	Kshs. 192,000	Kshs. 300,000
10 years (Kshs. 3,000.00)	Kshs. 0.92M	Kshs. 3M
10 years (Kshs.5,000.00)	Kshs. 3.2M	Kshs. 5M

Source: Ugenya Strategic Planning Workshop

Poverty levels in the constituency range from 60% in rural areas to 89% in urban areas, 61% poor in rural to 94% poor in urban households headed by illiterate people, 63% poor in rural and 92% poor in urban households headed by primary school leavers, 48% poor in rural and 84% poor in urban households headed by secondary school leavers. Male headed households are 61% poor while female headed households are 58% poor, a clear indication that the constituency has acute poverty.

From the above account, the agricultural potential in Ugenya is great and capable of turning around the community from acute poverty to a high income group but the loss as a result of lack of optimum production is enormous. What is even more disturbing is the level of apathy towards work and agricultural production. As put by one of the participants of the workshop after the visit to Mr. Odero's farm, *'if we all plant banana's, who will buy them? There will be an oversupply and the banana's will rot'*.

The Facilitators Resource

One major task of the facilitator in vision building is to expand the world view of the participants and thus shift mindsets. Sometimes facilitation calls for influencing views towards a specific opinion, for instance in supporting the education of the girl



child or on believing that communities can do something for themselves, rather than merely waiting or jostling for politicians' "favours". Such shifts in mindsets might be effectively achieved through community tours of good case study areas such as a successful farm producing a bumper harvest due to organic farming methodologies applied, discussions with possible role models, and any creative methods that will expose the participants to new ways of thinking about a specific issue.

The facilitator's role is not so much to shape the participants thinking as it is to catalyze their mind sets or pace thinking to become receptive and active on new ideas for tackling long standing challenges. In doing so, the facilitator should foresee and manage – rather than reflexively evade, using positive group advantage, differences of opinion and potential conflict within the group.

The facilitator must also focus on shifting minds from individual heroics, blaming others for problems, short-sightedness, scattered adhoc activities and self-absorption. The group should be guided towards collaborative actions, hope and possibility, taking responsibility for challenges, careful forward thinking, purposeful interconnected action, generosity, concern for the common good, and sometimes, enlightened self-interest.

Community fixation with individual heroics may pose a formidable threat to communicating the principles of visioning. However, care should be taken not to alienate communities from their perceived heroes as these can still prove useful in communicating certain concepts. The facilitator should resist all inclination to assume the position of hero or 'messiah' because it undermines efforts to ensure that the community understands the value of taking charge of it's own development. Any solutions brought forward should be "the group's discoveries" and not the facilitator's prescription. This way, the group will recognize and take ownership of the challenges they face and be more loyal to their vision in internalizing/making the new changes. Community members will progress to anticipate and plan for their future and eventually advance to actively pre-empt future problems.

Notes

This image shows a full page of a document template. It consists of approximately 28 evenly spaced horizontal dotted lines across the entire width of the page, providing a guide for handwriting or typing. There are no margins, text, or other markings present.

Chapter 4: Resources

4.0 What do we have in our hands?

Objectives

1. To identify available resources i.e. human, natural, financial and technical resources (to make the participants aware of the enormous wealth available and the impact it can create when properly utilized)
2. To establish what can be done with the available resources in achieving the vision, mission, goals and objectives.
3. To demonstrate how lack of planning can lead to wrong resource allocations

Content

- Overview of devolved funds and their roles in development
- Presenting an analysis of actual moneys disbursed by the Government (according to Government records) and citing some case studies
- Highlighting key lessons learnt from development agents in the constituencies i.e. District and Divisional Officers, NGO's and different devolved fund managers

Time: 2 hours

Plenary: Administering a 'Reflections' Session:

In day 3, there is need for the participants to revisit the lessons learnt in the previous chapter (day 2) and give any personal opinions or feelings the sessions may have triggered. The 'reflections' provide an opportunity for the facilitators and participants to share feedback, clarify issues and identify areas that need emphasis or further discussion.

The task force constituted the previous day to refine the mission statement, goals and objectives, core strategy as well as values should make their presentation at this point to the group. A brief discussion should also be allowed to fine tune the work. If it is good enough, it can be endorsed by the group at this point.

Lecture: Human, Technical, Natural and Financial Resources

Resources help execute plans and turn wishes/dreams into tangible outputs. Having established the direction the constituency would like to take, it is important to establish how this will be actualized. The group therefore has to find out the resources available (human, technical, natural and financial resources) to execute the plans.

NB: In this chapter we share examples of financial resources available at the devolved level from Government and NGO's. We also give examples of other non-financial resources available in selected constituencies for illustration purposes. The section emphasizes the need for all fund managers and workshop participants to know basic facts about devolved funds and work together to enhance transparency and reduce wastage.

The facilitator should have analyzed the constituency specific details i.e. Government funds that have come to a particular constituency during the preparatory stage. Since some of this information is not in the public domain, the facilitator needs to have informed the concerned officials during the official invitation to the workshop to be prepared to make presentations. The facilitator has to remind them on day 2 that they are making the presentations and clarify the information required. IEA-Kenya in the past has asked different line ministry officers, NGO representatives and the various fund managers to do a ten minute presentation by answering the following questions?

1. What is the organizational mandate?
2. What have been your successes (tangible results) and challenges in the last one year?
3. The amount of money received annually and projects instituted

This exercise usually helps participants to grasp the amount of resources available for development, learn from each other and identify areas of collaboration. This session is also important because people, who normally would not discuss issues in the same room or are perceived enemies/rivals, take the lead in sharing their knowledge with the participants. This gesture brings out a sense of trust because of the assurance that everybody's opinion is respected.

Financial Resources at the Devolved Levels

1. The Local Authorities Transfer Fund (LATF)

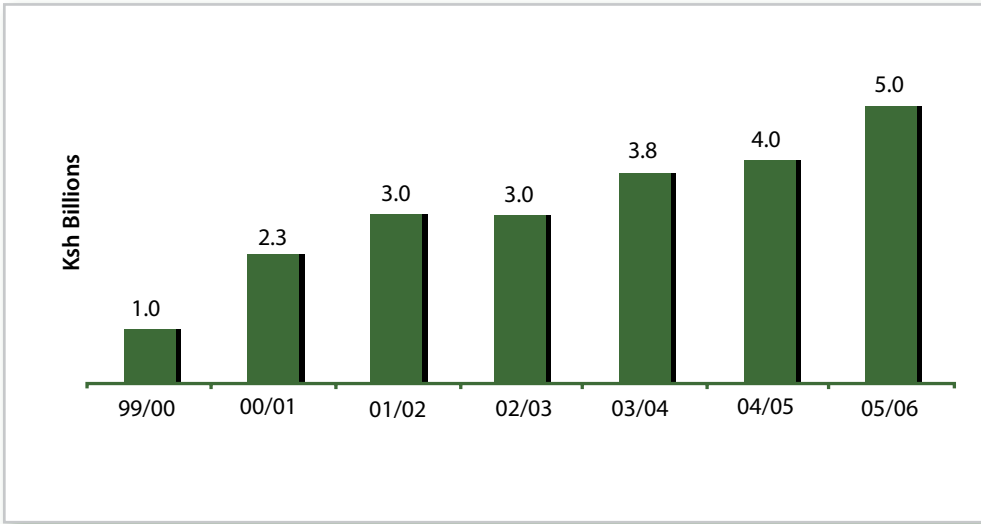
The legal framework is contained in the LATF Act of 1998 and cap. 265 Local Government's Act. At the Ministry level it is coordinated by the Kenya Local Government Reform Programme (KLGRP). LATF was set up with the objective of improving service delivery, improving financial management, and reducing the outstanding debt of local authorities which include city councils, town councils, county councils as well as municipal councils.

LATF comprises 5% of the national income tax collection in any year. It currently makes up approximately 24% of local authority revenues. At least 7% of the total fund is shared equally among the country's 175 local authorities while 60% of the fund is disbursed according to the relative population size of the local authorities. The balance is shared out based on the relative urban population densities. LATF monies are combined with local authority revenues to implement local priorities i.e. the needs that have been identified through a participatory process called the Local Authority Service Delivery Action Plan (LASDAP). LASDAP entails a list of activities and projects that addresses direct service delivery to citizens with particular focus on health, markets, community sanitation, waste disposal and education. Citizens monitor the process and management is carried out by council staff. The private sector, the Ministry of Finance (MoF), the Permanent Secretary (PS) Ministry of Local Government, and the Kenya Local Government Reform carry out the oversight role.

Implementers of LATF are required to submit revenue enhancement plans and debtors/ creditors lists among others, as part of accountability measures. A 90-day delay in disbursing funds leads to a 100% penalty. Such measures have helped ensure effective funds management by implementers.

The graph below shows the amount of money that has been disbursed over the years under LATF nationally.

Graph 1: National LATF Allocations



Source: *www.kippra.org*

2. HIV/AIDS Fund

The HIV/AIDS fund was established in 1999 through a Presidential order contained in Legal Notice No. 170. Its establishment coincided with the declaration of HIV/AIDS as a national disaster, formation of the National Aids Control Council (NACC) and the Constituency AIDS Control Committees (CACCs) at the constituency level.

The Fund is channelled through the World Bank. Community Based Organizations (CBO's) and other local organizations are required to submit proposals for projects aimed at strengthening community efforts to face the challenge of HIV/AIDS by scaling up awareness, promoting behaviour change and involving all sectors of the economy. The proposals are assessed by CACCs which recommend funding.

The Fund regularly publishes information in the media/national newspapers on the projects that have been undertaken in the various districts as well as listing those organizations that did not use the disbursed funds as agreed, in effect blacklisting them.

NB: This fund was heavily donor driven and therefore the disbursements have not been consistent. An example of HIV/AIDS fund allocations in Rongai Constituency 2002 – 2005 are listed on the table 7.

Table 7: Rongai Constituency HIV/AIDS Fund Allocations

Group Funded	Date	Amount Committed (Kshs)	Amount Disbursed (Kshs)
Akuisu Youth Group	10/4/2004	350,000	181,175
Boror/Rongai Pastors Community Project	10/31/2002	284,500	284,500
Boror/Rongai Pastors Community Project (2)	11/29/2004	350,000	200,000
Christ Co-Workers (Rongai) Community Project	2/9/2005	350,000	200,000
ECWD Paralegals SHG	8/10/2004	350,000	200,000
Fadhili Ministry Self Help Group	11/30/2004	350,000	200,000
Kalena Farmers Field School	4/27/2005	350,000	200,000
Kamungei Maliza Ukimwi shg	4/18/2005	302,530	302,530
Kenya International development Organization (K)	3/10/2005	350,000	200,000
Majani Mingi Child Labour SHG	8/25/2004	350,000	350,000
Mwereri Self Help Group	5/11/2005	350,000	350,000
Ngemba Women Group	11/29/2004	350,000	200,000
Ol-Rongai for Progress Youth Group	1/17/2005	335,920	335,920
Piave Yote Yawezekana Hiv/Aids Self Help Group	5/13/2005	350,000	350,000
Rongai Constituency Concern Group	3/30/2005	302,530	200,000
Rongai Orphans Elite Self Help Group	3/11/2005	350,000	200,000
Rongai Voluntary Counsellors Self Help Group	12/16/2004	302,530	302,530
Rongai Voluntary Counsellors SHG	8/16/2004	349,980	349,980
Sobotuka Self Help Group	11/22/2004	350,000	350,000
St. Polycarp Youth Group	5/12/2005	350,000	350,000
Tumaini Self Help Group	4/18/2005	350,000	200,000
Wasegese Pastors Self Help Group	2/8/2005	350,000	200,000
Total Amount disbursed to Rongai Constituency		7,477,990	5,706,635

Source: NACC, 2005

3. Roads Maintenance Levy Fund (RMLF)

The Road Maintenance Levy Fund (RMLF) was established in 1993 through the Road Maintenance Levy Fund Act. RMLF caters for the maintenance of public roads, including local authority unclassified roads. The fund is made up from a fuel levy on petroleum products and transit toll collections - at about KShs. 5.80 per litre. It is administered by the Kenya Roads Board (KRB), which was established in 1999. RMLF targets maintenance of roads under the control of the Ministry of Roads and Public Works, Kenya Wildlife Service and District Roads Committees and the Department of Urban Planning in the Ministry of Local Government, Nairobi, Kisumu, Mombasa, Eldoret and Nakuru local authorities.

60% of the fund’s annual allocation goes to international and national trunk and primary roads; 24% to secondary roads; and 16% to rural roads. The latter portion, which is managed by District Road Committees, is shared equally among constituencies within a district.

NB: Class A roads (such as Mombasa road and the Nairobi-Eldoret highway) are funded by ministerial funds. Class B roads include all connecting roads and are funded by district funds. Class C includes all minor roads and are funded by the LATF.

Graph 2 shows the amount of money disbursed over the years under RMLF nationally and table 8 is an example of RMLF allocations to Khwisero constituency administered through the DRB.

Graph 2: National RMLF Allocations

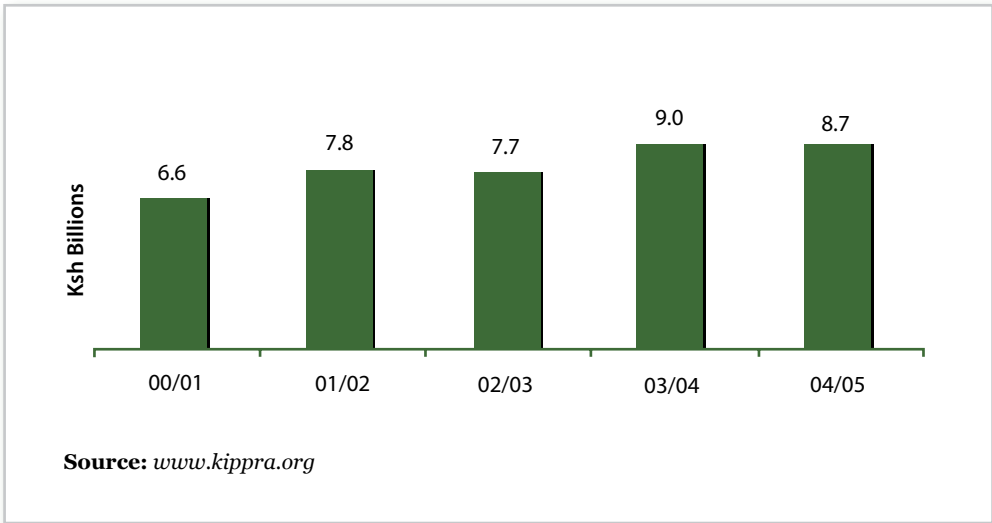


Table 8: RMLF Allocations for Khwisero Constituency

Khwisero Constituency (2005/06)		Kshs
D249 -01	Liboyi-Shiatsala	710,000
D262 -01	Liboye-khwisero-shikomere	2,436,300
E1260-01	Matioli-Kilingili	548,500
E263 -01	Khwisero-Eshibingi	734,400
E387 -01	Mundeku-Dudi	483,750
UR1 -01	Dudi-Nyamboga-Mulubasa	930,000
URP3 -01	Elukongo-D263-Mulaha-Emasatsi	615,000
Sub-Total		6,457,950
Khwisero Constituency (2006/07)		
URFK1-01	Shibulu-Iwangare	533,000
URFK2-01	Munyanza-Mulwada Road	533,000
URFK3-01	Ebukwala-Ikolomani	533,000
URFK4-01	Ebulonga-Ekabulu	533,000
URFK5-01	Emungeso-Emutasa	533,000
URFK6-01	Opiyo-Dudi	533,000
URFK7-01	Mupeli-Khwisero	800,000
URFK8-01	Eshiluli-Emalidi	533,000
D249-01	Liboyi-Manyulia	280,000
D262-01	Liboye-Khwisero-Shikomere	705,500
D263-01	Khwisero-Shibinga	499,250
E1254-01	Shiraha-Shisango	441,000
E1260-01	Matioli-Kilingili	1,209,000
E299-01	Ikolomani-Lunza	300,000
E383-01	Ekambuli-DB Siaya	145,900
E387-01	Mundeku-Dudi	499,500
E389-01	Khwisero-Musori	1,022,250
RAR19-01	Khwisero-Bushasi	639,000
RAR31-01	Khwisero-Mulwanda	213,000
Sub Total		10,485,400

Source: Annual Public Roads Programme

The facilitator can give the following example to demonstrate some inefficiencies in the operation of some of these government funds.

As shown on table 8, in two financial years i.e. 2005/2006 and 2006/2007, Khwisero constituency spent a total of **KShs. 22,563,269**. KShs. 16,943,350 was from RMLF & KShs. 5,619,919 was from CDF. Whilst this amount is too little to tarmac any road (as it costs KShs. 20 million, according to the Ministry of Roads and Public Works, to tarmac 1 Km of road), the constituency's roads are still impassable despite claims that the roads were graded. This amount does not include the LATF allocation to roads in the two years.

Findings from our analysis during the strategic planning workshop revealed that constituent members did not know the specific allocations as presented on table 8. The CDF committee members were shocked at the presentation of this information because they graded most of the roads ear-marked by the DRB claiming that it never did any work there. Because monitoring and evaluation processes are conducted separately and by different evaluators, both groups got a clean bill of health since the work was done anyway.

Whatever the case may be, important issues are exposed in the above account. First there is lack of knowledge on the part of CDF committee regarding the exact roads year marked for funding by Government through RMLF or how much money is budgeted for this work. As a result, money that would have otherwise been used in other projects under CDF is budgeted to grade the same roads hence duplication of resources and wastage

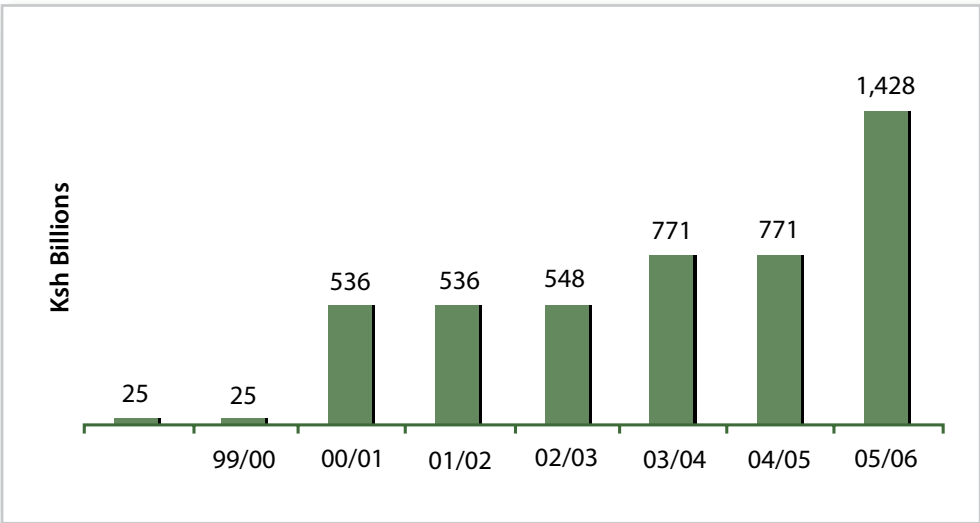
4. Secondary School Education Bursary Fund (SSEBF)

The Secondary School Education Bursary Fund (SSEBF) was established in 1993/4 through a Presidential pronouncement. SSEBF aims at cushioning the country's poor and vulnerable groups against the high and increasing cost of secondary education, therefore reducing inequalities. It also aims at increasing enrolment in (and completion of) secondary school. The fund targets orphans and girl children as well as those from poor households and urban slums, who are able to achieve good results. Students send their applications through their respective school heads. SSEBF is not based on a fixed share of the national budget. Allocations vary depending on: the Ministry of Education's (MoE) annual provisions; the number of students enrolled in secondary schools within each constituency; national secondary school enrolments and poverty indices. Since 2003/04, SSEBF has been coordinated by Constituency Bursary Committees, which screen potential beneficiaries, coordinate and disburse the funds, and prepare reports to the MoE. Local community leaders are represented on SSEBF committees. Affirmative action ensures a minimum of KShs 500,000 is allocated to constituencies in Arid and Semi Arid Lands (ASAL). The minimum annual allocation per beneficiary by school category is as follows: KShs 5,000 for day

schools; KShs 10,000 for boarding schools; and KShs 15,000 for national schools. Bursary funds can also be paid by the CDF and the LATF

Graph 3 shows the amount of money that has been disbursed under SSEBF over the years nationally

Graph 3: National SSEBF Allocations



Source: *www.kippra.org*

It is important for the facilitator to mention that CDF allows for 10% of its total allocation annually for bursaries. In most cases, the CDF committee and the SSEBF committee do not harmonize the selection process. It is therefore easy for students to be double funded. In very few cases, the CDF committee disburses this amount to the SSEBF committee thus harmonizing the selection process. LATF also gives bursaries which is difficult to quantify because most of the times it is a discretionary allocation by councillors. In other constituencies, NGO's are also giving bursaries to needy students.

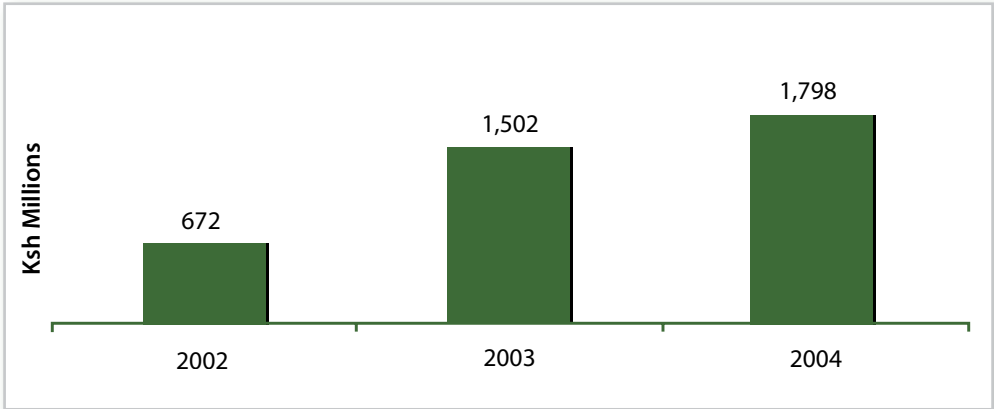
5. Rural Electrification Programme Levy Fund (REPLF)

The Rural Electrification Programme Levy Fund (REPLF) was established in 1998 through sections 129 & 130 of the Electric Power Act (1997). The fund aims to finance electrification of rural and other underserved areas. It is used for programmes relating to the design, construction, equipping and operation and maintenance of rural electrification projects identified by communities. The institutional framework of REPLF comprises of the Ministry of Energy, the Electricity Regulatory Board (ERB), Kenya Power and Lighting Company (KPLC – as the implementing agency),

District Development Committees (DDCs), Constituency Development Fund (CDF) committees and local community committees for specific projects

Graph 4 shows the amount of money that has been disbursed under REPLF over the years nationally

Graph 4: National REPLF Allocations



Source: www.kippira.org

The facilitator can give examples of specific allocations to districts as illustrated on table 9. Discussions in all the strategic planning workshops have revealed that people do not know about this fund and the CDF committees have never been part of the institutional framework of the fund. Efforts to find a REPLF fund manager has always been in vain.

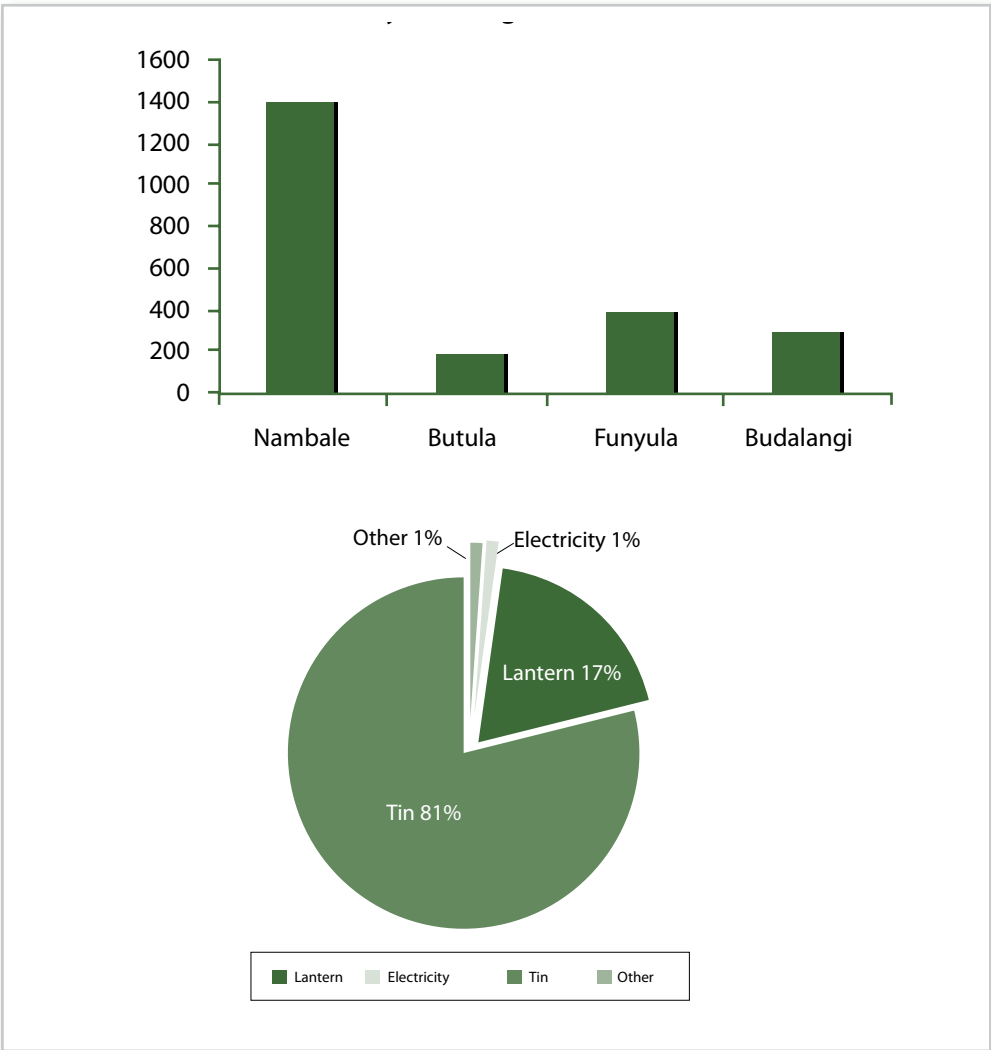
Table 9: REPLF Allocations to Busia District

	444 Rural Electrification (Amount in KShs)				Total allocation
Western Province	2003/ 4	2004/ 5	2005/ 6	2006/ 7	
Busia	11,147,058	11,147,058	17,647,627	25,276,415	65,218,158

Source: Various Annual Budget Allocations

Graph 5 below illustrates electricity coverage in Busia district and lighting types in Butula constituency

Graph 5: Electricity coverage in Busia district and lighting types in Butula constituency



Source: IEA Analysis of Government Documents

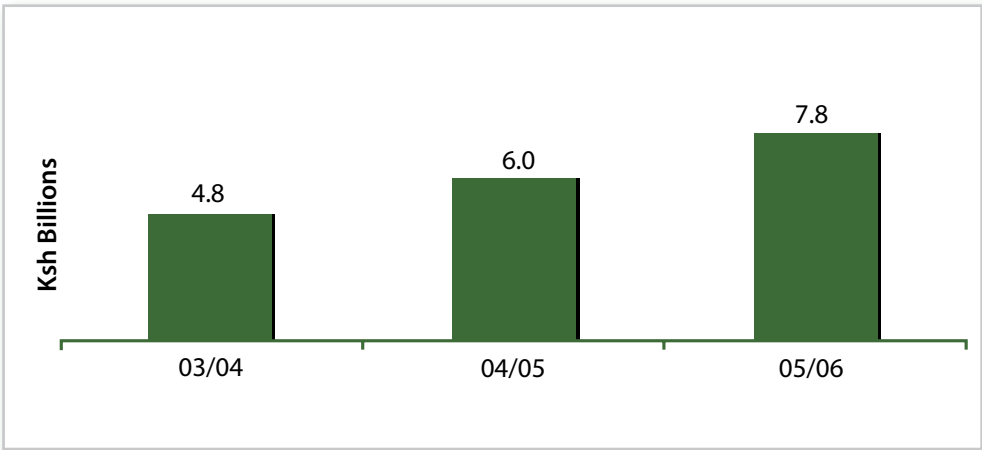
The above account demonstrates that despite so much money being disbursed for rural electrification programmes e.g. 65.2 million in Busia district in four financial years, electricity coverage has remained very low over time e.g. 1% in Butula constituency. Evidently, people need to demand for accountability of these funds because the benefits of accessing electricity are enormous.

6. Free Primary Education (FPE)

FPE was established in January 2003 through the Government of the National Alliance Rainbow Coalition (NARC) manifesto. The fund aims to address financing and quality challenges in primary schooling. It targets all Kenyan children attending formal and non-formal public schools. Emphasis is however directed towards children from poor households. The fund comprises an allocation equivalent to KShs. 1,020 per child per annum with the amount disbursed to a constituency/district based on the number of pupils enrolled in schools within that area. The first allocation is for the purchase of teaching and learning materials. The second allocation is for general-purpose, while the third is for operations and maintenance. Communities are expected to participate in the management and implementation through school committees. Respective head teachers and school committees make procurement decisions.

Graph 6 shows the amount of money that has been disbursed under FPE over the years nationally

Graph 6: National FPE Allocations



Source: www.kippra.org

Table 10 demonstrates free primary education in former Garissa District (which constituted of Dujis, Lagdera and Fafi constituencies). As a result of FPE, the

enrolment rate rose from **12,780** in December 2002 to **16,936** in March 2003 and then to **18,236** by January 2004. Enrolment stood at **20,334** in 2006 and in March 07 rose to **20,840** pupils. From the analysis, the attendance of girls is less than half all through when compared to the number of boys attending school. The analysis therefore points out that the education programmes in the district need to target the girls to increase enrolment and retention rates.

NB: The male female population ratio is 52:48

Table 10: Primary School Enrolment (2002 – 2007) in Garissa District

YR	STD 1		STD 2		STD 3		STD 4		STD 5	
	B	G	B	G	B	G	B	G	B	G
2002	1,448	838	1,134	572	1,109	552	1,029	587	1,133	479
2003	2,600	1,616	1,597	829	1,325	630	1,274	598	1,233	525
2004	2,475	1,633	2,281	1,291	1,487	844	1,259	546	1,185	532
2005	2,337	1,564	2,074	1,286	1,865	1,082	1,406	608	1,370	574
2006	2,613	1,640	1,929	1,226	1,875	1,113	1,709	957	1,329	564
2007	2,624	1,638	2,195	1,355	1,704	1,026	1,724	1,007	1,587	809

YR	STD 6		STD 7		STD 8		SUB-TOTAL		G.TTL
	B	G	B	G	B	G	B	G	
2002	955	413	957	394	862	320	8,625	4,155	12,780
2003	1,202	457	1,135	446	1,024	408	11,397	5,559	16,936
2004	1,123	457	1,223	485	1,029	386	12,062	6,174	18,236
2005	1,247	541	1,329	540	1,003	425	12,631	6,620	19,251
2006	1,300	631	1,339	600	1,098	436	13,214	7,120	20,334
2007	1,217	531	1,312	520	911	433	13,474	7,366	20,840

Source: Garissa District Education Office Analysis

Between 2003 and 2007, the district received 78.5 million for FPE as illustrated on table 11. About 70% of this money is disbursed to schools in Dujis constituency because of its urban location and concentration. This therefore means that about 54.96 million has been disbursed to Dujis constituency in this period.

Table 11: FPE Funds Disbursed to Garissa District since the Implementation of the Programme i.e. May 2003 to April 2007

Disbursement	Account I	Account II	Total
1st disbursement May 2003	8,293,692.00	3,319,805.00	11,613,497.00
2nd disbursement August 2003	5,181,192.00	4,357,420.00	9,538,612.00
3rd disbursement June 2004	5,051,100.00	2,580,900.00	7,632,000.00
4th disbursement December 2004	5,927,250.00	3,132,975.00	9,060,225.00
5th disbursement June 2005	2,641,860.00	3,132,975.00	5,774,835.00
6th disbursement January 2006	6,857,900.00	3,132,975.00	9,990,875.00
7th disbursement April 2006	6,013,200.00	3,708,140.00	9,721,340.00
8th disbursement October 2006	7,247,800.00	3,830,980.00	11,078,780.00
9th disbursement April 07	-	4,104,225.00	4,104,225.00
Totals	47,213,994.00	31,300,395.00	78,514,389.00

Source: Garissa District Education Office Analysis

More feedback shows that many international organizations have invested in primary education in Garissa district through the FPE Support Programme (FPESP) as shown in table 12 and 13.

Table 12: An Example of Other Funding Sources in Garissa District

Organization	School	Project	Cost in Kshs.
US Marine	Bura Primary	Renovation of classrooms and sanitary facilities	1,700,000
	Modogashe Primary	Renovation of 10 classrooms, dining hall and kitchen, 10 toilets, perimeter fence, girls dormitory	7,800,000
	Jaribu Primary	Water	2,700,000
	Tetu Primary	Water	
GOK / USAID programme	Various (Phase 1)	Toilets, classrooms, administration blocks, dining hall, dormitories	15,194,812
	Various (Phase 2)	Toilets, classrooms, administration blocks, dining hall, dormitories	15,194,812
	Various (Phase 3)	Toilets, classrooms, administration blocks, dining hall, dormitories	25,478,400

Source: Garissa District Education Office Analysis

Table 13: Free Primary Education Support Programmes

Organization	Assistance accorded
Oxfam GB:	Educational surveys and building of 4 classrooms at Kazuko Girls Primary school under the NEP Education plan.
UNICEF:	<ul style="list-style-type: none"> • Provided 3 motorbikes, 74 twin ventilated improved pit latrines, beds, and mattresses to three boarding primary schools, sports kits and teachers support kits to all primary schools. Provision of mobilets to some schools and provision of desks and bed-sheets to various primary schools. • Capacity building to teachers on quality education. • Up scaling of the child centred interactive, participative and gender responsive teaching and learning materials through teacher training. • Integrated programme promoting girls education, with community involvement. • Full scholarships to 15 girls (from form 1-4) to best of girls secondary schools in Central and Eastern Provinces (2006) • Water connection to schools e.g. Boystown Primary School, Dertu Primary & Iftin Primary School • Construction of a girls' dormitory at Dertu Primary School. • Full scholarships to 15 girls to Nationals and Provincial Schools (2007)
ALRMP:	<ul style="list-style-type: none"> • Construction of several new primary schools i.e. <ul style="list-style-type: none"> - Afwein Primary - Kasha Primary - Daley Primary - Tokojo Primary - Fafi Primary - Modika Primary - Saretho Primary - Jilango Primary • Construction of 2 classrooms at Liboi Primary, 2 classrooms at Amuma Primary & 2 classrooms at Kamuthe Primary. • Provision of beds and mattresses to primary schools • Construction of dormitory at County High School • Provision of solar lighting to some primary schools
CARE International	Provision of desks and construction of physical facilities in schools around the refugee centres. E.g. Alikune Primary, Yumbis Primary and Borehole- 5 primary school
Mikono International:	Provision of stationary to primary schools, construction of classrooms , provision of braille machines to Garissa Special School.
GTZ	Income generation to communities through firewood harvesting to schools in Dadaab, Liboi and Jarajilla Divisions.
Garissa County Council:	Provision of physical infrastructure e.g. 4 classrooms at Alinjugur Primary School, dormitories at Liboi and Goreale Primary schools, laboratory equipment at Umu-Salama Girls Secondary School and laboratory at Bura Secondary School. Generator for Balambala and Modogashe primary schools.
Women concern	Training of ECD teachers and parents, campaign for pupils to attend schools, advocate for girl child education, capacity building, NFE Centres
Womankind	Girl child education advocacy, employ and pay ECD teachers, build and sponsor a girls orphanage, construction of some physical facilities e.g. classrooms.
EMACK	<p>Promotion of Education for communities in marginalized areas through the strengthening of early childhood and lower primary education through:</p> <ul style="list-style-type: none"> • Education facilitation at the classroom level through teachers capacity development • Community education on support for education initiative, material development and equipment for ECD and lower primary classes. • Classroom infrastructure development to enhance school learning environment. • Provision of stationery to primary schools. • Training of Schools PTA and SMC on their roles. • DEO's officers' capacity building on EMIS • Provision of office accommodation (fully furnished with a computer set) to DICECE Staff.

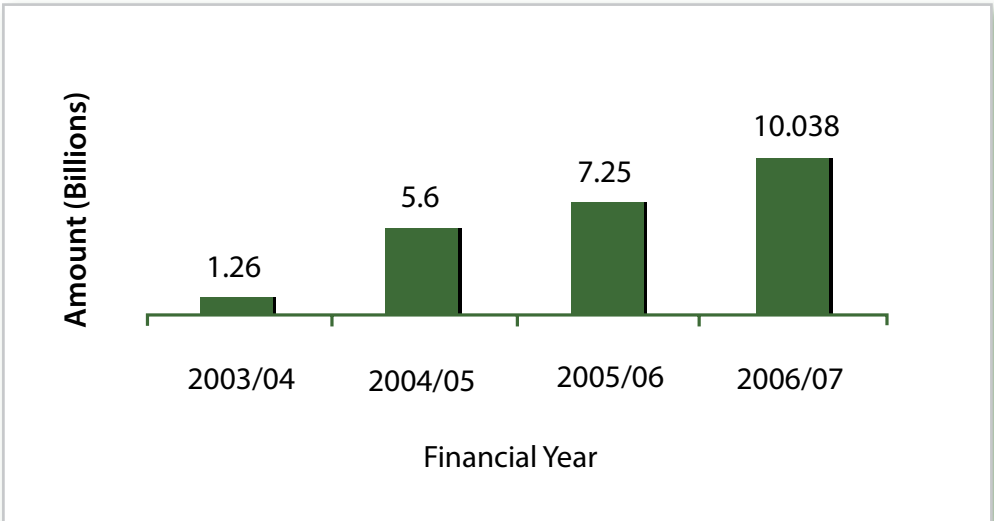
Source: Garissa District Education Office Analysis

The above account demonstrates that there are other players in the development field and fund managers need to know who does what to facilitate coordination of projects and programmes.

7. Constituency’s Development Fund (CDF)

The Constituency Development Fund (CDF) was established in 2003 through the CDF Act in The Kenya Gazette Supplement No. 107 (Act No. 11) of 9th January 2004. The fund aims to control imbalances in regional development brought about by partisan politics. It targets all constituency-level development projects, particularly those aiming to combat poverty at the grassroots. The fund comprises an annual budgetary allocation equivalent to 2.5% of the Government’s ordinary revenue. 75% of the fund is allocated equally amongst all 210 constituencies. The remaining 25% is allocated as per constituency poverty levels. A maximum 10% of each constituency’s annual allocation may be used for an education bursary scheme. CDF is managed through 4 committees, 2 of which are at the national level, and 2 at the grassroots level. According to the CDF Act, expenses for running constituency project offices should not exceed 3% of annual constituency allocations. Each constituency is required to keep aside 5% as an emergency reserve. The CDF is not to be used to support political bodies/ activities or personal award projects. A sitting MP is not a signatory to the CDF bank account but convenes the CDF Committee in her/his constituency. The penalty for misappropriation of the Funds is a prison term of up to 5 years, a KShs. 200,000 fine or both. CDF project proposals are submitted to MPs who in turn forward them to the Clerk of the National Assembly. The approved project list is reviewed by the National CDF committee, which presents final recommendation to the Finance Minister.

Graph 7: National CDF Allocations



Source: www.cdf.go.ke:

Khwisero constituency in 2005/2006 financial year received KShs. 32,547,610 and in 2006/2007 financial year received KShs 45,088,727, a CDF total amount of KShs. 77,636,337 in just two years which was allocated in the following manner:

Table 14: % Allocations of CDF for 2005/06 & 2006/07 Financial Year in Khwisero Constituency

Sector	Amount
Education	33%
Roads	22%
Security	17%
Water	10%
Health	4%
Technical Training	3%
Emergency	3%
Bursary	3%
CDF Admin	3%
Electricity	1%
Agriculture	1%

Source: www.cdf.go.ke

In analyzing the education expenditure further, a total of KShs. 22,387,000 was allocated and the bulk of the money went to building classrooms in both primary and secondary schools as illustrated in table 15

Table 15: CDF Allocation in 2005/06 & 2006/07 in the Education Sector (Khwisero Constituency)

Project	Amount (KShs)
Primary school classes	18,420,000.00
Secondary schools	1,650,000.00
Quality Control	380,000.00
Education day	100,000.00
Book Harvest	164,000.00
Bursary (<i>not part of the 33%</i>)	1,673,000.00
Total Amount allocated to the Education sector	22,387,000.00

Source: www.cdf.go.ke

According to the District Education Officer (DEO), retention and completion rates of primary school students in Khwisero range from 44% - 51%. These are low and need to be increased. Owing to the fact that out of the 28,313 students who finished class 8 in 2006, only 1,979 students went to high school, transition rates from primary to secondary school in Khwisero are too low. According to the Area Education Officer (AEO), secondary schools in the constituency are grossly underutilized as schools have an average number of 50 students per class and an average number of 200 pupils per school. The constituency only has 32 students enrolled in the constituency polytechnic. The technocrats' analysis of the constituency's education priorities after mapping out the physical facilities are as follows:

Table 16: Secondary Schools Physical Facilities and Priorities in Khwisero Constituency

	SECONDARY SCHOOL PHYSICAL FACILITIES					
School/Facility	Luanda Dudi	Namasoli	Ekambuli	Eshibinga	Emalindi	Eshinutsa
Classrooms	8	8	7	5	6	5
Workshop	0	0	0	0	0	0
Library	1	1	1	0	1	1
Laboratory	1	1	1	0	2	1
Home Science Room	0	0	0	0	1	0
Teachers Houses	5	3	4	0	7	1
Dormitories	1	2	2	0	3	0
Dining Halls	1	0	1	0	1	0
Kitchen	1	1	1	0	1	1
Admin Block	1	1	1	0	1	1
Stores	2	1	1	0	1	1
Staff Rooms	1	1	1	0	1	1
Latrines	8	8	12	11	18	10

Source: Khwisero Area Education Officer (AEO)

Table 16 continued

	SECONDARY SCHOOL PHYSICAL FACILITIES				
School/Facility	Mwihila	Khwisero Mixed	Khwisero Girls	Total	Need
Classrooms	12	8	4	63	
Workshop	0	0	0	0	9 Workshops
Library	1	1	0	7	2 Libraries
Laboratory	2	1	0	9	2 Labs
Home Science Room	0	0	0	1	8 Home science rooms
Teachers Houses	9	2	0	31	2 Teachers houses
Dormitories	7	3	0	19	2 Dormitories
Dining Halls	1	0	0	4	2 D.H
Kitchen	1	1	0	7	2 Kitchens
Admin Block	1	1	0	7	2 Admin. Blocks
Stores	1	2	0	9	2 stores
Staff Rooms	1	1	0	7	2 Staff rooms
Latrines	12	22	10	111	

Source: Khwisero Area Education Officer (AEO)

In comparing the CDF education expenditure as presented on table 15 to see if it reflects the priorities listed on table 16, the participants in the workshop concluded that the CDF expenditure was not in line with the needs presented by the AEO. The CDF committee also admitted that they did not consult the MoE. Instead they picked projects as requested by the individual schools. The expenditure on primary schools also looks extremely high given the fact that FPE is available to primary schools. According to the workshop participants, a more strategic allocation would have been to bursaries since the amount spent is much lower than the 10% ceiling in both years. It would also address the problem of retention, completion and transition much more effectively as this is the biggest challenge in the constituency.

Lesson

- In strategic planning, one must interrogate the allocations to ascertain if they respond to the actual needs according to the facts and figures. It is important for interventions as well as allocations to address the whole rather than the partial needs of a sector. It is the only way to effectively achieve development.

A summary of funds going to a constituency in one financial year as illustrated in table 17 and 18 show that government is disbursing a lot of funds to the constituencies. NGO's and international organizations are also investing heavily in development projects as indicated in table 12 and 13. These amounts vary from one constituency to another but the point here is that if not well used, meaningful development will never be achieved.

Table 17: Devolved Funds & other Financial Resources in Ugenya Constituency in 2006/07

Fund	Amount (KShs)
Youth Fund	3,900,000.00
CDF	53,630,232.00
RMLF	9,771,040.00
SSEBF	2,334,045.00
Water	2,061,100.00
Sana International	1,000,000.00
FPE	36,720,000.00
Agriculture	884,352.00
LATF	19,100,000.00
Total	22,387,000.00

Source: IEA Analysis at the Ugenya Strategic Planning Workshop

Table 18: Devolved Funds & other Financial Resources in Dujis Constituency in 2006/07

Fund	Amount (KShs)
CDF	45,429,714.00
Youth	1,000,000.00
Municipal Council	36,000,000.00
Schools (US Marines)	12,200,000.00
Arid Lands	15,298,000.00
Livestock	63,078,774.00
School feeding programme	2,003,710.00
NALEP Training	980,000.00
SSEBF	1,000,000.00
FPE	14,186,160.00
GOK/ USAID	9,630,000.00
Grants (Low cost pri/ sec)	7,972,000.00
Roads	23,060,066.00
Total	231,838,424.00

Source: IEA Analysis at the Dujis Strategic Planning Workshop

Lessons

- From the above illustrations it is clear that the financial resources going to the decentralized levels are enormous. However, the impact of those resources, projects and programmes over time are not commensurate with the amounts of money being disbursed. This analysis excludes NGOs and ministry allocations which are also used to serve constituencies.
- This chapter emphasizes on the need to have strategic plans because one can map out the level of financial resources available and demand for accountability from the relevant offices.
- Because most of them fund similar thematic areas, it would be very beneficial if development agents and the different fund managers coordinated for synergy and greater development impact

Non-Financial Resources and Other Opportunities to Bring Real Change

At this point, the facilitator can share key messages from past examples of experiences and information availed by Government officials, NGO's and devolved fund managers during the various strategic planning workshops. This part of the lecture is important in emphasizing to communities that resources are not just about money. Resources also consist of the human capabilities within the constituency that can be strategically used to help advance the development agenda e.g. co-opting retired professionals to the steering committee may help make better decisions. Other resources include technical expertise and natural resources that, if strategically tapped, can improve livelihoods.

Example 1: Emerging Opportunities for Growth and Investment in Natural Resources and Local Technology

According to the District Agricultural Officer (DAO), Rongai constituency has a huge nectar volume able to support the production of well over 2 Million metric tonnes of honey per year. This is because of the varied floral diversity and the unique ecological zone in which the constituency is situated. (It takes technical expertise to know such facts). Investing in bee keeping, honey processing and sale is potentially a life changing project for the constituency as it would increase household incomes and create employment opportunities for many young people. However, the constituency only has 1,500 bee hives and is currently operating grossly below its potential.

According to the Ministry of Livestock, Rongai constituency also has the potential to produce on a large scale basis, and process hides and skins, engage in dairy farming of cows and goats as well as the production of sunflower, mushrooms, aloe vera and fodder trees. These can be done on a commercial basis for export.

The District Officer in the Ministry of Housing claims that 70% of the cost of housing goes to building materials. Using alternative construction methods, different technologies, and local materials such as stabilised soil blocks i.e. soil, sand and compressed cement, there is a chance that the cost of building will decrease by 30% to 50%. This technology is locally available in Rongai constituency. It is environmentally friendly and would help create jobs. If the CDF committee liaised with the Ministry, it would significantly cut down the cost of putting up buildings and use the savings to invest in other development projects.

Example 2: Opportunities to Harmonise Work and to Network

Health Programmes in Rongai Constituency by the Ministry of Health (MoH) include: preventive, promotive and curative healthcare as well as rehabilitation. According to the technocrats, emphasis by devolved fund managers particularly CDF and LATF in

providing health has been skewed towards curative health care only. However, owing to the fact that Malaria causes the most deaths in the constituency, yet Rongai is not zoned as a Malaria prone zone, means that all development agents need to join efforts in curtailing Malaria. To effectively do so, prevention more than curative services are needed including among others the provision of mosquito nets and control of breeding areas.

According to the Ministry, instead of building more dispensaries because of inadequate staff, the more urgent need in the constituency is to build maternity wings and staff houses.

The Arid Lands Programme in Kilome constituency had set aside Kshs. 1 million for sand dams in Kasikeu division. The CDF committee had also set aside a similar amount of money for water conservation in the same division. Due to the strategic planning workshop, they agreed to consolidate their efforts. By getting to understand the agenda of each development partner, a possible duplication of projects and resources was avoided.

Example 3: Re-aligning Priorities

Despite good agricultural soils, farming plots in Kabete are too small for large scale production of vegetables. Many people are opting to convert their pieces of land into residential areas by building low cost housing which is more profitable than engaging in farming. Due to an increasing urban population, there is also a high demand for these housing facilities in the peri-urban areas of Nairobi, Kabete being one of the most strategic areas. These unplanned houses and sewerage systems have now crowded Kabete and it is envisaged that the constituency will be a slum area in the next decade. There is need to institute urban planning, expand water supply and the constituency's sewerage system. This issue, which emerged in the strategic planning workshop, forms one of Kabete's most urgent priorities.

Kilome Constituency is endowed with many hills and huge tracts of forests. However, the vegetation cover is diminishing at a high rate due to an increase in demand for forest products. 91% of the population in Kilome uses firewood and 5% uses charcoal for cooking. As a result, there is severe soil erosion due to the unsustainable utilization of resources as illustrated in figure 13a. Following the effort of one man, a voluntary tree planting exercise was conducted on the same hill. They also made gabions to conserve rivers thus transforming the whole place as illustrated in figure 13b.

50% of CDF allocations in 2005/2006 went to the water sector. This session made the members realize that the constituency's priority is not so much water provision to its residents but environmental conservation to be able to sustain the enormous natural water sources.

**Figure 13a: Kiima Kimwe hill
Before a Tree Planting
and Gabion Construction Project**



**Figure 13b: Kiima Kimwe After
Environmental Conservation**



Source: Kilome Strategic Planning Workshop

Lesson 4: Understanding Institutional Constraints

In the 2005/2006 financial year, the Ministry of Livestock was given a zero budget on transport because it is not viewed as an essential service. The officers cannot therefore provide extension services without the farmers (in groups) demanding for them and transporting the officers to the said site. Understanding the institutional constraints helped resolve the misnomer among Rongai constituency participants that Government officers cannot offer extension services without being bribed to come.

Lessons

- Through these presentations, the participants are able to acknowledge the benefits of working together. Networking proves to be more meaningful than the petty rivalries and suspicious attitudes development agents have towards each other.
- The presentations help bring out the wealth of other resources beyond the financial ones that are available for development.

The above presentation is intense and requires a thorough search for facts before the workshop. It has been very powerful in giving a sense of perspective and a willingness not to finger point but to work together for the good of the community.

Plenary: Presentations by Ministry Technocrats, Devolved Fund's Managers and NGO Representatives

Time: 5 ½ hours

As mentioned at the beginning of this chapter, the facilitator should have liaised with the Government technocrats, NGO representatives and devolved fund managers who are to give the presentations on day 2. The facilitator needs to be very keen in making sure that presenters observe time. S/he must guide questions so that false accusations are not made or unnecessary arguments ensue. Each presenter submits the written summary of their presentation to the rapporteur.

Aim

- For the workshop participants to realize the network opportunities available
- To bring out the technical, human, financial and natural resources available to the community for more effective development

Notes

[illegible]

Chapter 5 Action Planning

5.0 What do we do, When, Where, How?

Objectives

1. To develop an implementation strategy
2. To Plan for the projects, programme and activities that will help achieve the vision, goals and objectives
3. To map out the possible impact of the proposed projects and programmes
4. To agree on the various timeframes that certain tasks will be completed
5. To establish the financing and implementing body/agent
6. To estimate a cost /allocate resources (budget) to the proposed programmes and projects

Content

- **Action Planning**

Time: 2 hours

Plenary: Administering a 'Reflections' Session:

On day 4, there is need for the participants to revisit the lessons learnt in the previous chapter (day3) and give any personal opinions or feelings the sessions may have triggered. The 'reflections' provide an opportunity for the facilitators and participants to share feedback, clarify issues and identify areas that need emphasis or further discussion.

A Summary of Key Strategic Planning Output

The facilitator will have prepared a summary of key strategic planning outputs from all the previous days. These will include a presentation of:

1. A SWOT analysis
2. A summary of key challenges in the constituency in order of priority
3. Key driving forces
4. Vision, Mission, Goals and objectives, core strategy and values
5. A summary of key resources in the constituency (Financial, human, natural and technical resources)

A brief discussion should also be allowed to ensure that everything is captured in the summary presented.

Lecture: Action Planning

Hope is not a method! Implementation i.e. operationalization through a series of shorter term practical action lists that say exactly what will be done by whom, where and when has to be clearly thought out. One can easily plan what to do effectively having known the general direction to take and the resources available. The group therefore has to decide the strategies of action

Action planning is the process (or method) of turning thoughts and words into practical action. Every action plan should actually be designed to help operationalize an already existing and well thought out (or better still written) strategy. The action plan therefore outlines exactly what a group will do in a given period of time both in the long term and in the short term e.g. what the group will do in 5 years (Operational plan) and what a group will do in one year (Annual Plan) in order to be able to achieve the expected results. It details exactly what will be done by whom and when to achieve clearly observable *outputs* in the strategic planning period (3 to 5 years)

The facilitator should emphasize that the group has to invest in projects that will have a major impact. In other words, the projects must help address the challenges discussed in the last three days to achieve the end goal. Little projects constructed in every location for the sake of appeasing people will not help the constituency achieve optimum success. The leadership must not get worried at the mounting pressure from the citizens to engage in small projects for the sake of the vote. The presentation of the draft strategic plan for their input and the dissemination process of the plan would give logical explanations. For example, the constituency would benefit more by expanding the district hospital than have little clinics in every location without staff and equipment. An example of this type of scenario is in Northern Kenya where out of fifty two dispensaries only ten were in use. In Dujis constituency for example all four dispensaries i.e. Daley, Shimbirey, Boralgi and Jarajara built using CDF money are still under lock and key because of lack of staff. This is partly because of not adhering to the Ministry of Health (MoH) rules. These rules state that a community health worker will serve 5,000 people while a dispensary will be built within a radius that serves 10,000 people. Health centres and district hospitals can only be built within a radius that serves 25,000 and 100,000 people respectively. A provincial hospital is built to serve a radius of one million people. With this information, the community will therefore not put up unviable projects that cannot be effectively supported by Government.

The facilitator should refer to the summary made in the morning to illustrate how to draw up an action plan. From the priorities sectors identified, participants can propose

Table 19: Action Plan for a Three Year Strategic Plan

Prioritized Sector	Proposed activities & projects	Expected Results	Implementing Body/Fund	Time Frame	Est. Cost (Kshs)
Education	<ul style="list-style-type: none"> Build 2 ECD classes in X,Y&Z primary schools 	<ul style="list-style-type: none"> Better access to ECD Programmes in the constituency to boost quality of education 	<ul style="list-style-type: none"> CDF, LATF 	Year 1	1M
	<ul style="list-style-type: none"> Apply for 10 new teachers from TSC 	<ul style="list-style-type: none"> To improve the pupil teacher ratio and enhance quality of education 	<ul style="list-style-type: none"> CDF, DEO 	Year 2	500,000
	<ul style="list-style-type: none"> Build laboratories in V & Q secondary schools 	<ul style="list-style-type: none"> Improve secondary school performance in sciences 	<ul style="list-style-type: none"> CDF 	Year 1 & 2	2 M
	<ul style="list-style-type: none"> Increase Bursary allocation Do a household survey to map out legible students for the fund Establish a criteria for funding 	<ul style="list-style-type: none"> Improve transition, retention and completion rate of high school and tertiary education Improve the number of graduates in the constituency Transparent process of bursaries 	<ul style="list-style-type: none"> SSEBF, LATF, CDF 	Year 1 & 2	10M
Health	<ul style="list-style-type: none"> Equip the dispensary laboratory with immunization vaccines 	<ul style="list-style-type: none"> Lowered infant and under 5 mortality rates 	<ul style="list-style-type: none"> CDF Plan-Kenya LATF 	Year 1,2 & 3	2M
Markets	<ul style="list-style-type: none"> Put up market shelters at A, B, C 	<ul style="list-style-type: none"> To increase trading activities 	<ul style="list-style-type: none"> LATF 	Year 1,2 & 3	1M
	<ul style="list-style-type: none"> Clean up all market centres daily Supply disposal bins 	<ul style="list-style-type: none"> For hygiene and effective waste disposal 	<ul style="list-style-type: none"> LATF 	Year 1	500,000
Water	<ul style="list-style-type: none"> Build a bridge at river X 	<ul style="list-style-type: none"> To improve access Reduce number of deaths that occur in rainy seasons 	<ul style="list-style-type: none"> CDF, LATF, DRB 	Year 1,2 & 3	20M
	<ul style="list-style-type: none"> Carry out constituency demonstrations to rally constituent members to harvest water through roof catchment 	<ul style="list-style-type: none"> Increase access to clean water and reduce water born diseases 	<ul style="list-style-type: none"> CDF, Ministry of Water Water NGOs 	Year 1	500,000
Roads	<ul style="list-style-type: none"> Repair feeder roads 	<ul style="list-style-type: none"> Increase accessibility 	<ul style="list-style-type: none"> RMLF, LATF, CDF 	Year 1,2 & 3	5M
	<ul style="list-style-type: none"> Tarmac UR 12-01 Ruiru- Banita 	<ul style="list-style-type: none"> Improve economic activities 			100M

Source: Author's Analysis from the Various Strategic Planning Workshops Conducted

constituency projects in line with those sectors. The projects must be informed by the key driving forces, the SWOT analysis, the Vision, Mission, Goals and objectives, core strategy and values. A look at available resources in the constituency is okay but because strategic plans can be used to fundraise from other sources, little finances or lack thereof should not limit the constituency from thinking big. Development agents can also co-fund a project as illustrated on table 19.

Group exercise and plenary discussions

- The facilitator should allow the whole group to sit together and deliberate on the constituency projects that must be planned for.
- The groups must first revisit the list of priority sectors, key driving forces, the SWOT analysis, vision, mission, goals and objectives, core strategy and values as well as a summary of available resources whether financial or otherwise to inform the choice of projects. Each project chosen must therefore be justified and agreed upon by all participants. It is important to align projects according to national priorities.
- The group should fill in the action plan forms as provided for on table 19
- The participants will present at plenary

The facilitator should help the workshop participants think through the project proposals by finding out their relevance and likely impact on the community. In cases where the facilitator feels that the project choice will not help achieve the desired goal, s/he can advise accordingly and demonstrate why this is the case. For example, in order to deal with the problem of diarrhoea and intestinal infections in a constituency, instead of building a hospital, the facilitator can advise participants to plan for a water project to provide more access to clean water and demonstrate why this is a more effective strategy.

Time: 2 hours

Group exercise and plenary discussions

- The facilitator will ask participants to re-group into locations (if they are 3 and below) or by divisions.
- Because these smaller units may have their own unique challenges, participants are asked to come up with location specific or division specific projects to compliment the constituency projects.
- The groups must revisit the list of priority sectors, key driving forces, the SWOT analysis, vision, mission, goals and objectives, core strategy and values as well as a summary of available resources whether financial or otherwise to inform the choice of projects. The group must also have a copy of the proposed constituency projects to refer to.

- Each location or division project identified must be justified and agreed upon by all participants. The project must also compliment the constituency project or a national initiative, in this case vision 2030.
- The group should fill in the action plan forms as provided for on table 19.
- A rule IEA Kenya has adopted is to ensure that only one project is proposed for every sector otherwise when the demands are too many, it becomes an unrealistic shopping list that cannot be achieved.
- The participants will present at plenary.

A discussions ensues after the presentations. The facilitator and other technocrats in the room should help the workshop participants think through the project proposals by finding out their relevance and likely impact on the community. The work should be combined into one table.

These are considered as the activities that are likely to be implemented in the strategic planning period. Since the first draft of the strategic plan will be circulated for comments and widely disseminated for review, these activities could change or be revised before the document is finalized. The steering committee and other development agents can now use this matrix to draw up annual priorities during the implementation phase.

Lessons

This exercise is done to enable the group prepare an action plan giving details of specific activities, expected results, implementing body and time frames of implementation as well as estimated costs of a project.

NB: The table may be difficult to complete during the workshop sessions, especially when it comes to costing. The work can be left with the steering committee to complete with the help of technical officers for accurate costing.

[illegible]

Chapter 6: Monitoring & Evaluation

6.0 What have you been upto?

Objectives

1. To measure progress and performance against laid down targets

Content

- M&E tools and feedback processes
- Kabete Constituency case study

Time: 1 ½ hours

Lecture: Monitoring & Evaluation (M&E)

Business results are easily identified and quantified. In the development arena however, results are less easily visible, and hence the need to include in any action plan, measurable or visible *outputs/results* to pursue, other *performance indicators* to use and *impact assessment*. They are referred to as implementation progress *tracking*, short-term achievements *monitoring*, and long term *impact evaluation* tools and processes.

Internal M&E processes involve measuring progress and performance against laid down targets as a way of assessing progress and value. It enables the identification of causal factors and ensures quality control and assurance. The process provides feedback allowing for review and recommendation making as well as the identification of remedies

Monitoring and evaluation of development activities provides implementers with better means for learning from past experiences, improving service delivery, planning and allocating resources, and demonstrating results as part of accountability to key stakeholders. They help to reach a definite conclusion about the extent to which a given strategy that was implemented in a given manner, actually succeeded in achieving the

desired original goals. While an evaluation finds out whether the strategy is on track, monitoring is useful in raising the warning signs before things go too far wrong.

In this session, the facilitator introduces monitoring and evaluation concepts to the team. M&E performance indicators and the logical framework are examples of tools prepared internally by implementers to help prepare for M&E sessions and to track their own progress as illustrated on table 20 and table 21. While putting together an annual plan, either of the two comprehensive frameworks are drawn up to help the fund managers and the steering committee to account better to the beneficiaries.

NB: There is a tendency to define too many indicators during planning or picking indicators without accessible data sources. Poorly defined indicators do not provide reliable measures of success. This can make the evaluation process impractical and likely to be underutilized.

Some Internal M&E Tools

1. Enumerating Performance Indicators

Performance indicators are measures of inputs, processes, outputs, outcomes, and impacts for development projects, programmes, or strategies. When supported with sound data e.g. from surveys and other analysis, these performance indicators enable managers to track progress, demonstrate results, and take corrective action to improve service delivery. Participation of key stakeholders in defining indicators is important because they are then more likely to understand and use these indicators for management decision-making.

Table 20; Performance Indicators of the Action plan (on table 19)

Prioritized sector	Strategy	Expected Results	M & E Indicators
Education	<ul style="list-style-type: none"> • Provide Early Childhood Development (ECD) 	<ul style="list-style-type: none"> • To boost quality of education 	<ul style="list-style-type: none"> • Number of children attending ECD programmes vis a vis the ECD going age • Number of ECD facilities
	<ul style="list-style-type: none"> • Increase the number of teachers 	<ul style="list-style-type: none"> • To improve the pupil teacher ratio and enhance quality of education 	<ul style="list-style-type: none"> • Pupil teacher ratio
	<ul style="list-style-type: none"> • Increase Bursary allocation • Do a household survey to map out legible students for the fund 	<ul style="list-style-type: none"> • Improve transition, retention and completion rate of high school and tertiary education • Improve the number of graduates in the constituency • Transparent process of bursaries and equity in access to education 	<ul style="list-style-type: none"> • Net primary enrolment by gender • Net secondary enrolment by gender • Amount of money disbursed & bursary beneficiaries
Health	<ul style="list-style-type: none"> • Equip the dispensary laboratory with immunization vaccines 	<ul style="list-style-type: none"> • Lowered infant and under 5 mortality rates 	<ul style="list-style-type: none"> • Infant and under 5 mortality rates
	<ul style="list-style-type: none"> • Build new facilities in underserved areas and apply for more medical staff 	<ul style="list-style-type: none"> • Improve access to health facilities 	<ul style="list-style-type: none"> • Number of dispensaries, community centres and hospitals • Doctor patient ratio
Markets	<ul style="list-style-type: none"> • Increase market shelters to improve Small and Medium –term Enterprises (SME's) 	<ul style="list-style-type: none"> • To increase trading activities and employment opportunities 	<ul style="list-style-type: none"> • Household incomes
	<ul style="list-style-type: none"> • Improved sanitation and maintaining a clean environment 	<ul style="list-style-type: none"> • For hygiene purposes • For environmental sustainability 	<ul style="list-style-type: none"> • Cases of cholera breakouts
Water	<ul style="list-style-type: none"> • Enforced physical planning for water provision, sewerage and sanitation 	<ul style="list-style-type: none"> • Increased homes with piped water • Increased homes with safe waste disposal infrastructure 	<ul style="list-style-type: none"> • Number of homes with piped water • Number of homes with safe waste disposal mechanisms/ infrastructure
	<ul style="list-style-type: none"> • Carry out demonstrations and rally constituent members to harvest water through roof catchment 	<ul style="list-style-type: none"> • Increase access to clean water • Lower incidences of water borne diseases 	<ul style="list-style-type: none"> • Cases of water borne diseases
Roads	<ul style="list-style-type: none"> • Construction & maintenance of classified, rural and feeder roads 	<ul style="list-style-type: none"> • Increase accessibility • Improve economic activities 	<ul style="list-style-type: none"> • Kilometres of road constructed and maintained

Source: Author's Analysis from the Various Strategic Planning Workshops Conducted

2. The Logical Framework

The logical framework (log-frame) helps to clarify objectives of any project, programme or policy. It aids in the identification of the expected causal links i.e. the “programme logic” in the following results chain: inputs, processes, outputs (including coverage or “reach” across beneficiary groups), outcomes, and impact. It leads to the identification of performance indicators at each stage in this chain, as well as risks which might impede the attainment of the objectives. The log-frame is also a vehicle for engaging partners in clarifying objectives and designing activities. During implementation the log-frame serves as a useful tool to review progress and take corrective action.

Log-frames are useful in improving quality of project and programme designs by requiring the specification of clear objectives, the use of performance indicators, and assessment of risks. They help summarize design of complex activities, assisting the preparation of detailed operational plans and provide an objective basis for activity review, monitoring, and evaluation.

Log-frames ensure that decision-makers ask fundamental questions and analyze assumptions and risks. When used dynamically, it is an effective management tool to guide implementation, monitoring and evaluation. If managed rigidly, log-frames can stifle creativity and innovation. If not updated during implementation, it can be a static tool that does not reflect changing conditions.

Table 21: An Example of a Log-Frame

	Narrative summary	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Goal/Objective	To enhance quality of life in Butula constituency	<ul style="list-style-type: none"> Improved quality of education Reduced poverty & increased house hold incomes Reduced infant and child mortality rates 	<ul style="list-style-type: none"> National statistics 	<ul style="list-style-type: none"> Government will still be committed to community development through decentralized funding
Purpose	To alleviate poverty	<ul style="list-style-type: none"> Education programmes instituted Income generating activities Health policy programmes instituted 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above

Narrative summary	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Result 1: To improve access and quality of education for all school going children in the constituency			
Activities <ul style="list-style-type: none"> Renovate X primary schools in sub-location P, N Renovate D,J,Z,C facilities in secondary schools H, F, U To build a village polytechnic in location W More Bursary available from Government and other institutions 	<ul style="list-style-type: none"> Good quality and well equipped learning facilities (both primary and secondary) An increased number of tertiary institutions Increased number of students attending and completing school at all levels 	<ul style="list-style-type: none"> Number of learning institutions renovated Actual project reports Minutes of meetings The village polytechnic Student register Increased enrolment at tertiary level Bursary allocation criteria documents List of students accessing bursary funds 	<ul style="list-style-type: none"> CDF funds will continue to exist SSEBF funds will continue to be disbursed Free Primary education will continue

Source: Author's Analysis from the Various Strategic Planning Workshops Conducted

Lessons

The facilitator must notify participants that this session is to prepare them as implementers to effectively account to the public on the use of resources and the implementation of a project. The facilitator must help them understand that unlike a financial audit, a monitoring and evaluation exercise should not be a reprimanding and humiliating session but a process where progress is checked and learning lessons enumerated for better implementation of the next phase of the work.

Part of internalizing the M&E process within the implementation process includes tracking and reviewing the progress of development initiatives through:

- Monthly meetings by implementing agencies
- Quarterly meetings by implementing agencies
- Annual review meetings at locational and constituency level
- Impact analysis / assessment
- Field visits and observations of projects
- End of project reviews by fund managers

There are times when implementers would like to assess themselves from a beneficiary's point of view. Other times beneficiaries of the services would like to know what the development agencies have been up to thus conducting a social audit. Different tools are used to monitor and evaluate depending on time availability, cost, the purpose of conducting the M&E, type of information needed etc. These tools may include:

1. Formal Surveys

Formal surveys can be used to collect standardized information from a carefully selected sample of people or households. Surveys often collect comparable information for a relatively large number of people in particular target groups. They are therefore used for providing baseline data against which the performance of the strategy, programme, or project can be compared. They can also be used to compare different groups at a given point in time, changes over time as well as actual conditions with the targets established in a programme or project design. Surveys can be used to describe conditions in a particular community or group, provide a key input to a formal evaluation of the impact of a programme or project and assessing levels of poverty as basis for preparation of poverty reduction strategies. Examples of formal surveys include:

Core Welfare Indicators Questionnaire (CWIQ) is a household survey that measures changes in social indicators for different population groups specifically indicators of access, utilization and satisfaction with social and economic services. It is a quick and

effective tool for improving activity design, targeting services to the poor and, when repeated annually, for monitoring activity performance.

Client Satisfaction (or Service Delivery) Survey is used to assess the performance of public services based on client experience. The surveys shed light on the constraints clients face in accessing services, their views about the quality and adequacy of services, and the responsiveness of implementers. These surveys are usually conducted by the implementing agency.

Citizen Report Cards have been conducted by NGOs and think-tanks in several countries. Similar to service delivery surveys, they have also investigated the extent of corruption encountered by ordinary citizens.

2. Rapid Appraisal Methods

These are quick, low-cost ways to gather the views and feedback of beneficiaries and other stakeholders, in order to respond to decision-makers' needs for information. They provide qualitative understanding of complex socioeconomic changes, highly interactive social situations, or people's values, motivations, and reactions. They also provide context and interpretation for quantitative data collected by more formal methods. Examples of formal appraisal methods include:

Key informant interview which is a series of open-ended questions posed to individuals selected for their knowledge and experience in a topic of interest. Interviews are qualitative, in-depth, and semi-structured. They rely on interview guides that list topics or questions.

Focus group discussions are facilitated discussions among 8–12 carefully selected participants with similar backgrounds. Participants might be beneficiaries or programme staff. The facilitator uses a discussion guide. Note-takers record comments and observations.

Community group interviews are a series of questions that facilitate discussions in a meeting open to all community members. The interviewer follows a carefully prepared questionnaire.

Direct observation is the use of a detailed observation form to record what is seen and heard at a programme site. The information may be about ongoing activities, processes, discussions, social interactions, and observable results.

Mini-survey is a structured questionnaire with a limited number of close-ended questions that is administered to 50–75 people. Selection of respondents may be random or 'purposive' (interviewing stakeholders at locations such as a clinic for a health care survey).

3. Participatory Methods

These provide active involvement in decision-making for those with a stake in a project, programme, or strategy and generate a sense of ownership in the M&E results and recommendations. Participatory methods can be used for learning about local conditions and local people's perspectives and priorities to design more responsive and sustainable interventions. They help identify problems and troubleshoot problems during implementation by examining relevant issues that involve key players in the design process. The methods also help establish partnerships and local ownership of projects, enhances local learning, management capacity, and skills while providing timely and reliable information for managing decision-making. The methods can be time consuming and sometimes regarded as being less objective. These methods include:

Stakeholder analysis is the starting point of most participatory work and social assessments. It is used to develop an understanding of the power relationships, influence, and interests of the various people involved in an activity and to determine who should participate, and when.

Participatory rural appraisal is a planning approach focused on sharing learning between local people, both urban and rural, and outsiders. It enables development managers and local people to assess and plan appropriate interventions collaboratively, often using visual techniques so that non-literate people can participate.

Beneficiary assessment involves systematic consultation with project beneficiaries and other stakeholders to identify and design development initiatives, signal constraints to participation, and provide feedback to improve services and activities.

Participatory monitoring and evaluation involves stakeholders at different levels working together to identify problems, collect and analyze information, and generate recommendations.

4. Public Expenditure Tracking Surveys (PETS)

PETS track the flow of public funds and determine the extent to which resources actually reach the target groups. The surveys examine the manner, quantity, and timing of releases of resources to different levels of Government, particularly to the units responsible for the delivery of social services such as health and education. PETS are often implemented as part of larger service delivery and facility surveys which focus on the quality of service, characteristics of the facilities, their management, incentive structures, etc. PETS can be used for diagnosing problems in service delivery quantitatively. They provide evidence on delays, "leakage," and corruption. They are able to support the pursuit of accountability when little financial information is available and improve management by pinpointing bureaucratic bottlenecks in

the flow of funds for service delivery. The problem with this type of monitoring and evaluation is that implementing agencies may be reluctant to open their accounting books. It can also be quite costly to implement.

5. Cost-Benefit and Cost-Effectiveness Analysis

These are tools for assessing whether or not the costs of an activity can be justified by the outcomes and impacts. Cost-benefit analysis measures both inputs and outputs in monetary terms. Cost-effectiveness analysis estimates inputs in monetary terms and outcomes in non-monetary quantitative terms (such as improvements in student reading scores). Cost-benefit and cost-effectiveness analysis are used to inform decision about the most efficient allocation of resources. They help identify projects that offer the highest rate of return on investment. The advantage of this methodology is that it is a good quality approach for estimating the efficiency of programmes and projects. It makes explicit the economic assumptions that might otherwise remain implicit or overlooked at the design stage. They are also useful for convincing policy-makers and funders that the benefits justify the activity. This method however can be fairly technical, requiring adequate financial and human resources available. Requisite data for cost-benefit calculations may not be readily available, and projected results may be highly dependent on assumptions made. Results must be interpreted with care, particularly in projects where benefits are difficult to quantify.

6. Impact Evaluation

This is the systematic identification of the effects, whether positive or negative, intended or not, on individual households, institutions, and the environment caused by a given development activity such as a programme or project. Impact evaluation helps us better understand the extent to which activities reach the poor and the magnitude of their effects on people's welfare. Impact evaluations can range from large scale sample surveys in which project populations and control groups are compared before and after, and possibly at several points during programme intervention; to small-scale rapid assessment and participatory appraisals where estimates of impact are obtained from combining group interviews, key informants, case studies and available secondary data. Impact evaluation can be used for measuring outcomes and impacts of an activity and distinguishing these from the influence of other, external factors. They can also be used to help clarify whether costs for an activity are justified as well as for informing decisions on whether to expand, modify or eliminate projects, programmes or policies. They help draw lessons for improving the design and management of future activities, compare the effectiveness of alternative interventions and strengthening accountability for results.

The advantage of impact evaluation is to provide estimates of the magnitude of outcomes and impacts for different demographic groups and regions over time. The evaluation provides answers to some of the most central development questions:

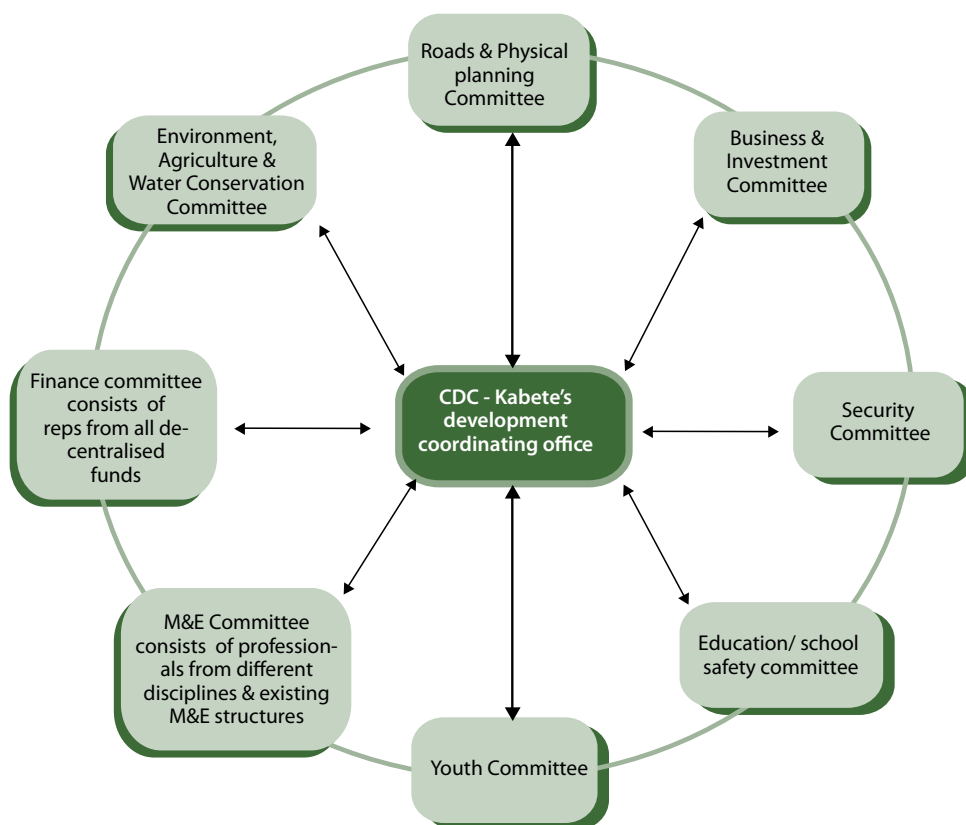
- To what extent are we making a difference?
- What are the results on the ground?
- How can we do better?

Systematic analysis and rigor can give managers and policy-makers added confidence in decision-making. However, some approaches are very expensive and time-consuming, although faster and more economical approaches are also used.

It is important for the facilitator to point out that groups that seek to carry out M&E processes should be trained because some M&E methods are fairly technical. Groups also need to choose a tool that best fits the purpose of carrying out an M&E exercise.

Case Study: Kabete Constituency Proposed M&E Structure

Figure 14: Proposed Coordination of Development and M&E Structure in Kabete Constituency



Source: Kabete Strategic Planning Workshop

Kabete CDC – this will be the office that coordinates development in the whole of Kabete constituency. The office will convene meetings with all development agents in the constituency to plan and share responsibility. Members of the CDC will be secretaries to the various committees formed so that information can effectively flow to enable the CDC coordinate events well.

Finance Committee – will consist of members in all de-centralised funds e.g. the treasurers. This is for purposes of coordinated planning with the resources available. The committee will also be charged with the responsibility of fundraising widely for projects in the constituency from other donors

Thematic committees will consist of sector experts (professionals from Kabete constituency and ministry technocrats as well as development agencies working in those specific areas and other interested constituency members). **Overall functions of the committees include** giving advice on strategies for growth. It is expected that the teams will deliberate more on their specific roles.

The team will work with Locational Development Committees (LDC's) and help prioritise projects according to their impact and significance to the community. Committees that are handling related functions will work in consultation with each other e.g. the education committee can consult/work together with the safety committee regarding issues of safety in schools or a crackdown of drugs in schools.

The proposed committees include:

1. *Environment, Agriculture & Water committee* – will consist of sector experts who will give/advise on strategies for growth e.g. agro-processing, venture into alternative crops by farmers, agro forestry in Karai location, ensure the extension of piped water etc.
2. *Roads and Physical Planning Committee* - will consist of sector experts who will establish the status of all roads in Kabete and give/advise on durable road construction and real costing to avoid corruption. The committee will also include experts on housing and sanitation in Kabete
3. *Business & Investments committee* - will consist of sector experts who will give/advise on marketing strategies and business opportunities for Kabete constituent members and for outside investors. They will also find ways of setting up a revolving fund that can benefit Small Medium Enterprises (SME's), women and youth.
4. *Security committee* - will consist of sector experts who will give/advise on community policing, how to curb drug trafficking, illicit brewing, petty crime as well as sophisticated crime.

5. *Education/School safety committee* - will consist of sector experts who will give/advise on safety in schools, post secondary education i.e. a strategy to raise the number of students going to public universities and polytechnics, building centres of excellence and effecting an affirmative action on the boy child to raise enrolment, retention and completion rates.
6. *Youth committee* – will consist of the youth and sector experts who will give/advise on youth programmes and the youth fund for optimum benefits to the youth in Kabete constituency.
7. *M&E committee* - will consist of the auditors of different funds and professionals from different disciplines and locations who will verify the procurement procedures of different projects, check the project progress, quality, cost and carry out impact assessments.

It is envisaged that the participatory nature of the workshop, the fact that the planning content was harmonized with the District Development Plans (DDP's) as well as a committed leadership will foster smooth transitions and a commitment to deliver the said strategies.

Group Exercise and Plenary Discussions

The facilitator will ask participants to go into two groups and come up with a logical framework e.g. for activities enumerated in one of the sectors. A template is provided on table 21. This is for purposes of acquainting themselves with the skill of writing one properly. The skill will be useful during the generation of annual work plans.

After the groups present, a discussion could follow to examine the quality of both logical frameworks. The facilitator should give technical assistance in making sure that all the fundamental mistakes made by the group are corrected.

[illegible]

Chapter 7: Conclusion

7.0 The Journey has just begun!

Objective

1. To conclude the strategic planning workshop

Content

- Reflect on the strategic planning workshop and comment
- Review workshop expectations to check if the participants expectations were met
- Allow participants to evaluate the facilitation process
- Communicate post workshop points of action and timeframes
- Conclude (vote of thanks and prayer).

Time: 1 ½ hours

Plenary Discussions

Reflecting on the lessons learnt through out the workshop period is important as participants can take an honest audit of the past development models they pursued and compare with the strategic planning outcomes to decide what is best in achieving the constituency's optimum development. It also provides important feedback to the facilitator on what was most significant to the participants during the workshop period. These significant points can be further emphasized in the final strategic plan.

Reviewing Workshop Expectations

The facilitator should re-visit the workshop expectation flip chats pasted on the wall and together with the participants agree on what was achieved and what was not. This enables the participants and the facilitator to ascertain that they have achieved what they set out to undertake at the beginning of the workshop.

Allow Participants to Evaluate the Facilitation Process

The facilitator should allow the workshop participants to express their honest views of the workshop process. This requires them to anonymously rate the facilitator on how the messages were delivered, teaching methodologies, time management, dressing and the facilitator(s) efficiency in achieving the workshop objectives. The participants also rate the whole process i.e. the organization of the workshop in general by answering the following questions on a piece of paper:

1. What did you like most about the workshop?
2. What did you dislike most about the workshop?
3. Any other comments?

NB: All papers MUST remain anonymous so that the feedback given is as honest as possible.

This allows the facilitator to know what to improve on in subsequent workshops.

Communicate Post Workshop Points of Action and Timeframes

Participants need to be adequately informed on what will happen next so that the strategic planning exercise does not end with the workshop. These are enumerated on table 22. As indicated, the 1st draft of the strategic plan will take about three weeks to prepare because of the work that has to go into consolidating the workshop proceedings.

Table 22: Points of Action after the Workshop

Work	Approximated time frame
Produce 1st draft of the strategic plan	Week 1,2,3
Circulate the 1st draft to the workshop participants and to other key stakeholders for comments	Week 4,5,
Hold a public forum in the constituency in collaboration with the MP and all public fund managers	Week 6
Incorporate comments from the public forum and feedback on the document	Week 7,8
Fine tune the action plan and finalize costing. The costing process must be done in collaboration with the steering committee and other fund managers.	Week 9,10
Design, Layout & Printing of the strategic plan	Week 11,12
Launch of the strategic Plan & Giving certificates to workshop participants	Week 13
Extensive dissemination of the plan	Is a continuous process

Source: *Author's Analysis from the Various Strategic Planning Workshops Conducted*

At this point, the facilitator can conclude and thank the participants for their time and effort in the process. The facilitator must emphasize that whereas it is good to have a strategic plan, unless we effectively implement it, no meaningful change will ever be realized. A strategic plan is just the first step in the journey of 1000 miles!

NB: The facilitating team must carry with them all the flip charts to refer to as they prepare the draft strategic plan.

Official Closing of the Workshop

An official closing remark could be made by a representative of the collaborating organization to close the workshop or one of the workshop participants.

Notes

[illegible]

References

Bahari Constituency Strategic Plan (Unpublished)

Butula Constituency Strategic Plan (unpublished)

CBS, (2005), **Geographic Dimensions of Well-Being in Kenya, Who and Where are the Poor**, The Regal Press Kenya Ltd., Nairobi

Government of Kenya, (2001), **Busia Poverty Reduction Strategy Paper**, Government Printers, Nairobi

Government of Kenya, (2001), **Butere Mumias Poverty Reduction Strategy Paper**, Government Printers, Nairobi

Government of Kenya, (2001), **Kiambu Poverty Reduction Strategy Paper**, Government Printers, Nairobi

Government of Kenya, (2001), **Siaya Poverty Reduction Strategy Paper**, Government Printers, Nairobi

Government of Kenya, (2002), **Busia District Development Plan**, Government Printers, Nairobi

Government of Kenya, (2002), **Butere Mumias District Development Plan**, Government Printers, Nairobi

Government of Kenya, (2002), **Kiambu District Development Plan**, Government Printers, Nairobi

Government of Kenya, (2002), **Siaya District Development Plan**, Government Printers, Nairobi

<http://web.mit.edu/urbanupgrading/upgrading/issues-tools/tools/problem-tree.html>

IEA Research Paper Series No. 7 (September 2006), **Kenyans' Verdict: A Citizen Report Card on the Constituencies Development Fund**, Nairobi

IEA, (2007), **Kabete Constituency: Strategic Plan**, Ascent Limited, Nairobi

IEA, (2008), **Dujis Constituency: Strategic Plan**, Ascent Limited, Nairobi

Khwisero Constituency Strategic Plan (unpublished)

Kilome Constituency Strategic Plan (unpublished)

KNBS, (2007), **Kenya Integrated Household Budget Survey (KIHBS): Basic Report**, The Regal press Kenya Ltd, Nairobi

Mapesa Benson M & Kibua Thomas N., (2006), **An Assessment of the Management and Utilization of the Constituency Development Fund in Kenya: IPAR Discussion Paper Series, No. 076/2006**, Nairobi

Mulwa, Francis W., (2005), **Demystifying Participatory Development: in its Global Context Rooted in Participatory Strategic Planning**, Zapf Chancery and P. Olivex Publishers, Nairobi

Rongai Constituency Strategic Plan (unpublished)

Tricle up, (2003), **Mandera Central Constituency: Strategic Plan, Nairobi**

Tricle up, (2004), **Mwatate Constituency: Strategic Plan, Nairobi**

Ugenya Constituency Strategic Plan (unpublished)

World Bank, Clark M and Sartorius R., (2004), **Monitoring and Evaluation; Some Tools, Methods and Approaches**, Washington, D.C

www.kippra.org

Annex 1: Constituency Indicators

A Questionnaire to Guide Data Collection in the Location

NB: This questionnaire can be used to collect data at the location level. However, if the locations are too many, one can use it to get data at the divisional level.

This information will be used to:

1. Inform the planning processes of the constituency
2. Sensitize constituent members on the realities of their constituency (facts and figures that will rid misinformed perceptions)
3. Identify constituency needs and hence prioritize projects

Instructions

- The data collected should be a true reflection of the location
- Fill in the questionnaire as clearly as possible to enable the data analysis
- Any additional information deemed important can be included on a separate piece of paper

Questionnaire

Administrative/Area

1. Name of location _____
2. Number of sub-locations _____
- 2b. Names of sub-locations _____

3. Area covered by the location (size in Km2) _____

Population Profile

4. Total Population (Number of people in the Location) _____
5. Total number of the male population _____
6. Total number of the female population _____
7. Total Population less than 18 years _____
8. Total population aged between 18 – 55 years _____
9. Total population greater than 55 years _____
10. Number of Households in the Location _____
11. Estimated number of people per household _____

Physical resources and land use

12. Name and estimated length of tarmac roads (Km) in the location

13. Name and estimated length of other roads (e.g. all weather roads, rural access/
Feeder roads (Km) in the location

14. Number of homes with access to electricity _____
15. Natural resources e.g. rivers, mountains etc _____

16. % of arable land _____
17. % arid and semi-arid land _____
18. % of forest cover _____
19. % of irrigated land _____
20. Average farm sizes _____

Economic Livelihoods/activities

21. Economic Livelihoods/activities of the location (list the activities and the % of people involved in each) e.g. farming, Small and Medium Term Enterprises

22. % of people in wage employment in the location _____

23. Nature of wage employment /types of salaried jobs in the location

24. Average incomes for the salaried jobs in the location

25. % of people in the Jua Kali sector _____

26. Estimated of the unemployed in the location _____

27. Mining activities in the location _____

28. Industrial activities in the location _____

Education

29. Number of early childhood/pre-primary schools in the location _____

30. Number of public primary schools in the location _____

31. List the public primary schools in the location

32. Number of private primary schools in the location _____

33. List the private primary schools in the location

34. Number of public secondary schools in the location _____

35. List the public secondary schools in the location

36. Number of private secondary schools in the location _____

37. List the private secondary schools in the location

38. Name and number of post secondary facilities in the location (polytechnics, colleges, universities)

39. Primary school enrollment rates i.e. How many children enrolled in primary schools in 2007 in the location _____
40. Secondary school enrollment rates i.e. How many children enrolled in secondary schools in 2007 in the location _____
41. Primary school pupil teacher ratio _____
42. Secondary school pupil teacher ratio _____
43. Literacy rates in the location (give rates for men & women) _____
44. School drop out rates
 - Primary schools (%) Boys _____ Girls _____
 - Secondary schools (%) Boys _____ Girls _____

Health

45. Number and type of private health facilities _____

46. List/name the private health facilities in the location _____

47. Number and type of Public health facilities _____

48. List/name the public health facilities in the location _____

49. Average distance to a health care facility _____

50. Prevalent diseases in the location _____

51. Fertility rates (average number of births per woman) in the location

52. Child mortality rates _____

53. Infant (under five)mortality rates _____

54. Life expectancy in the location _____

55. Doctor patient ratio _____

56. Maternal mortality rates in the location _____

57. Number of doctors in the location _____

58. Number of other medical practitioners in the location _____

Water Supply

59. Main water source(s) in the location

60. % of households with piped water _____

61. Average distance to nearest water point _____

Governance structure

62. Number of courts/prisons _____

63. Number of police stations and police posts _____

64. Number of police officers _____

65. Dominant crimes and their frequency

66. Local authorities in the location _____

Compiled by:

Name _____

Signature _____

Designation _____

Certified / Approved by:

Name _____

Signature _____

Designation _____

Annex 2 Facts and Figures

Rongai Constituency

1. Geographical Location/Administrative Boundaries

- Rongai constituency is in Rift Valley Province, Nakuru District.
- It is neighboured by Subukia Constituency on the East, Mogotio and Laikipia West constituencies on the North, Eldama Ravine on the West, Nakuru town and Molo constituencies on the South.
- Administratively, Rongai constituency has 4 divisions namely Njoro, Rongai, Bahati and Mbogoini. It has 9 locations namely Ngata, Rongai, Lengenet, Kampi ya Moto, Makongeni, Boror, Solai, Waseges and Maji Tamu. The constituency also has 20 sub-locations as shown in table 23 below.

Table 23: Sub-Locations in Rongai Constituency

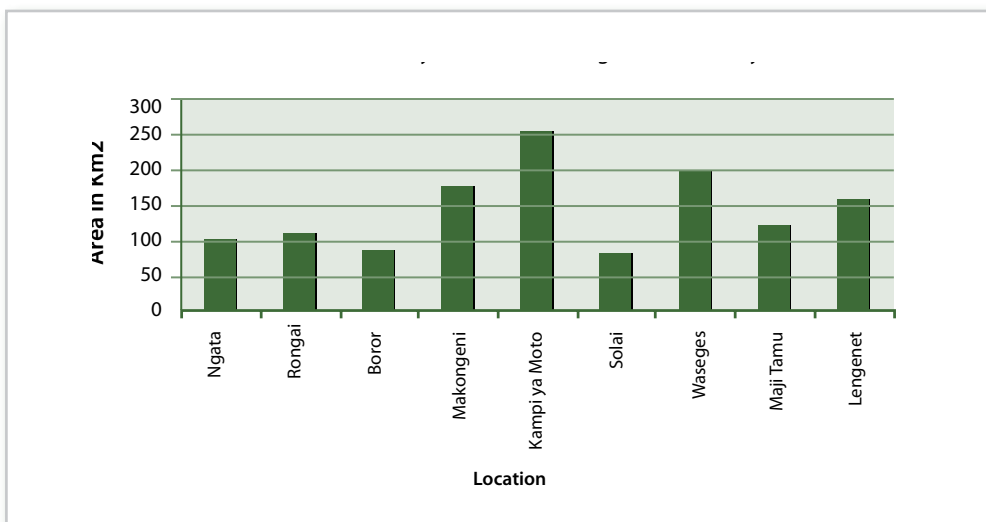
Divisions	Location	Number of Sub-locations	Name of Sub-locations	Approximate Area (Km2) Occupied
Njoro	Ngata	1	Ngata	96.8
Rongai	Rongai	2	Rongai, Visoi	109.9
	Lengenet	3	Kamung'el, Lengenet	158
	Kampi ya moto	3	Kampi ya moto west, Makutano, Menengai	257.1
	Makongeni	3	Athinai, Banita, Lomolo	177.4
	Boror	2	Boror, Sumeek	82
Bahati	Solai	2	Nyandundo, Arutani	80
Mbogoini	Waseges	2	Nyamamith, Subukia West	203.2
	Maji Tamu	2	Chamasis, Lower solai	120

Source: Analysis of the Data Collected During the Rongai Strategic Plan, Nakuru District PRSP and DDP

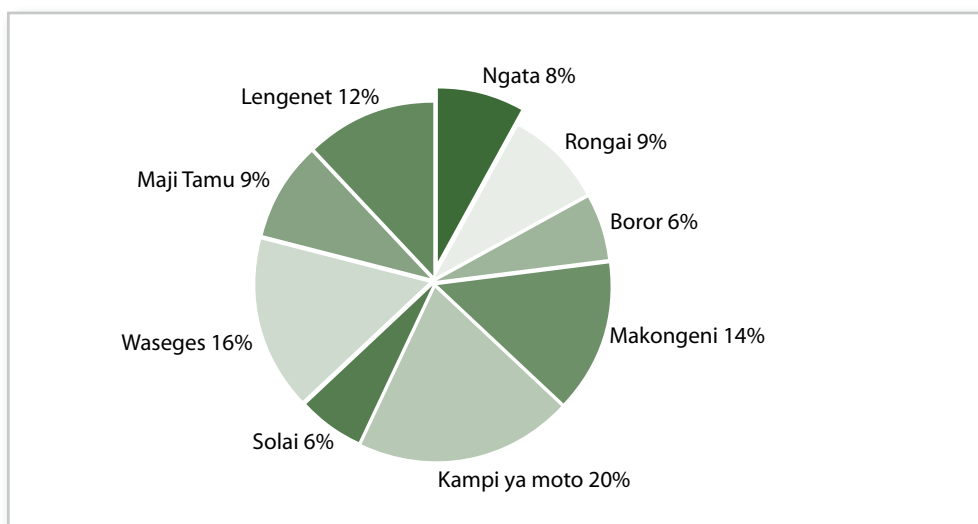
2. Constituency Size

- The constituency occupies 1,349.71Km² which is 18.8% of the District's land area.
- Kampi ya Moto which is the largest location occupies 20% of Rongai's land area, Waseges (16%), Makongeni (14%), Lengenet (12%), Rongai and Maji Tamu (9% each), Ngata (8%) Solai and Boror (6% each) as illustrated in graph 8 below.

Graph 8a: Area Covered by Locations in Rongai Constituency



Graph 8b: %Area Covered by Locations in Rongai Constituency

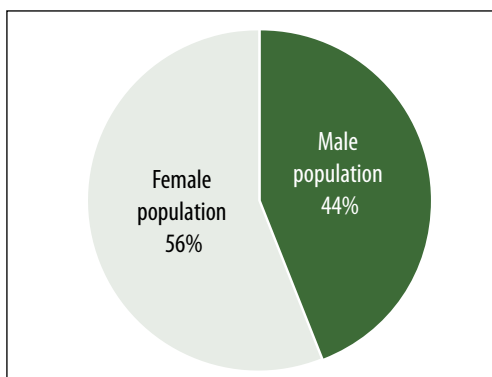


Source: Analysis of the Data Collected During the Rongai Strategic Plan, Nakuru District PRSP and the DDP

3. Population Size and Structure

According to the 1999 census, Rongai constituency had 137,650 people. This number is expected to have significantly grown by now. A survey conducted in all the constituencies in October 2006 by Centre for Education, Peace Environment & Development (CEPED) in collaboration with the chiefs in all the locations estimated the population in the constituency to be 209,397 people. This survey suggests that the ratio of men to women is 44:56, a great diversion from the 1999 census where the ratio of men to women was 50.4:49.6.

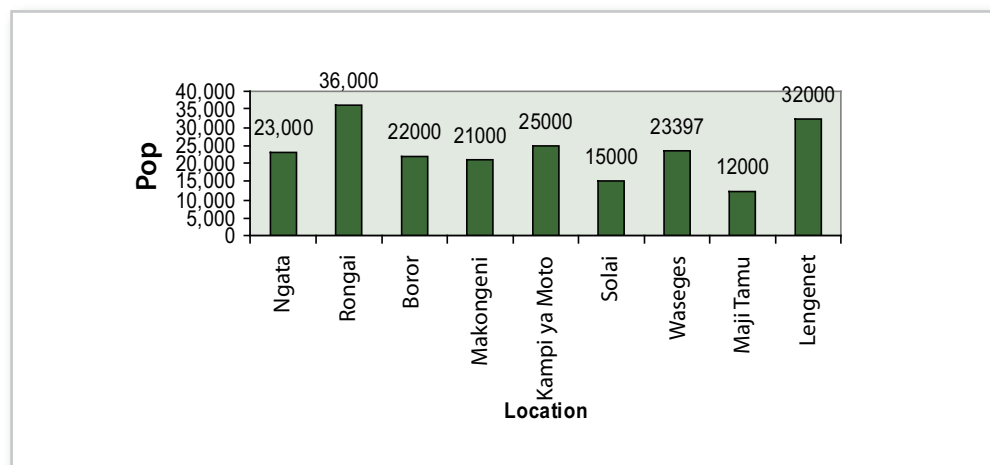
Graph 9: Population in Rongai Constituency by Gender



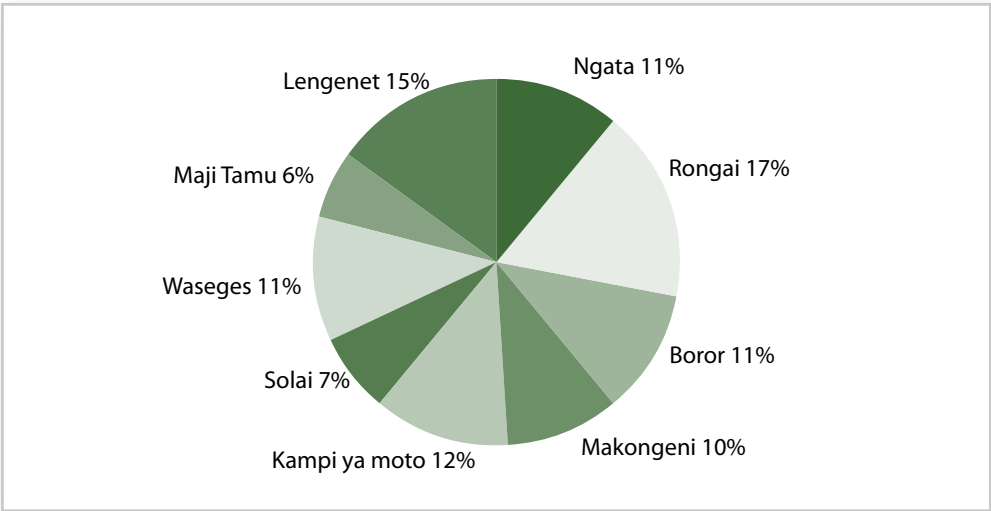
Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and DDP

- Rongai, Lengenet and Kampi moto have the highest populations in the constituency. Rongai location harbours 17% of Rongai constituency's population, Lengenet (15%), Kampi moto (12%), Waseges, Ngata and Boror (11% each), Makongeni (10%), Solai (7%) and maji Tamu (6%).

Graph 10a: Population in Rongai Constituency by Location

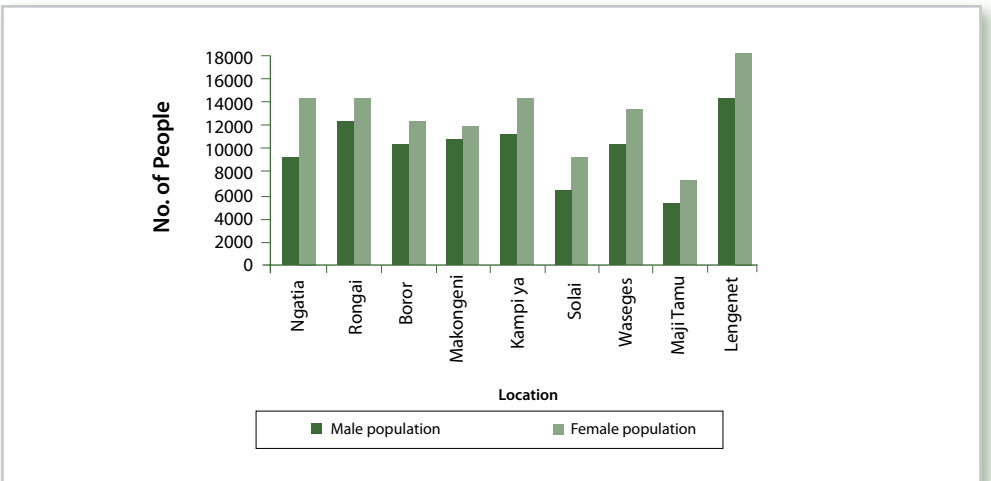


Graph 10b: % Population in Rongai Constituency by Location



Source: Analysis of the Data Collected During the Rongai Strategic Plan, Nakuru District PRSP and the DDP

Graph 11: Population in Rongai Constituency by Location and Gender



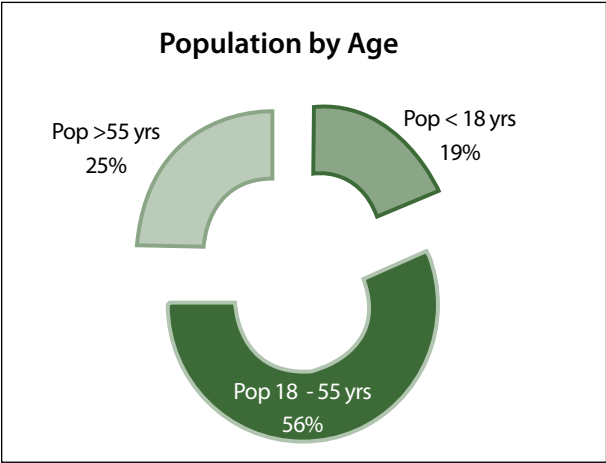
Source: Analysis of the Data Collected During the Rongai Strategic Plan, Nakuru District PRSP and the DDP

In all locations, women are more than men. Despite the fact that Rongai location has the highest population, Lengenet has the highest number of women as shown on graph 11

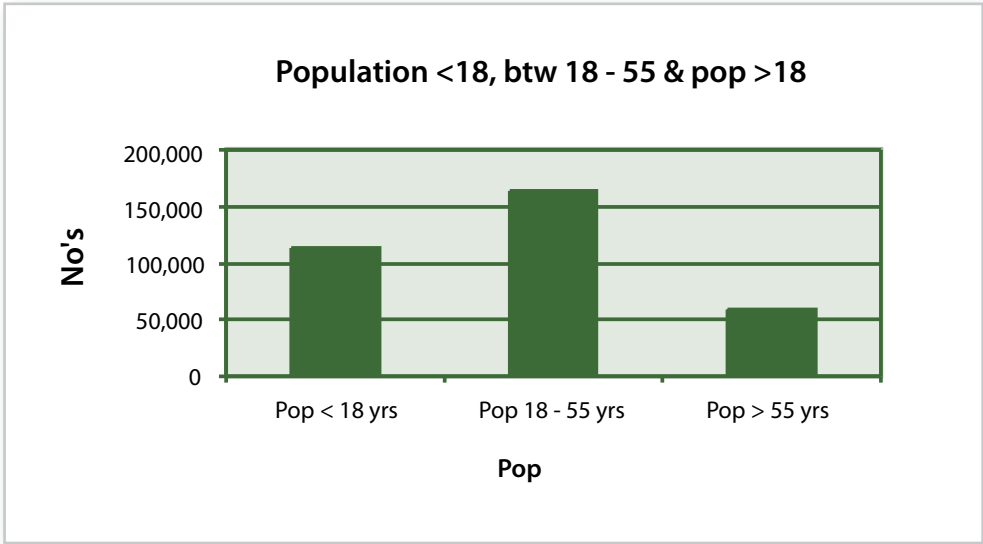
4. Age Distribution in the Constituency

According to the 1999 census, 50% of the population in the district was below 15 years. Those above 59 years accounted for only 4% of the population. In the recent survey by CEPED and the chief's, population below 18 years accounts for 19% of the population, those between 18 – 55 years form 56% of the population and those above 55 years from 25% of the population as illustrated in graph 12

Graph 12a: % Population by Age in Rongai Constituency

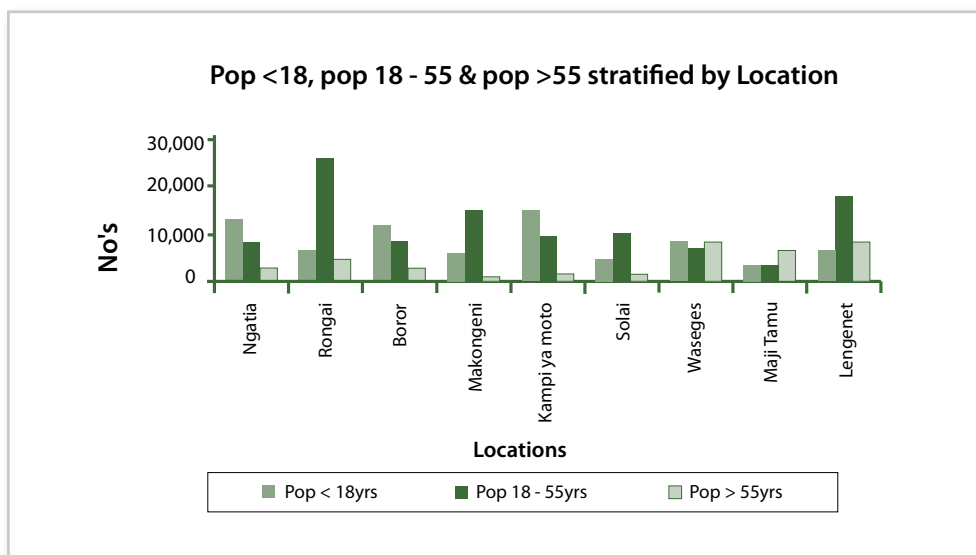


Graph 12b: Population by Age in Rongai Constituency



Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

Graph 13: Population by Age and Stratified by Location in Rongai Constituency



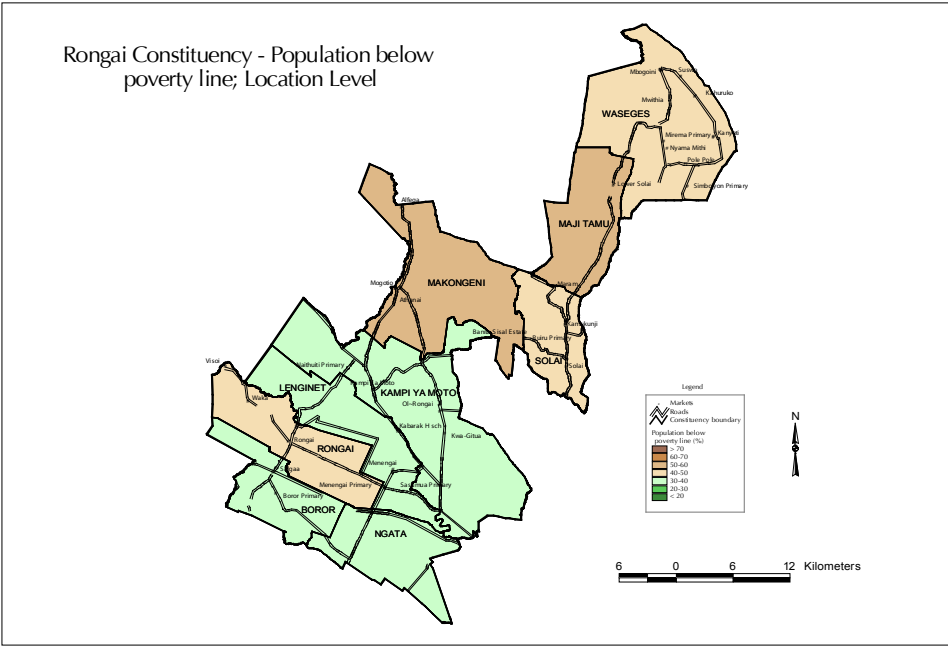
Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

Kampi Moto location has the highest number of under 18's, Rongai location has the highest number of 18 – 55 years olds while Waseges location has the highest number of over 55's

5. Poverty Prevalence in Rongai Constituency

- Poverty prevalence in rural Rongai constituency is 43.37% while urban poverty is at 53%.
- % of individuals below poverty line in rural male headed households are 44% while those headed by females are 43%.
- % of individuals below poverty line in urban male headed households are 50% while those headed by females are 59%.
- The constituency has a national poverty rank of 54.
- The District poverty prevalence in 1997 was 45.08%.
- However, poverty levels vary among locations. Boror, Ngatia, Lengenet and Kampi ya Moto locations have a poverty prevalence of 30 – 40%, Rongai, Solai and Waseges locations have a poverty prevalence of 40 – 50% while Makongeni and Maji Tamu have a poverty prevalence of 50 – 60% as illustrated in the poverty map below.

Figure 15: Poverty Levels in Rongai Constituency by Location

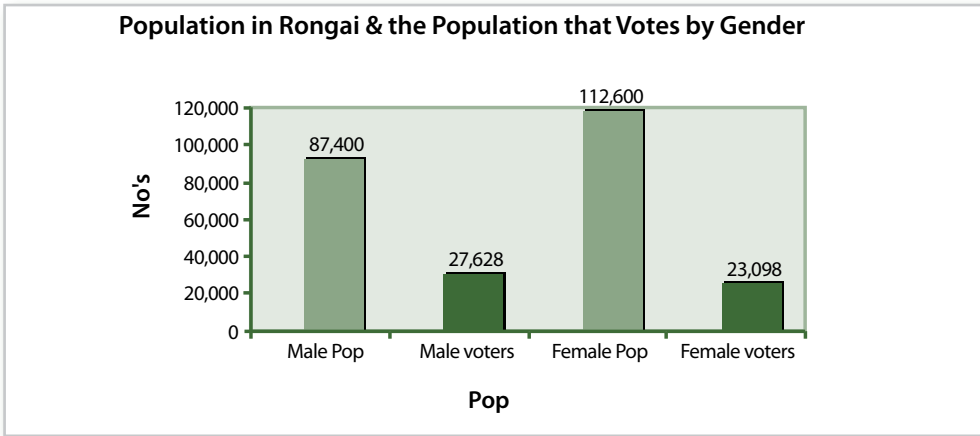


Source: KNBS, 2005

6. People's Participation In Rongai Constituency

- According to the Electoral Commission of Kenya (ECK) in October 2005, registered voters in Rongai constituency were 50,726. 54% were male and 46% were female as illustrated on graph 14

Graph 14: Voter Population by Gender



Source: www.eck.or.ke

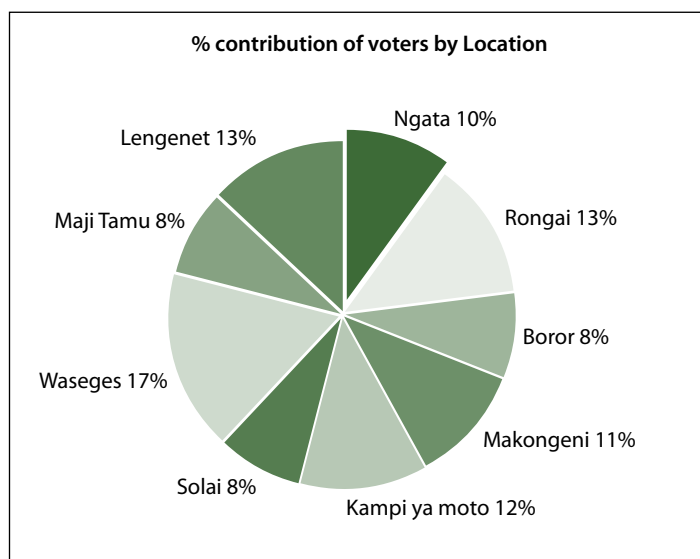
- In all the locations, there are more male registered voters than female voters.

Table 24: Voter Registration by Location and Gender in Rongai Constituency

Location	Male registered voters	Female registered voters	Total Voter Registration
Ngata	2,868	2,335	5,203
Rongai	3,783	2,888	6,671
Boror	2,214	1,895	4,109
Makongeni	3,252	2,314	5,566
Kamp i ya moto	3,459	2,762	6,221
Solai	2,242	1,818	4,060
Wa seges	4,372	4,283	8,655
Maji Tamu	2,008	1,819	3,827
Lengen et	3,430	2,984	6,414
TOTAL	27,628	23,098	50,726

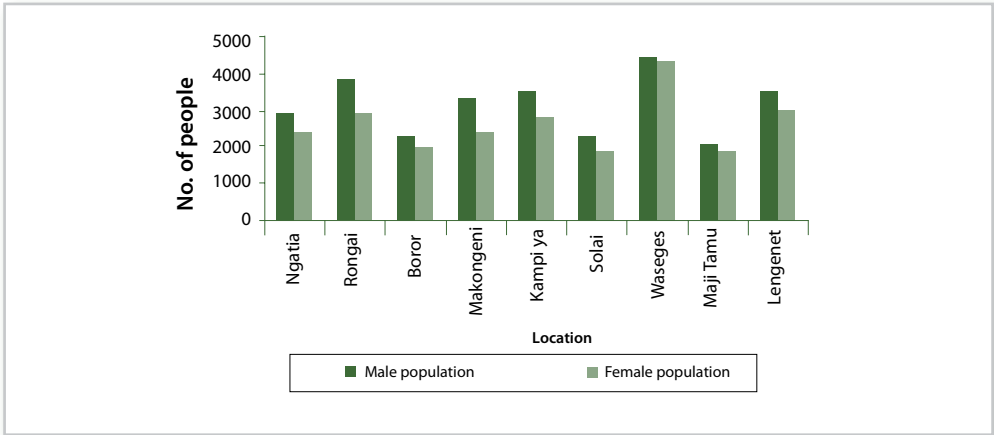
Source: *www.eck.or.ke*

Graph 15a: % Voter Registration in Rongai Constituency by Location



Source: *www.eck.or.ke*

Graph 15b: Voter Registration in Rongai Constituency by Location and by Gender

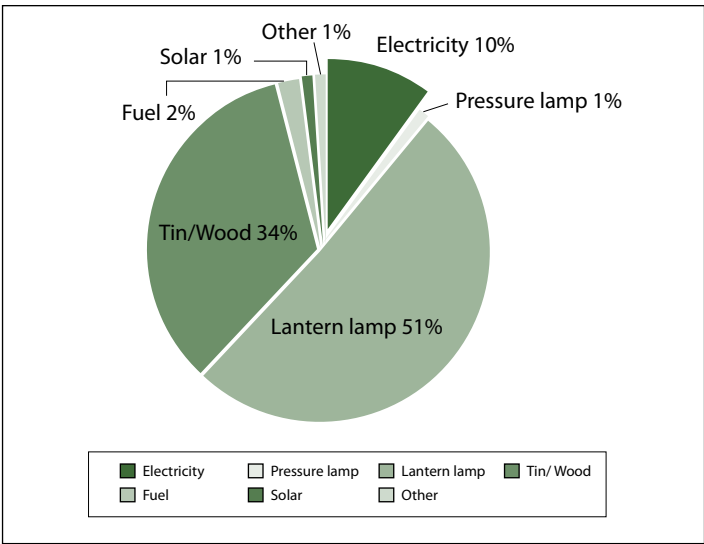


Source: www.eck.or.ke

- Waseges location has the highest voter registration (17%) and is the only one that is about to achieve a 50:50 voter registration ration between men and women.
- 17% of the votes come from Waseges Constituency, 13% from Rongai and 13% from Lengenet, 12%, 11% and 10% from Kampi ya moto, Makongeni and Ngata respectively. Boror, Solai and Maji Tamu have 8% each of the total votes as illustrated on graph 15a

7. Lighting

Graph 16: Lighting in Rongai Constituency

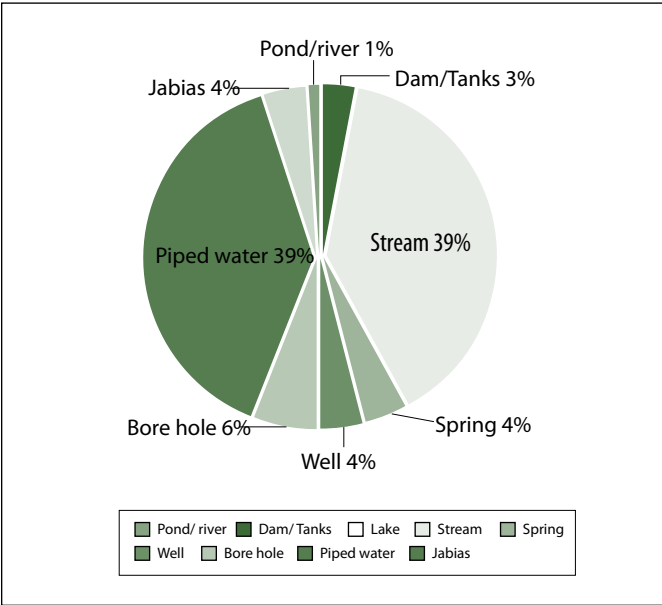


Source: Analysis from various government documents

51% of the constituency members use Lantern lamps for lighting, and 34% tin/Wood. Only 10% use electricity. 7.7% of the people in the district have access to electricity.

8. Water Source

Graph 17: Water Sources in Rongai Constituency

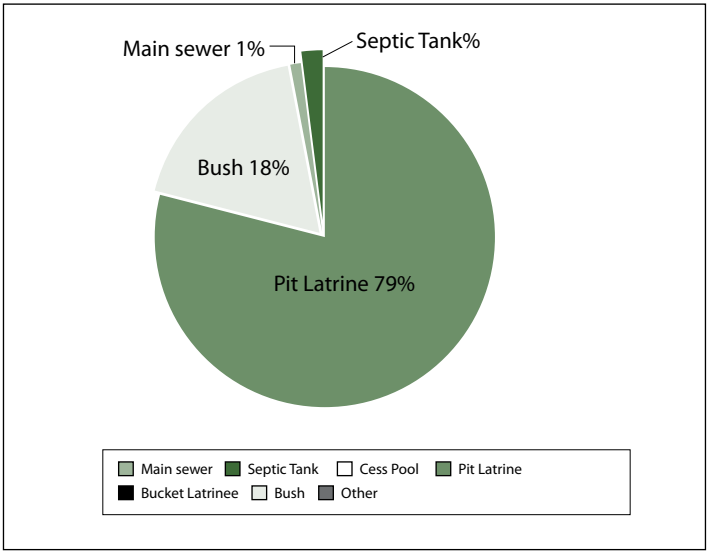


Source: Analysis from various government documents

39% of the constituent members have piped water. Another 39% get water from streams. Other sources include bore holes (6%), wells (4%) and springs (4%). The Districts access to piped water is at 42.3%. people without access to safe drinking water in the District are 45.9%.

9. Waste Disposal

Graph 18: Waste Disposal in Rongai Constituency

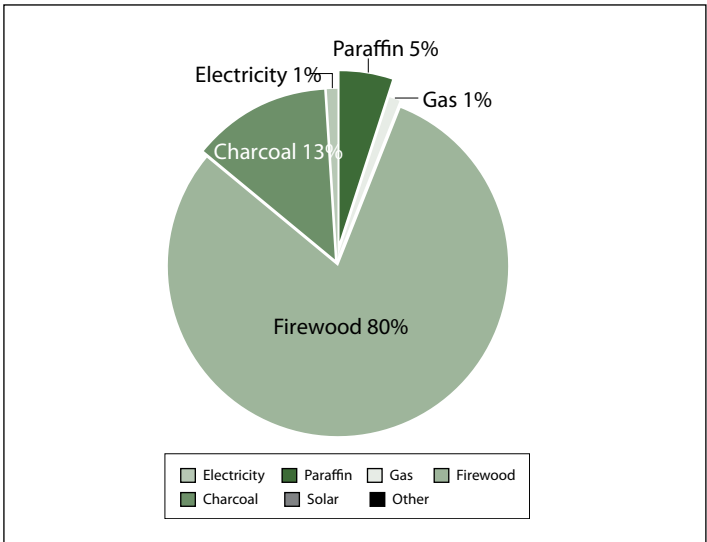


Source: Analysis from various government documents

79% of the population has access to pit latrines. About 18% of the population do not have access to safe waste disposal mechanisms.

10. Cooking Fuel

Graph 19: Sources of Cooking Fuel in Rongai Constituency

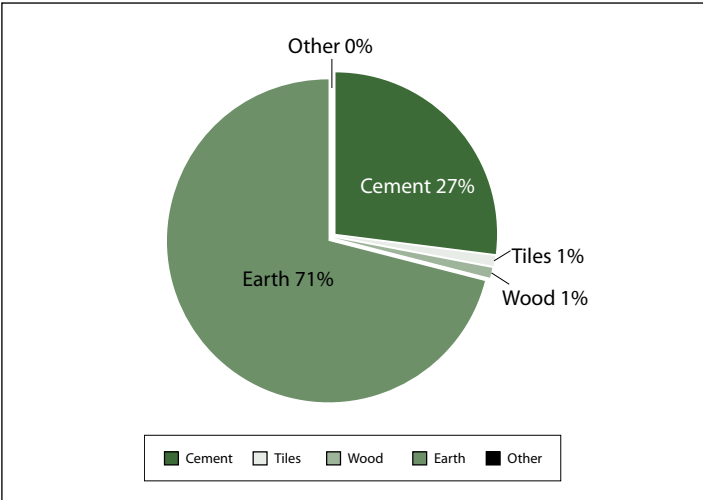


Source: Analysis from various government documents

80% of the population use firewood for cooking and 13% use charcoal. Only 5%, 1% and 1% use Paraffin, Gas and Electricity for cooking.

11. Floor Type

Graph 20: Floor Types in Rongai Constituency

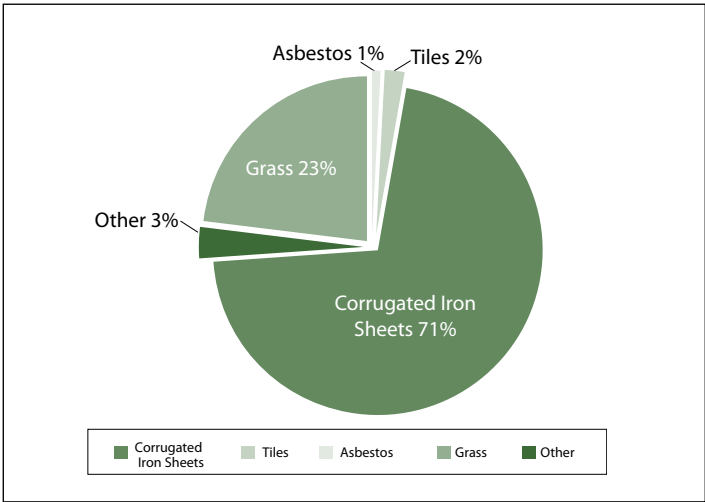


Source: Analysis from various government documents

71% of the population uses earth to floor their houses while 27% of the population uses cement for the floor.

12. Roof Type

Graph 21: Roof Types in Rongai Constituency

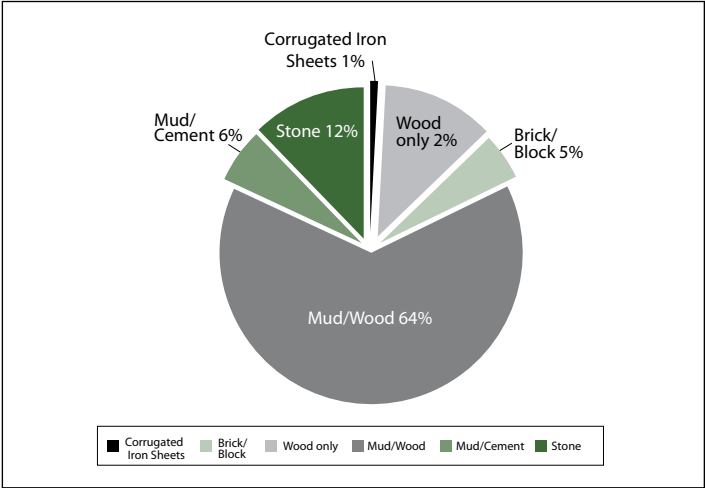


Source: Analysis from various government documents

71% of the population uses corrugated iron sheets while 23% use grass to thatch their houses.

13. Wall Type

Graph 22: Wall types in Rongai Constituency

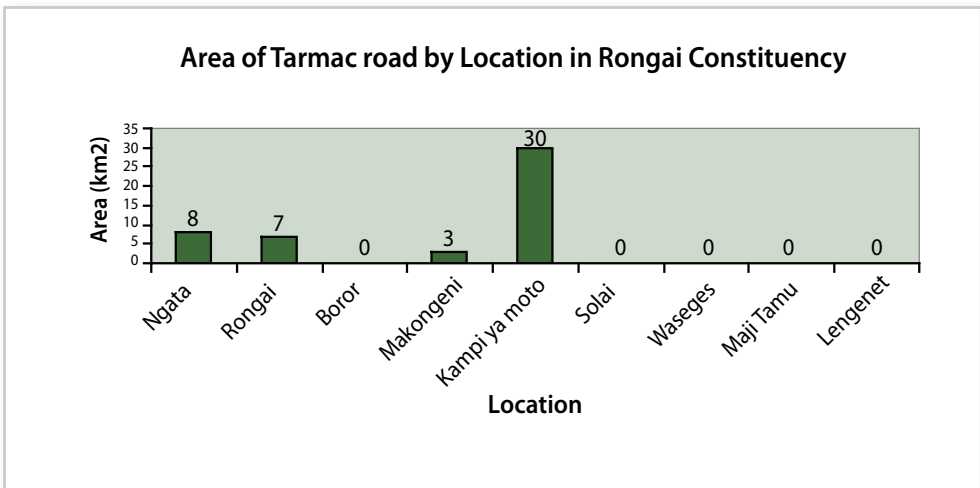


Source: Analysis from various government documents

64% of the population use mud/wood to build houses, 12% use wood and another 12% use stones to build. 11% use brick/blocks and mud/cement.

14. Road Network

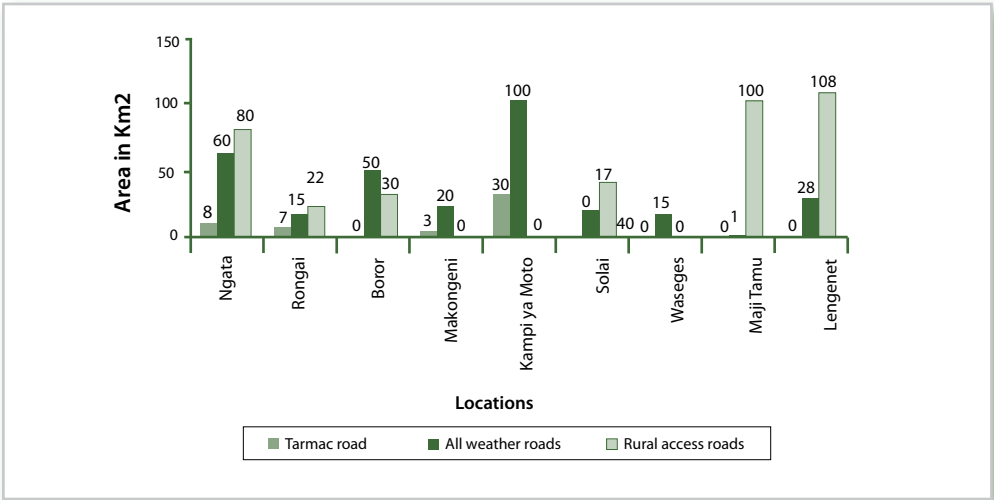
Graph 23: Area Covered by Tarmac Road in every Location



Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

The constituency has only 48 Km of tarmacked road. 30 Km is in Kampi ya moto location, 8 Km, 7 Km and 3 Km in Ngata, Rongai and Makongeni locations respectively. Boror, Solai, Waseges, Maji Tamu and Lengenet locations have no tarmac road.

Graph 24: Road Coverage and Type in Rongai Constituency by Location

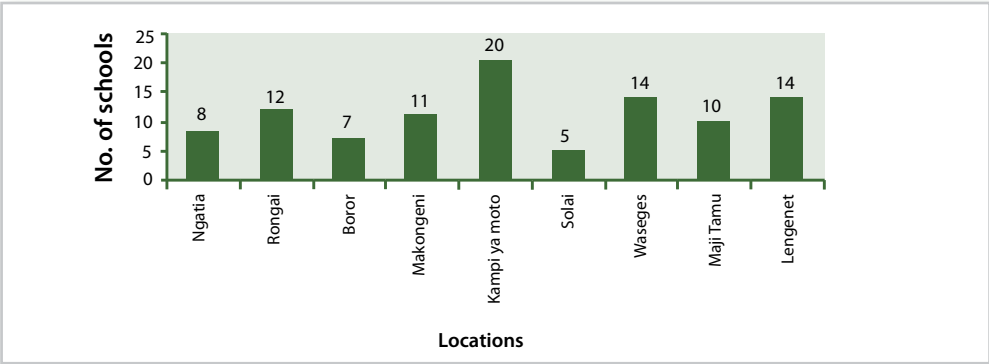


Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

The highest road network coverage is in Ngata location (148 Km), Lengenet (136 Km) and Kampi ya moto (130 Km). Maji Tamu has (101 Km), Boror (80 Km), Solai (57 Km), Rongai (44 Km), Makongeni (23 Km) and Waseges (15Km) of road.

15. Education

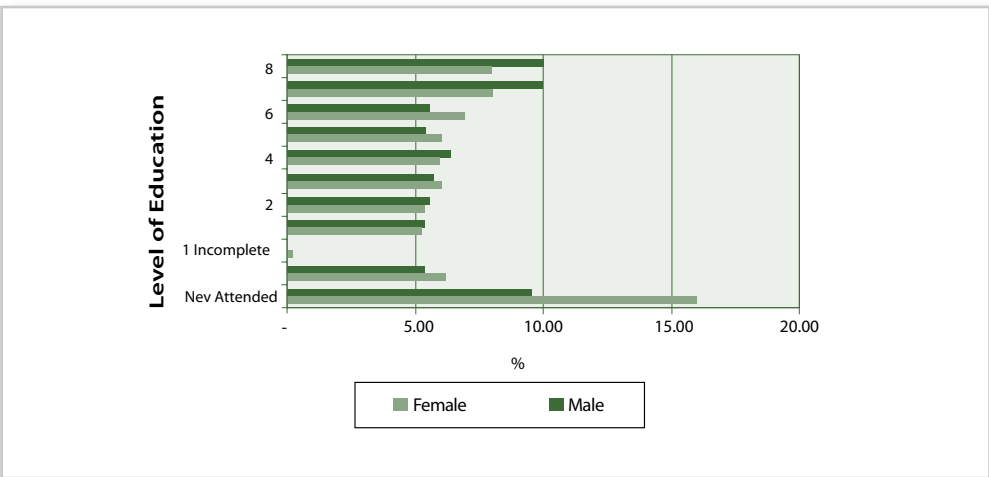
Graph 25: Primary School Distribution by Location in Rongai Constituency



Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

The constituency has 101 primary schools both private and public. Kampi Moto has the highest number of schools (20) followed by Waseges and Lengenet, both with 14, Rongai has 12, Makongeni has 11, Maji Tamu 10, Ngata 8, Boror 7 and Solai 5.

Graph 26: Primary School Completion Rate by Gender

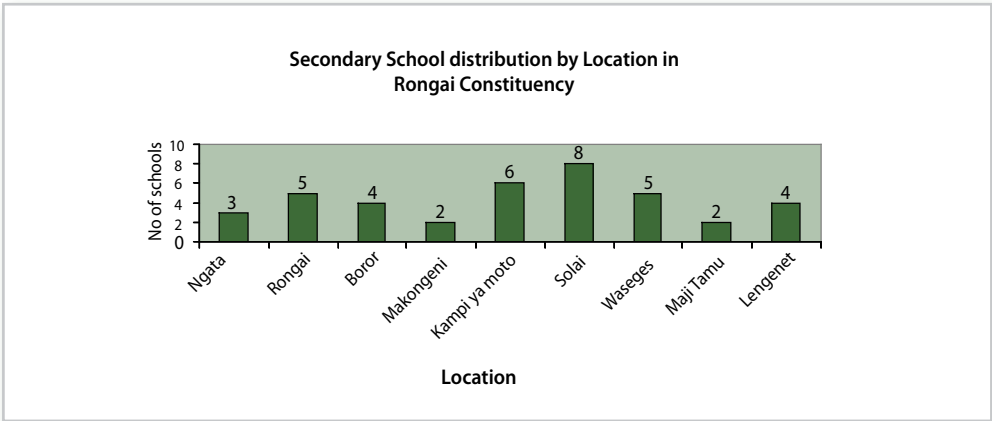


Source: Analysis from various government documents

According to the 1999 census primary schools completion rates were as illustrated in the graph. There were more women (15.94%) than men (9.52%) who never attended school in the constituency. More males completed class 7 and 8 than females,

indicative of higher drop out rates at this level of the girl child than the boy child. There is need to clarify if this is still the case.

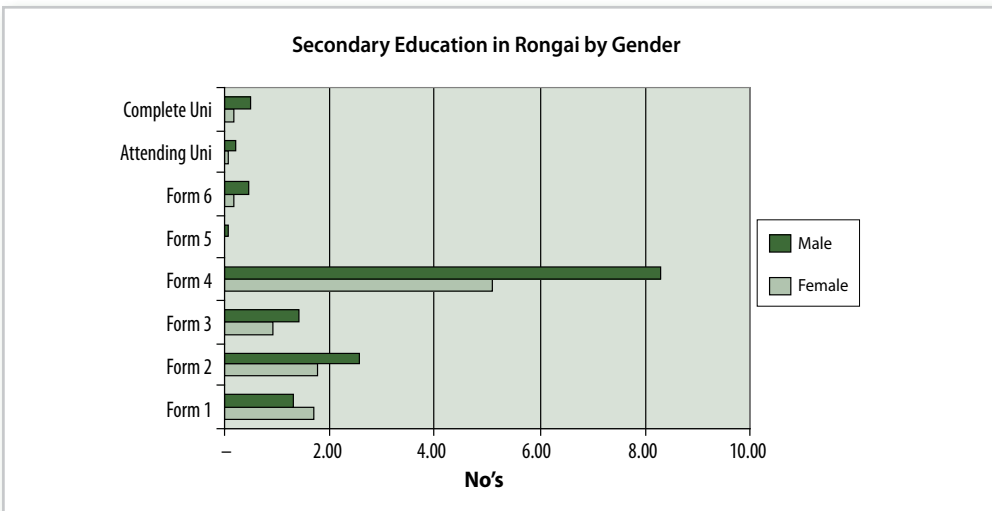
Graph 27: Secondary School Distribution by Location in Rongai Constituency



Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

The constituency has 39 secondary schools. 8 are in Solai location, 6, Kampi ya moto, 5 in Waseges and 5 in Rongai locations, 4 in Lengenet and another 4 in Boror locations, 3 in Ngata, 2 in Makongeni and 2 in Maji Tamu location.

Graph 28: Secondary School Completion Rate by Gender



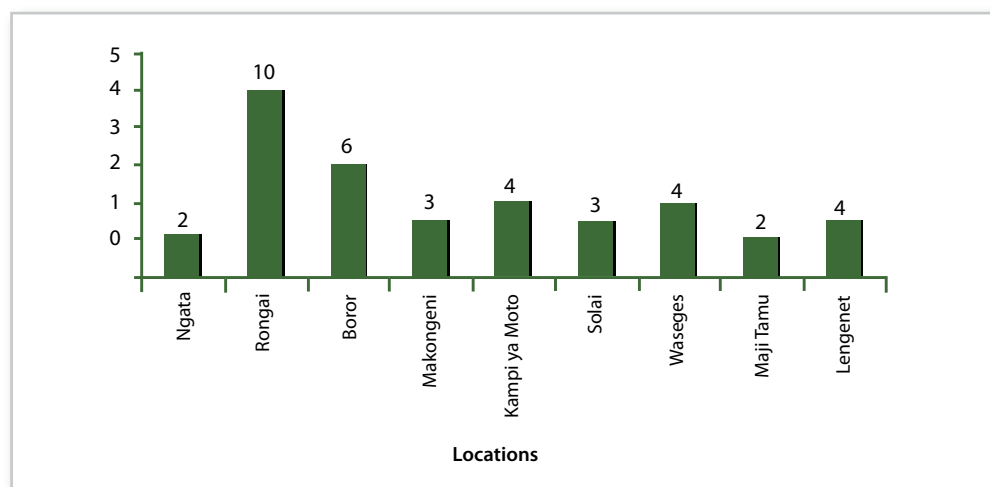
Source: Analysis from various government documents

More female students completed form 1. However in all the subsequent classes, more males completed than females.

- In the whole constituency, there are only three post secondary facilities. These include: 1 polytechnic in Waseges Location, 1 private college in Boror and Kabarak University in Kampi ya Moto and Lengenet locations.
- Generally, the higher the level of education, the lower the poverty prevalence. In Rongai constituency, % of people below poverty line in rural areas with no education were 58%, with primary education were 40% and with secondary education were 42%. % of people below poverty line in urban areas with no education were 71%, with primary education were 59% and with secondary school education were 41%.
- The teacher pupil ratio in the District is at 1:46.1
- The gross enrolment rate in primary school (2003) for boys was at 80.5%, and for girls was at 85.8%.
- The gross enrolment rate in secondary school (2002) for boys was at 17% and that of girls was at 12%.

16. Health

Graph 29: Health Facilities in Rongai Constituency by Location



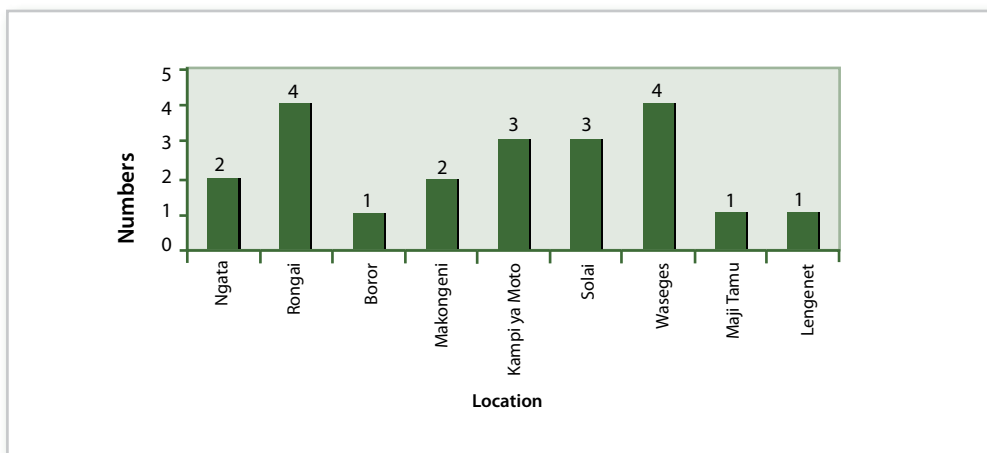
Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

Rongai location has the most health care facilities (10), followed by Boror (6), Kampi ya moto and Waseges (each 4), Makongeni, Solai and Lengenet (each 3), Ngata and maji Tamu (each 2) facilities.

- There are 42 doctors in the District
- The doctor patient ratio was at 1: 31,251 in the district.
- 52% of the people in the district did not have access to proper health care
- Fertility rate in Nakuru District is at 4.9 children per woman
- Infant mortality rate in Nakuru District is at 42.3 children per 1000 live births
- Under 5 mortality rate in Nakuru District is at 84 children per 1000
- There were 21.7% under weight children under 5 years.
- Life expectancy in the district is 57.4 years
- The average household size in the district is 4.59 people.
- HIV/Prevalence rate in the district (2000) were at 22.9%
- Prevalent diseases in the constituency include; Malaria, Typhoid, Urinary Tract Infections, skin diseases, STI's, HIV/AIDs, Amoeba, TB and pneumonia

17. Governance Issues

Graph 30: Police Posts/Stations in Rongai Constituency by Location

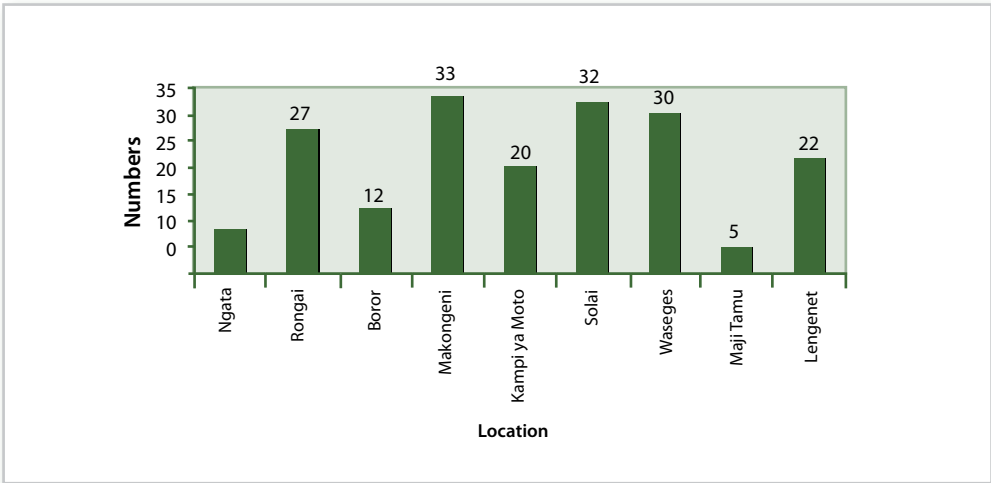


Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

Rongai and Waseges locations have 4 police stations/posts each. Kampi ya moto and solai (3 each), Ngata and Makongeni (2 each), Boror, Maji tamu and Lengenet (1 each).

- Dominant crimes in the constituency include; Rape, theft, cattle rustling, assault, illicit brews.

Graph 31: Police Officers in Rongai Constituency by Location



Source: Analysis of the Data Collected During the Rongai Strategic Plan, CEPED, Nakuru District PRSP and the DDP

Makongeni location has the most number of police officers in the constituency (33), Solai (32), Waseges (30), Rongai (27), Lengenet (22), Kampi ya moto (20), Boror, Ngata and Maji Tamu locations 12, 8 and 5 respectively.

The Institute of Economic Affairs (IEA-Kenya) is Kenya's first public affairs dialogue forum. It seeks to promote pluralism of ideas through open, active and informed debate on public policy issues. The IEA-Kenya is independent of political parties, pressure groups, lobbies and any other partisan interests.

Its mandate is to promote informed debate on key policy issues both economic and political and to propose feasible policy alternatives in these areas. In addition, the IEA-Kenya provides research backup to policy makers including Members of Parliament. Through its work, the IEA-Kenya provides alternative public policy choices and addresses the legal and institutional constraints to economic reform and growth.

Through the Futures programme, the IEA-Kenya seeks to facilitate increased utilization of futures methodologies (Vision Building, Scenarios thinking and Strategic Planning) in research, policy debate and decision making processes.



Institute of
Economic Affairs

P.O. Box 53989, 00200 Nairobi, Kenya
Tel: 254-20-2721262, 2717402 Fax: 254-020-716231
E-mail: admin@ieakenya.or.ke