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**MINISTRY OF PLANNING AND NATIONAL DEVELOPMENT  
THE REPUBLIC OF KENYA**

**THE DEVELOPMENT STUDY FOR REGIONAL DEVELOPMENT  
PROGRAMME IN NYANDO AND HOMA BAY DISTRICTS IN THE  
REPUBLIC OF KENYA**

**A GUIDELINE**  
**to prepare District Development Plan**

**AUGUST 2007**

**JAPAN INTERNATIONAL COOPERATION AGENCY (JICA)  
SANYU CONSULTANTS INC., TOKYO, JAPAN**

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## ACRONYMS AND ABBREVIATIONS

ADB	African Development Bank
AI	Appreciative Inquiry
AWPB	Annual Work Plan and Budget
CACC	Constituency AIDS Control Council
CBO	Community-Based Organization
CDF	Constituency Development Fund
CIG	Common Interest Group
DAC	District Agricultural Committee
DAEO	Divisional Agriculture Extension Officer
DAMER	District Annual M&E Report
DC	District Commissioner
DDC	District Development Committee
DDO	District Development Officer
DDP	District Development Plan
DEC	District Executive Committee
DEO	District Education Officer
DFO	District Fishery Officer
DFSRD	District Focus Strategy for Rural Development
DLEO	Divisional Livestock Extension Officer
DMEC	District Monitoring and Evaluation Committee
DPU	District Planning Unit
DSDO	District Social Development Officer
ERS	Economic Recovery Strategy for Wealth and Employment Creation
FBO	Faith Based Organization
GoK	Government of Kenya
HIV/AIDS	Human Immuno-deficiency Virus/ Acquired Immune Deficiency Syndrome
IP-ERS	Investment Programme for the ERS for Wealth and Employment Creation
JICA	Japan International Cooperation Agency
LA	Local Authority
LATF	Local Authority Transfer Fund
LDC	Location Development Committee
MED	Monitoring and Evaluation Directorate
MPND	Ministry of Planning and National Development
MoF	Ministry of Finance
MTEF	Medium Term Expenditure Framework
NSC	National Steering Committee
NGO	Non-Government Organization
PCM	Project Cycle Management
PRSP	Poverty Reduction Strategy Paper
VDC	Village Development Committee
ZOPP	Objective Oriented Project Planning (in English)

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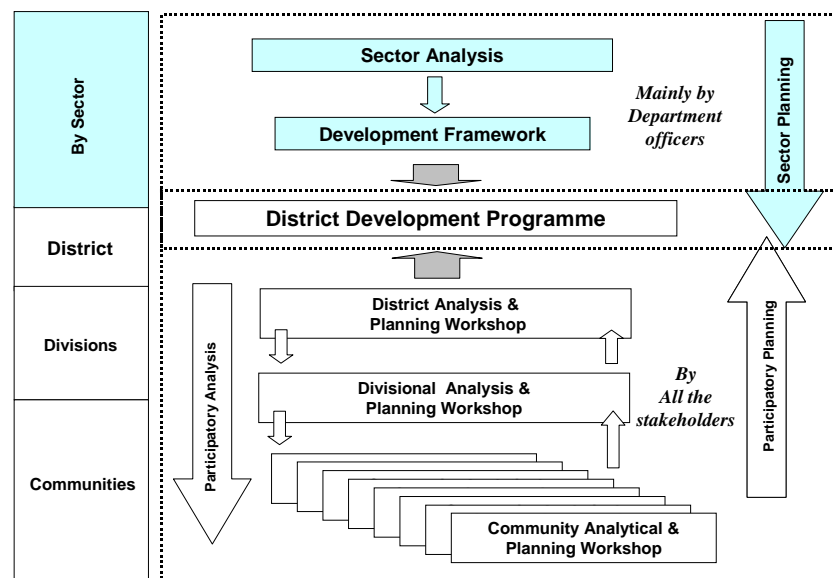
## CHAPTER 1 INTRODUCTION

This Guideline is presented as a reference for District Development Officers (DDOs) and those who are involved in formulating district development plan. Guidance incorporated in this Guideline is fully based on the pilot activities tried out under a JICA funded study, The Development Study for Regional Development Programme in Nyando and Homa Bay Districts, which commenced in July 2005 and was completed in May 2007.

So-called Sector Approach has in the past provided a main tool for formulating such regional development plans. Then it has been followed by Participatory Approach where local population themselves participate in planning to identify local issues and future visions, formulate concrete action plans and take actions by their own initiative to realize what they have planned. Under such historical flows, it is advised that issues prevailing on the ground should of course be identified by the people in the area, i.e. community level and then all these issues should be summarized at a wider level, say divisional level and district level. In this sense, participatory here does mean not only involving of local population but also all the stakeholders inclusive of government officers.

Prioritization of development components ought to be preconditioned by limited resources. Participatory approach is to facilitate the stakeholders with the venue of discussion and identification of the prioritization. Application of sector approach will help the stakeholders set the direction for optimal allocation of the limited resources and also for the prioritization to assemble the components into the district development plan. This sector approach in parallel with participatory approach will also supplement the planning process in streamlining public services and public infrastructure projects to support the local population to develop their capacity toward vitalization of local economy and acceleration of growth.

The approach of the planning in this Guideline is therefore a sort of hybrid, composed of **'participatory approach and conventional sector approach'**. As shown in the lower part of the figure on the right hand, identification of constraints and opportunities involve all the cadres of participants, who are also responsible for identifying the development approaches and strategies and then finally development programmes/projects with priorities. On the other hand, the upper part of the figure simplifies the



**Figure 1.1 Flow of the Hybrid Planning: Sector & Participatory**

conventional sector approach, which starts with sector analysis dealing with current ministerial sectors, identifies development constraints and opportunities inclusive of resources available in the district, and presents a development framework composed of timeframe, socio-economy, and land use and spatial allocation. All these outputs from the sector approach is to be presented as references to participatory workshops involving all the stakeholders such as local population, government officers, local authorities, NGOs, etc., during which consolidation and prioritization are to be made.

This Guideline is structured, aside from this Introduction, with three steps that are “Chapter 2 Sector Approach” – carrying out of situation analysis, identification of development opportunities and constraints, establishment of development framework, amongst others, “Chapter 3 Participatory Approach” – analytical participatory workshop, planning participatory workshops, identification of development approaches and strategies with priorities, etc., and “Chapter 4 Monitoring & Evaluation” – monitoring indicators, some areas to improve the present setting of monitoring and evaluation. In addition, the final chapter proposes the contents of the District Development Plan with the application of the planning method presented in this Guideline.

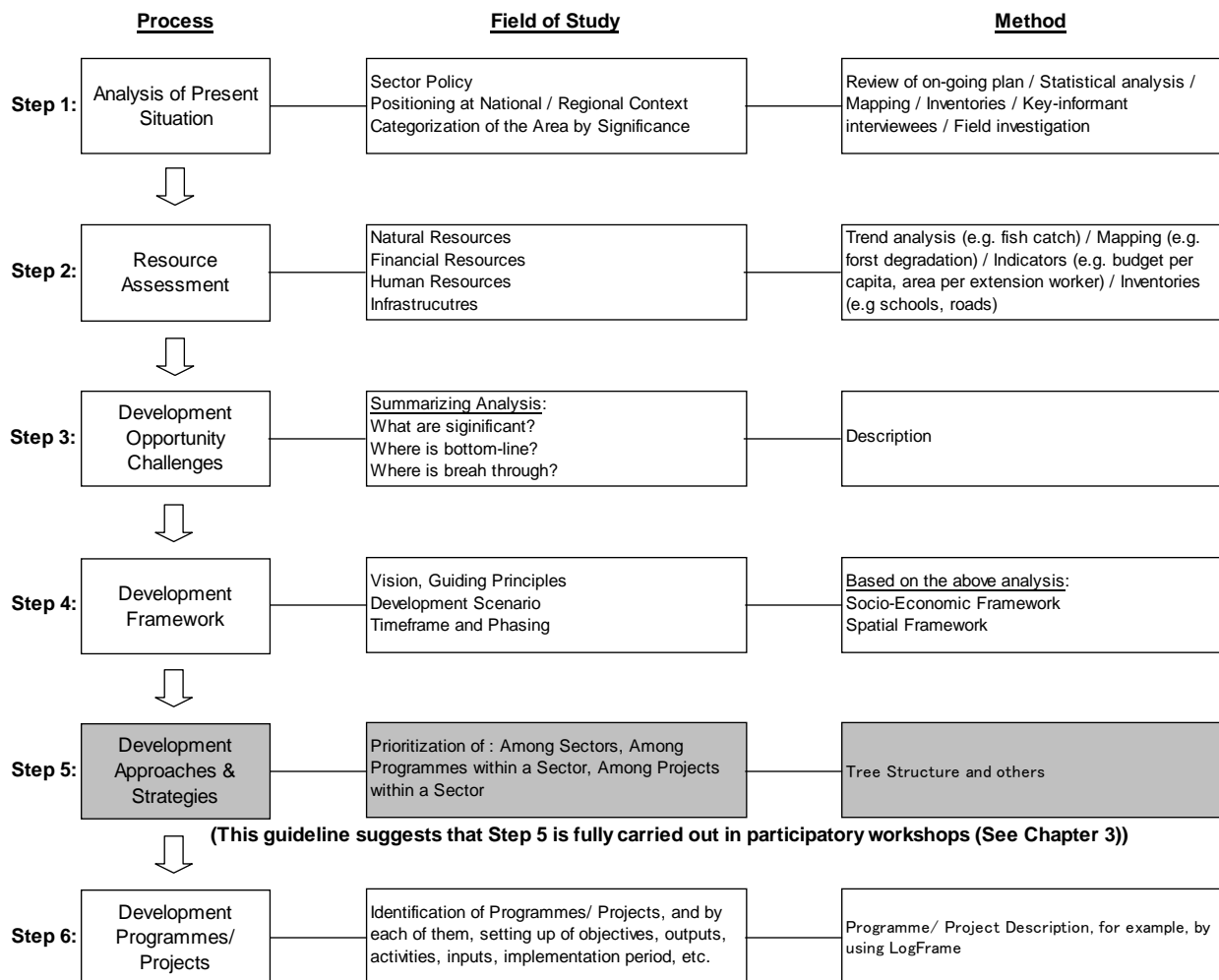
We expect the users to utilize this Guideline in fit of each circumstance and also to try out a standardization, which may be given by the Headquarters of the Ministry of Planning and National Development. Being still humble enough for over generalization, experiences in the pilot districts of Nyando and Homa Bay are illustrated as much as possible corresponding to the general description of the steps to indicate where the practices came from.

## CHAPTER 2 SECTOR APPROACH

This chapter gives guideline of how to apply sector approach, which is a conventional approach, in planning district development. It starts with overview of the process, followed by operation setting-up, and practice of the sector approach which is further explained by 6 steps. Note is that the sector approach here is to supplement the participatory approach discussed in Chapter 3 wherein all the identifications and priorities by development approach, by strategy, by programme/ project, and by area are to be made by the stakeholders. In this sense, all the issues discussed hereunder are to be presented to the participants during the participatory workshops, facilitating them to arrive at better understanding of the district situation and thereby sound decision.

### 2.1 Process of the Sector Approach

A typical process of sector approach in district development planning is: 1) Situation Analysis  $\Rightarrow$  2) Identification of Opportunities/ Challenges or Potentials/ Constraints  $\Rightarrow$  3) Establishment of Development Framework (vision, direction, socio-economic frame and spatial frame, etc.)  $\Rightarrow$  4) Identification of Development Approaches and Strategies  $\Rightarrow$  5) Formulation of Programmes/ Projects. The flow of the approach can of course be modified, detailed and adjusted into the circumstances you are dealing with. Following the line, this guideline describes a typical way of sector approach based on the steps undertaken in the pilot districts. Following figure shows the steps of the sector approach, steps 5 and 6 of which are overlapped with the participatory approach discussed in Chapter 3:



**Figure 2.1.1 Steps of Sector Approach**

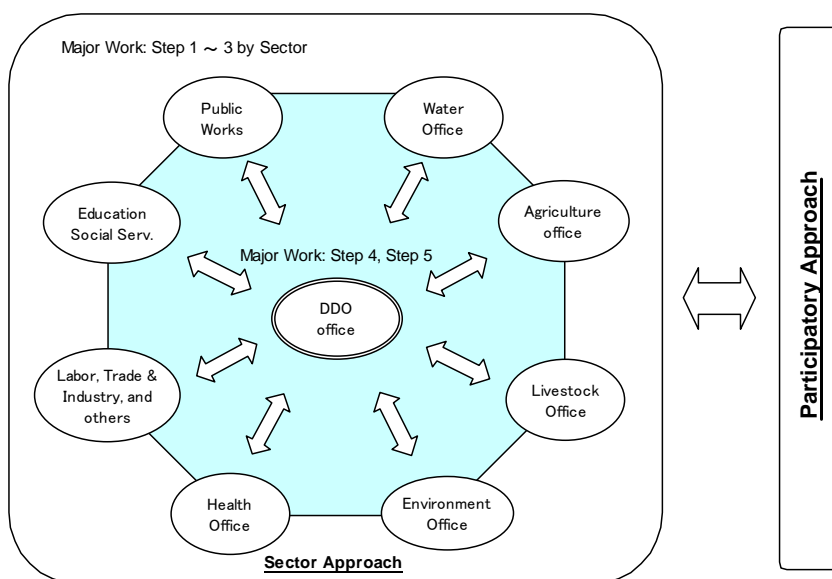


In this flow, situation analysis is divided into two steps: 1) analysis of present situation and 2) resource assessment. Identifying of development approaches and strategies is a temporal goal of this flow, followed by formulation of programmes and projects. The whole approach is combined with participatory approach to formulate the district development plan, and especially identification and prioritization of development approaches and strategies in step 5 shall be fully done in a participatory workshop. The participatory workshop can also undertake formulation of some prioritized programmes/ projects, but in most case detail programme/ project formulation would be practiced by line ministries officers as in the step 6.

## 2.2 Operation Set-up

The sector approach should be undertaken by a team whose members are specialized in each concerned sector. Considering the district administrative setting, members of the District Executive Committee can form the team presumably chaired by the District Development Officer. Specialists from each sector undertake the above steps. Each sector specialist can carry out Step 1 to Step 3 independently. However in dealing with some cross cutting data e.g. population, natural condition etc., they need to communicate with each other. Especially to deal with population data, DDO office should take key role to analyze them and offer the outputs to each specialist.

In getting into Step 4, DDO office should take the pivotal role to consolidate all the sector analyses to come up with summarized development opportunities & challenges, and subsequent development framework. DDO office could draft the Step 4, then get feedback from each sector and finalize the output to get into Step 5, which is carried out in participatory workshops (the output is presented at the participatory workshops). Figure 2.2.1 schematizes the operation set-up of the sector approach.

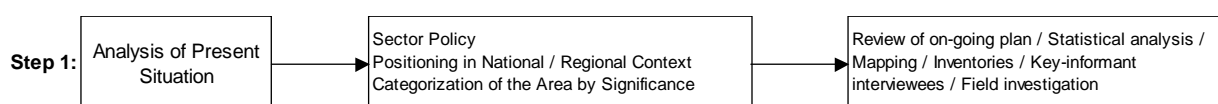


**Figure 2.2.1 Operational Setting-up of the Sector Approach**

## 2.3 Practice of Sector Approach

Described below is the sector approach by step, which shows some examples carried out in the pilot districts:

### Step 1: Analysis of Present Situation



The sector approach starts with the analysis of present situation in the target district. The fields of analysis, ways of summarizing analysis and survey methods are suggested as follows:

**Table 2.3.1 Situation Analysis (Field, Summary, and Method)**

Field of analysis	Summary	Method
<ul style="list-style-type: none"> <li>Natural condition</li> <li>Stakeholders</li> <li>Sector policy</li> <li>Basic statistics</li> <li>Basic issues</li> <li>And others</li> </ul>	<ul style="list-style-type: none"> <li>Positioning at national / regional Context</li> <li>Categorization of the divisions</li> <li>Trend Analysis</li> <li>Mapping</li> <li>And others</li> </ul>	<ul style="list-style-type: none"> <li>Review of on-going plan</li> <li>Statistical analysis</li> <li>Inventories</li> <li>Key-informant interviews</li> <li>Field investigation</li> <li>And others</li> </ul>

Following show some samples of present situation analysis:

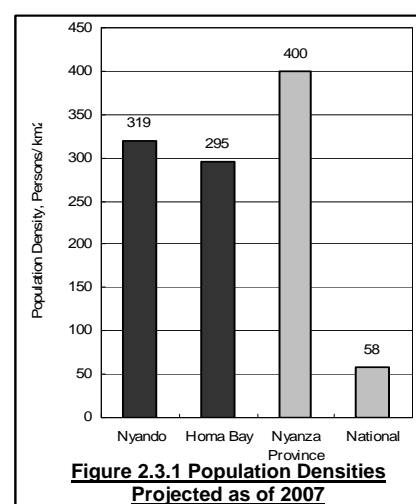
### **Sample 1: Positioning of the Target District**

Area coverage and population are foundation of formulating district development plan. These data shall be understood in compared with other districts or province or nation so as to clarify the position of the target district. Following Table 2.3.2 shows an example of viewing population of the pilot districts as compared to the province and the nation. Significant data can be presented as a form of chart, so that the significance is easier to understand. In case of the pilot districts, the population density is remarkably high as compared to the national average, and the data is presented as graph to emphasize this fact.

**Table 2.3.2 Population Projections by Year**

	Census Year	Years to Come			
Year	1999	2002	2005	2007	
Population					
National	28,686,607	31,517,142	33,445,119	34,652,581	
Nyanza Pr.	4,392,196	4,731,887	4,916,569	5,021,695	
Nyando	299,930	333,274	357,393	372,602	
Homa Bay	288,540	315,116	332,079	342,356	
Population Density					
National	48	53	56	58	
Nyanza Pr.	350	377	392	400	
Nyando	257	285	306	319	
Homa Bay	249	272	286	295	

Source: 1999 Census and Analytical Report Vol. VII



Statistical data such as birth rate, fertility, mortality, other health status, agriculture production, livestock production, etc. of the target district should be collected and compared to other districts, province and nation to identify the positioning of the district in broader context. Table 2.3.3 below shows further examples of the data arrangement of the pilot districts comparing to the province and nation.

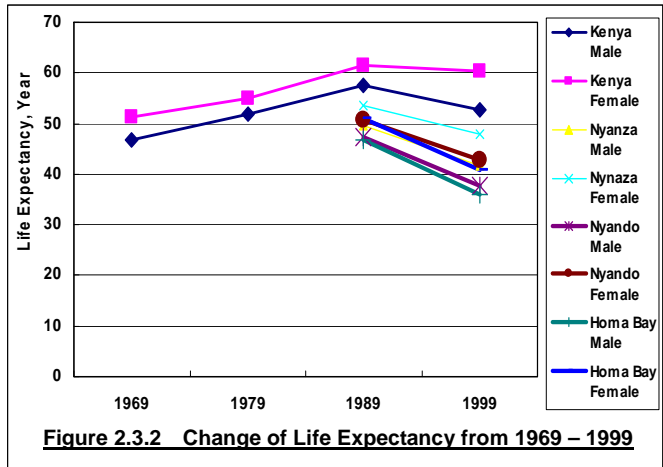
**Table 2.3.3 Development Indicators of Health Status compared to Nyanza and National**

Index	Nyando District	Homa District	Nyanza Prov.	National
Population Growth, %	3.4	2.7	2.3	2.9
Crude Birth Rate per 1000 Population	44.1	50.8	45.8	41.3
Total Fertility Rate per Woman	5.7	6.1	5.5	5.0
Infant Mortality per 1000 live births	116.1 (150%)	149.2 (193%)	111.6	77.3
Under-five Mortality per 1000 live births	212 (183%)	254 (219%)	192	116
Crude Death Rate per 1000 pop.	22.4 (191%)	25.1 (215%)	19.0	11.7
Life Expectancy at Birth, yr	Male: 37.7 (-15.1) Female: 42.9 (-17.5)	Male: 35.9 (-16.9) Female: 40.7 (-19.7)	Male: 41.7 Female: 48.0	Male: 52.8 Female: 60.4

Source: 1999 Census; Note: Percentage in parentheses is the magnitude against the national level.

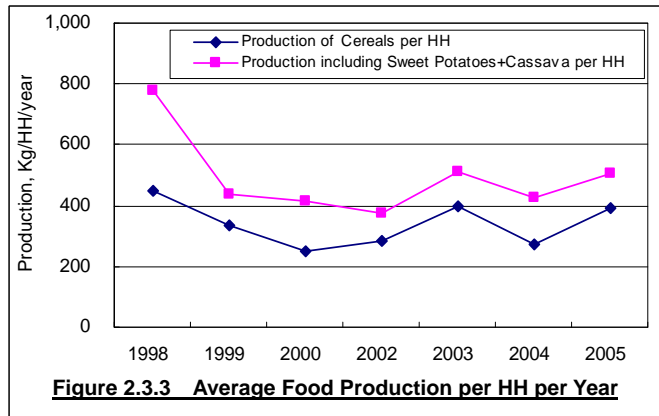
**Sample 2: Trend Analysis and Indicators**

Looking at trend of some indicators will give the historical position of the district. To present the data in graph is effective to show the trend. Figure 2.3.2 shows the life expectancy of the pilot districts by sex as well as of the nation. Astonishing fact is that the life expectancy in recent decade shows declining tendency and the tendency of the pilot districts is much worse than the national one. The data would support the prevalence and seriousness of HIV/AIDS in the districts. This data can be supported by the medical statistics on HIV/AIDS positive rate for pregnant women. Verification of data from various sources is also a critical procedure of the analysis.



**Figure 2.3.2 Change of Life Expectancy from 1969 – 1999**

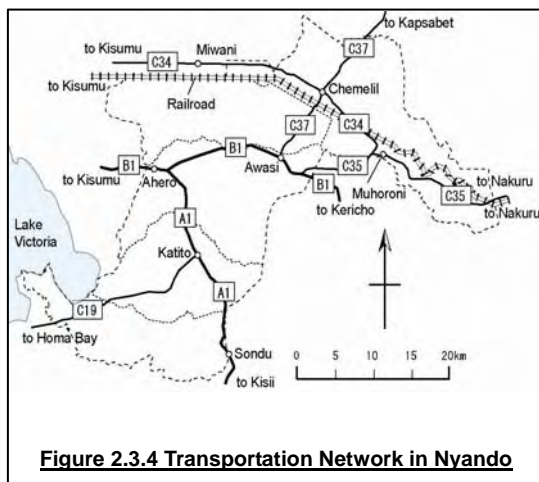
Trend analysis is carried out not only by using raw data but also by creating some processed indicators like production per acre, production per household, etc. Raw data of agriculture production can show the magnitude of production in the district. In addition to it, production per acre indicates the productivity of the land and production per household can indicate the self-sufficiency of the population or productivity of labour. Figures 2.3.3 shows an example of cereal production per household. The figure indicates that the cereal production per household basis is stagnant implying already self-sufficient or otherwise buying cereals.



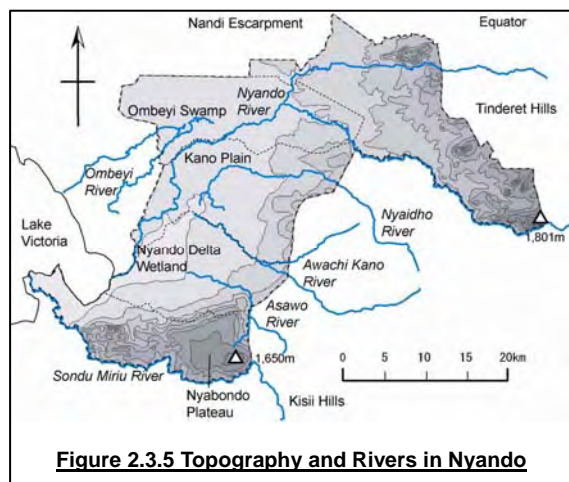
**Figure 2.3.3 Average Food Production per HH per Year**

**Sample 3: Geographical Positioning**

Using of map is useful to picture the situation of the district and categorize the areas within the district. GIS is a sophisticated tool to arrange information geographically. But provided that there is a single base map of the district, it can serve for preparing geographical data, cropping area, deforestation area, road network, etc. Figures 2.3.4 and 2.3.5 below show example of data presentation by map.



**Figure 2.3.4 Transportation Network in Nyando**



**Figure 2.3.5 Topography and Rivers in Nyando**

## Step 2: Resource Assessment



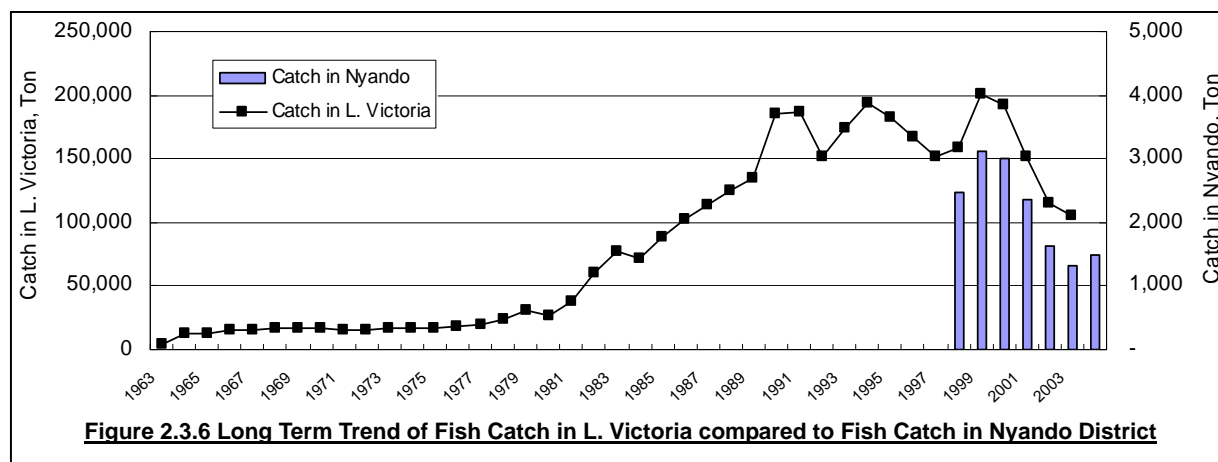
As part of the situation analysis, resource assessment is carried out. It examines the available resources to be used for development in the district. The resources are defined as natural resources, human resources, financial resources, infrastructures, and others. These resources are assessed by trend analysis, mapping, calculating some indicators, etc.

**Table 2.3.4 Resources to be Assessed and the Method**

Resources	Method
• Natural resources	• Trend analysis (e.g. fish catch)
• Human resources	• Mapping (e.g. forest degradation)
• Financial resources	• Indicators (e.g. production per capita)
• Infrastructures	• Inventories (e.g. school, water point, road)
• And others	• And others

### Sample 1: Trend Analysis

Trend analysis in long term will help see the current situation, magnitude of issues arisen, and future projection. Figure 2.3.6 below shows an example of trend analysis of fish catch in the Lake Victoria. Fish catch in Nyando District shows the equal tendency of the fish catch in the whole lake and the recent trend of fish catch shows significant decline. It can be felt as threat toward the future of fishery sector in the pilot district unless measure is taken. The trend shows implications on fishery activities in future, natural environment trend including water catchment for the lake, etc.



### Sample 2: Indicators

Several indicators are useful to assess the resources. Crop production per acre can indicate the productivity of the land. Current cropping area divided by arable land indicates current utilization ratio of natural resources. Such indicators are also applied to human resource factors, e.g. number of student per teacher, number of resident per doctor, number of household per agriculture extension staff etc.

### **Sample 3: Inventories**

Infrastructures can also be considered as given resources in the district. Indicators like number of household per well can be developed to assess current infrastructure resource. Also preparing inventories of infrastructures will be useful to find locations with poor infrastructures. Table 2.3.5 below shows an example of inventory, which shows the inventory of irrigation scheme established in the pilot district of Nyando.

**Table 2.3.5 Smallholder Irrigation Schemes in Nyando District**

Nr	Scheme	Division	Irrigable Area (ha)	Area Under Irrigation (ha)	No. of Farmers	Canal Status	Drain Station
1	Gem Nam	L/Nyakach	200	50	150	Poor	Poor
2	Kopudo	L/Nyakach	50	-	120	Fair	Poor
3	Wasare	L/Nyakach	1,000	400	1,020	Fair	Poor
4	Gem Rae	L/Nyakach	90	90	400	Fair	Poor
5	Nyachoda	Nyando	55	50	75	Poor	Poor
Omitted							
19	Kasiru Kolal	Miwani	100	80	200	Fair	Poor
Total			2,829	1,169	4,265		

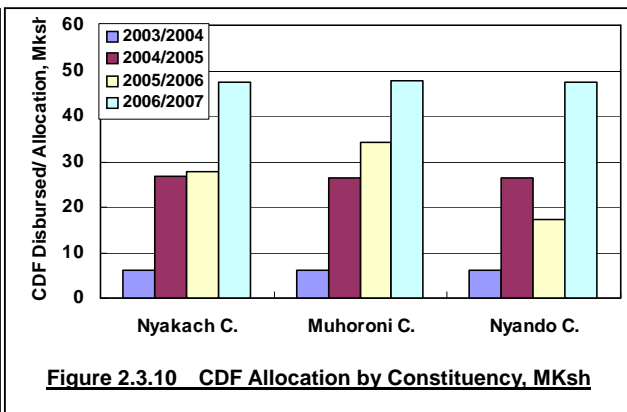
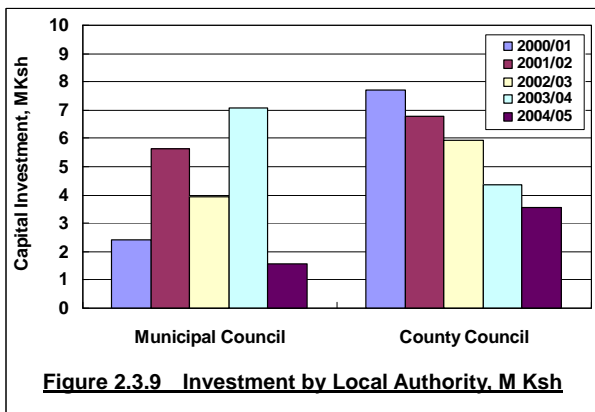
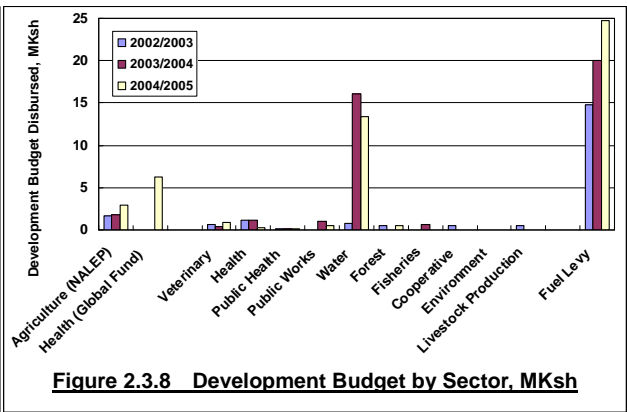
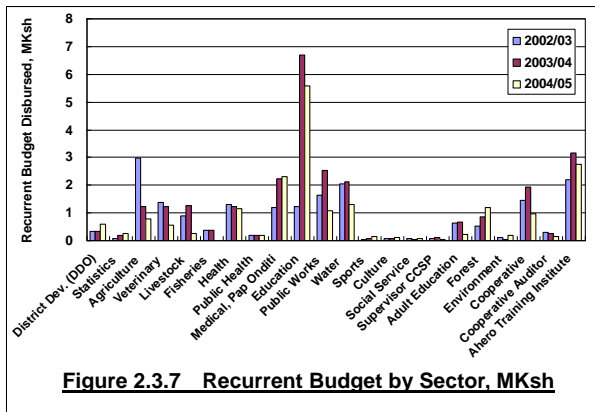
Source: District Irrigation Office, Nyando, 2004

⇒ Poor Canal: 7 schemes out of 19 (37%), Poor Drain: 15 schemes out of 19 (79%)

⇒ Canal and Drain are both poor: 7 schemes out of 19 (37%)

### **Sample 4: Financial Resources**

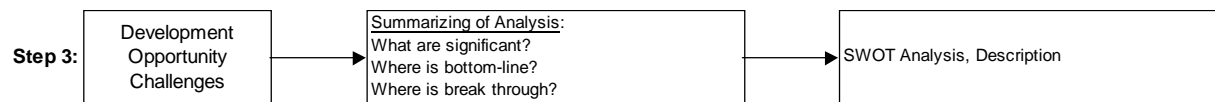
Financial resources are very important point in planning district development. To make a feasible plan, at least current status and also the trend of government budget allocation should be assessed. Available budgets for development in the district level are; line ministries' recurrent and development budgets, local authorities' capital investment out of LATF, Constituency Development Fund (CDF), Constituency Bursary Funds (CBF), Constituency Aids Control Council (CACC) Funds, etc. Following figures are examples of presenting government budget allocation in the pilot districts. It clearly shows which sector has more allocation than others. Trend analysis and indicators like budget per household can also be applied to assess and project the financial resources.



Line ministries’ budgets are always earmarked and in most cases limited, so that despite the participation in budget making and prioritization of projects all the priority projects cannot be funded. However, the examining of the state and trend of such funds contributes the planners, mostly district department officers, to proposing feasible programmes/ projects given budgetary prospective.

In nowadays context, CDF could be the biggest fund available within a district as exemplified by above figures, and it is given as block grant and not earmarked. LATF is also a kind of block grant, out of which capital investment can be done according to the local people’s priority. To allocate these block grant funds, priority amongst development programmes and projects should be well considered. An example of the prioritization is explained in the Chapter 3 ‘Participatory Approach’.

**Step 3: Development Opportunities and Challenges**



As a summary of the above analyses, opportunities and challenges for the development of the district should be identified. The subsequent development vision, guiding principles, and development strategies and programmes will refer to this summary aside from what will be given by a series of participatory workshops discussed in Chapter 3. The opportunities and challenges should indicate the bottom-line and also the frontier and potential of the district development, so that this summary will enable us to have development alternatives in a broader spectrum.

Summarizing of the analyses from various dimensions and sectors needs comprehensive thinking, which would be elaborated by repeated exercises in each and every occasion. Hereunder shows the headline of the opportunities and challenges identified by one of the pilot districts. Under the

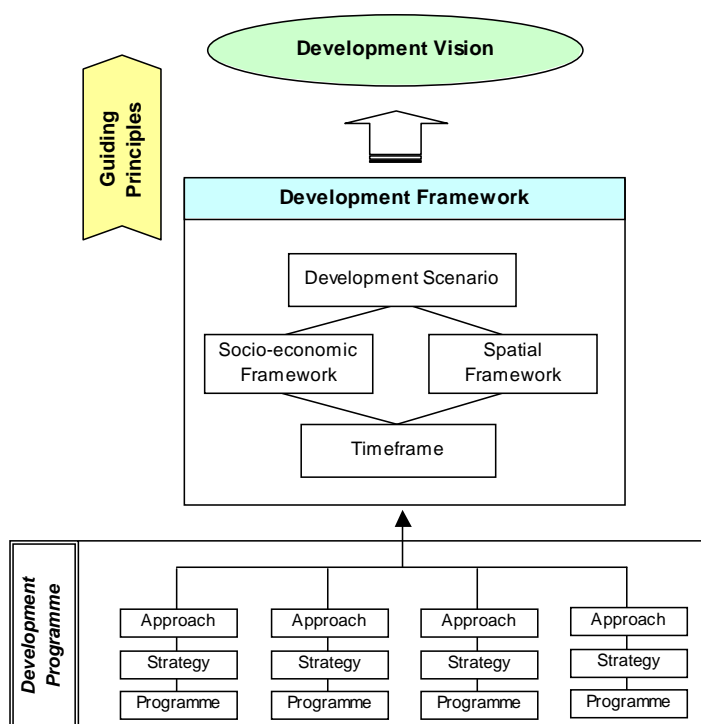
heading, some descriptions of why it is identified so and how it is utilized should follow.

<p><b>Major Development Challenges identified in Nyando District</b></p> <ul style="list-style-type: none"> <li>• Flood occurrence (once in every 3-4 years, flood occurs along Nyando River, damaging people's life)</li> <li>• Sugarcane Monoculture (With trade liberalization in COMESA countries, the industry be affected)</li> <li>• High Prevalence of HIV / AIDS (about 20% in 2004 for pregnant women)</li> <li>• Increase of Orphans and Vulnerable Children (about one out of 8 children is total orphan)</li> <li>• High Children's Mortality Rate (one out of five children cannot survive up their 5-year birthday)</li> <li>• Proposal Method making CBOs Resource Oriented (making less self-driven, in fact supply-driven)</li> <li>• Scarce safe Water (in some divisions such as Lower Nyakach)</li> </ul> <p><b>Major Development Opportunities identified in Nyando District</b></p> <ul style="list-style-type: none"> <li>• Technical Officers' Deployment at Divisional Level (at each and every division, still 4-6 officers posted)</li> <li>• Rice Farming Adoptable under Inundation (rive can be grown under inundation condition)</li> <li>• Active CBOs and Lead Local Persons</li> <li>• Proximity to Kisumu City (there is an opportunity to promote exports targeting Kisumu population)</li> <li>• Tree Planting Practices (many people are already used to tree plantation)</li> </ul>
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**Step 4: Development Framework**



Based on the development opportunities and challenges, a development vision and guiding principles are set to turn the situation analysis into development plan. Development framework is a possible picture of future district toward the development vision described as development scenario within it. The development scenario is described under the preconditions set by socio-economic and spatial frameworks and includes the process up to the end of the target period (timeframe) to move toward the development vision and with guiding principles. Development framework is the basis of comprehending and integrating programmes / projects across the sectors. Figure 2.3.11 shows a schematic concept of the development framework.



**Figure 2.3.11 Overview of Development Framework**

**Step 4.1 Vision and Guiding Principles**

Development vision is an overall goal of the district development plan, which will give direction of all the sectors toward the better future. The vision is an interpretation of what is the possible future of the district based on the development opportunities and challenges identified. Another setting, which is unique in this guideline, is to describe guiding principles. The guiding principles are settings, which can lead the people of the target district to the district development vision. By the time of describing vision and guiding principles, we may have the inputs from the participatory workshops to

be discussed in the next chapter, as well. The box below shows the vision and guiding principles set out in the pilot district.

**Development Vision in Nyando District**

In Nyando District, we can see diversified economic activities depending on the location from lowland to highland. Some of the lowlands, for example Miwani, Nyando, and Lower Nyakach Divisions, are prone to flood but in turn the areas are given the opportunity of growing rice which is a very good cash crop. In the northern parts of the District there is another cash crop which is sugarcane. In higher areas such as north-eastern part of Muhoroni and Upper Nyakach Division, climate tends to be cool and more rainfall can be expected. Therefore these areas are enjoying fruit trees, horticulture crops, and graded cattle have been introduced and doing well. Given these diversified natural conditions and different economic activities already taking place, it is recommended to set the development vision of the district as **“A District Enjoying Diversified and Sustainable Socio-economic Development”**.

**Guiding Principles**

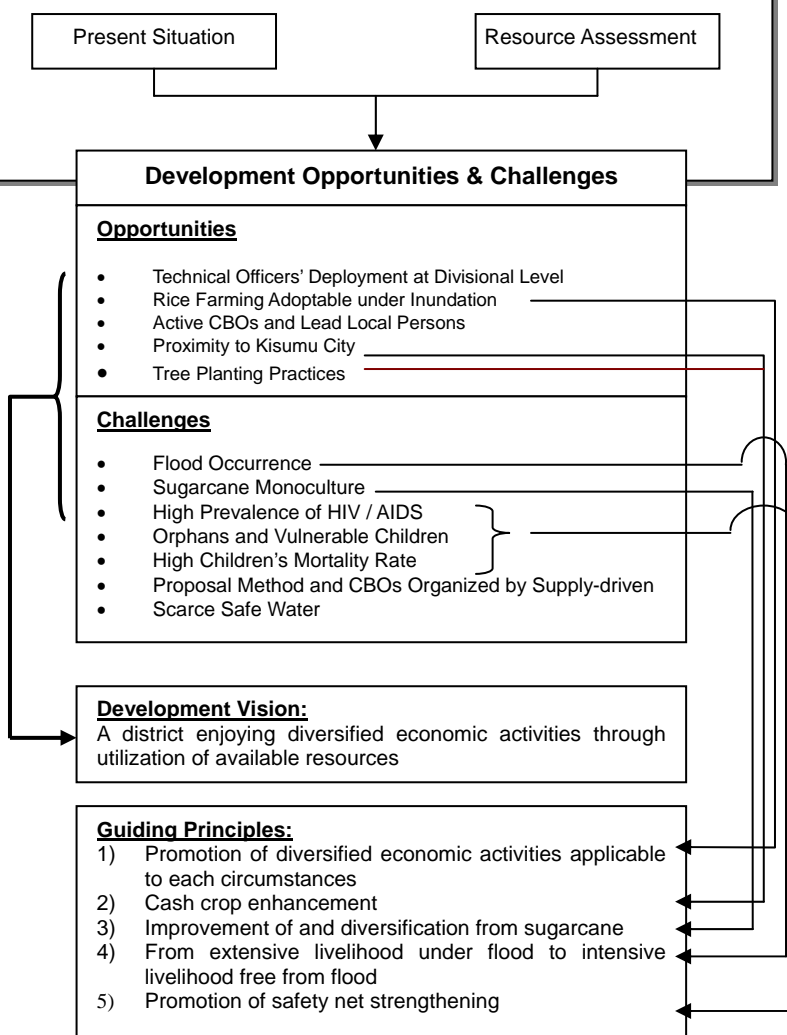
**1) Promotion of Diversified Economic Activities applicable to Each Circumstance**

The lowest elevation in Nyando is 1,134 m while the highest is 1,801m, showing big elevation difference of 667 m. Higher parts show up in Muhoroni and Upper Nyakach Divisions where they are blessed with rich rainfall, reaching sometimes over 1,500 mm. Parts of Nyando and Miwani Divisions are often hit by flood while Lower Nyakach and eastern part of Nyando Divisions suffer from drought. Thus, natural conditions vary very widely within this small District. Present economic activities also vary from division to division. Sugarcane prevails in the northern parts of the district, rice in low lands, horticulture in higher areas, upgraded milking cattle also in higher areas, and Lower Nyakach and Miwani Divisions are very much suffering from low economic activities. Lower Nyakach is less blessed with natural resources; soils are poor and rainfall is little. Taking into account all these wide range of different conditions, it is recommended that diversified economic activities should be pursued.

Other Guiding Principles are:

- 2) Cash Crop Enhancement
- 3) Improvement of and Diversification from Sugarcane Industry
- 4) From Extensive Livelihood under Flood to Intensive Livelihood Free from Flood
- 5) Promotion of Safety Net Strengthening

Schematic figure on the right hand side shows the process of turning the situation analysis into development vision and guiding principles. This process would somehow depend on the experiences and skills of the planners. The results of the sector analysis should be presented to participatory workshop at analytical level and also development vision and guiding principals should be presented to another participatory workshop at planning level. All these outputs so far are to serve the participants to the participatory workshops in order for them to understand the district situation in a broader setting and to see the clear picture of what the district should be like in future and how the way it is.



**Figure 2.3.12 Relationship among Planning Issues**



## **Step 4.2 Development Scenario**

A development scenario is designed from the viewpoints of:

- Timeframe
- Socio (macro)-economic framework, and
- Spatial framework

Hereunder describes the development scenario in order of timeframe, socio-economic framework and spatial framework:

### **Timeframe:**

The Government of Kenya has been preparing its own national, sectoral, and district development plans, and introduced a Mid Term Expenditure Frame (MTEF) in 2000/01, which is a three-year rolling budgeting system. Timeframe for the district development plan should be equivalent to the plan period of the National Development Plan to be given by the Headquarters of MOPND. Therefore, the timeframe of the development plan will be normally set as 5 years or otherwise 7 years.

In addition to this timeframe being as its short term, mid-term and also long terms may be put up only in relation to some development indicators, which are well correlated to broader development plan such as National Poverty Eradication Plan having the target year of 2015, Millennium Development Goal having the target years of 2015 and Vision 2030.

### **Socio-economic Framework:**

Socio-economic framework will help project the future status of the economy from macro-point of view and give basis for describing the priority development alternatives or scenarios. The Socio-economic framework is defined as to describe the socio-economic situation of the target area in the target year by using several indicators<sup>1</sup>. The several indicators, which would well frame the picture of an economy (district economy for this guideline), can be population, gross domestic products, income per capita, poverty incidence, etc.

Major input to be given to the stakeholders from the socio-economic framework is development alternatives with quantitative idea. The stakeholders who are familiar with the district should know about potential crops to develop, agro-industry sector to be given high priority etc. However, it needs certain work to assume how much the cultivated area for the potential crop should be expanded, or how many percent of annual growth rate of agro-industry sector is required to achieve the target income. The work of building socio-economic framework will contribute to giving such quantitative idea to the stakeholders.

- Population projection is the basis of the socio-economic framework. Based on the projected population, several scenarios to meet the well-developed magnitude of the economy given the projected population can be examined. What we can interpret from the framework very much depends on the degree of details of the data. Based on the data, we could project the increase of agricultural production, fishery production, increase of employment, capital formation, food self-sufficiency, etc. Here in this guideline, we indicate a way of establishing socio-economic framework with the data easily obtained within the district jurisdiction.

Using data at district level, household income per capita is estimated as the major indicator in this framework (procedure of building the socio-economic framework is detailed in Annex-1). In the

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<sup>1</sup> T. Hashimoto (2004), "Competitive Edge for Development Consultants", Engineering and Consulting Firms Association, Japan (ECFA)

pilot districts, scenario of “crop productivity (yield) increase and growth of rural self-employment” was employed as the development scenario.

Table 2.3.6 below shows an example of socio-economic framework, which was built up in one of the pilot districts. The first line shows population projection up to 2020, followed by household income. Then the change of distribution of household income among agriculture, rural-self employment, wage, urban self-employment and others, i.e. structural change of industries is calculated. At the bottom of the table, necessary growth rate of each category to achieve the income increase is indicated. The framework indicates that the rural self-employment sector would have to grow around 8% per year to achieve the target income at the end of the plan year (in this case 2020). Programmes / projects to strengthen rural self-employment should then be considered to achieve this target growth. This kind of information would help the stakeholders at the participatory workshop prioritize development approaches and strategies as well as formulating development programmes / projects.

**Table 2.3.6 Socio-economic Framework of Nyando District**

Year	2004	2005	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
District															
Population	349,419	357,393	380,279	388,002	395,767	403,687	411,766	420,007	428,412	436,986	445,731	454,652	463,751	473,032	482,498
Density	299	306	325	332	339	346	352	359	367	374	381	389	397	405	413
Annual growth rate	1.00	2.28	6.40	2.03	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
Increment ag/2004	1.00	1.02	1.09	1.11	1.13	1.16	1.18	1.20	1.23	1.25	1.28	1.30	1.33	1.35	1.38
Household Income (Ksh000)															
Crop	1,813,514	1,890,711	2,019,001	2,097,873	2,177,544	2,258,454	2,340,488	2,423,816	2,508,326	2,594,177	2,681,456	2,769,960	2,859,930	2,951,394	3,044,187
Livestock	537,255	549,519	584,704	596,579	608,518	620,696	633,119	645,790	658,712	671,896	685,341	699,057	713,047	727,318	741,875
Fishery	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478	58,478
Agriculture Total	2,409,247	2,498,708	2,662,183	2,752,930	2,844,540	2,937,628	3,032,085	3,128,084	3,225,516	3,324,551	3,425,275	3,527,495	3,631,455	3,737,190	3,844,540
Rural-self employment	463,317	510,384	638,740	694,977	754,642	818,632	887,217	960,771	1,039,613	1,124,180	1,214,922	1,312,228	1,416,683	1,528,850	1,649,264
Wage	1,158,292	1,213,344	1,331,017	1,390,285	1,451,283	1,514,621	1,580,364	1,648,732	1,719,810	1,793,843	1,871,047	1,951,501	2,035,539	2,123,403	2,215,243
Urban self employment	463,317	485,337	532,407	556,114	580,513	605,848	632,146	659,493	687,924	717,537	748,419	780,600	814,216	849,361	886,097
Other	138,995	145,601	159,722	166,834	174,154	181,755	189,644	197,848	206,377	215,261	224,526	234,180	244,265	254,808	265,829
Total	4,633,168	4,853,374	5,324,069	5,561,140	5,805,132	6,058,484	6,321,456	6,594,928	6,879,240	7,175,372	7,484,189	7,806,004	8,142,158	8,493,612	8,860,973
% of Food expenditure	65%	63%	61%	60%	58%	57%	55%	54%	53%	52%	50%	49%	48%	47%	46%
Annual income/capita (Ksh)	13,260	13,580	14,000	14,333	14,668	15,008	15,352	15,702	16,058	16,420	16,791	17,169	17,557	17,956	18,365
Monthly income/capita (Ksh)	1,105	1,132	1,167	1,194	1,222	1,251	1,279	1,308	1,338	1,368	1,399	1,431	1,463	1,496	1,530
Rural Population (75%)	262,064	268,045	285,209	291,002	296,825	302,766	308,825	315,005	321,309	327,740	334,299	340,989	347,813	354,774	361,874
Urban Population (25%)	87,355	89,348	95,070	97,000	98,942	100,921	102,941	105,002	107,103	109,246	111,432	113,663	115,938	118,258	120,624
% of food expenditure (Rura)	78%	77%	74%	72%	70%	69%	67%	65%	64%	62%	61%	60%	58%	57%	55%
% of food expenditure (Urba)	43%	42%	40%	39%	38%	37%	36%	36%	35%	34%	33%	32%	32%	31%	30%
Annual rural Income/capita(Ksh)	10,961	11,226	11,574	11,848	12,126	12,406	12,691	12,980	13,274	13,574	13,880	14,193	14,514	14,843	15,182
Annual urban Income/capita(Ksh)	20,155	20,642	21,281	21,786	22,295	22,812	23,335	23,867	24,407	24,959	25,522	26,097	26,687	27,293	27,915
Monthly rural Income/capita(Ksh)	913	936	964	987	1,010	1,034	1,058	1,082	1,106	1,131	1,157	1,183	1,209	1,237	1,265
Monthly urban Income/capita(Ks)	1,680	1,720	1,773	1,815	1,858	1,901	1,945	1,989	2,034	2,080	2,127	2,175	2,224	2,274	2,326
Household Income Share (%) (2002-2008 District Development Plan)															
Agriculture	52	51	50	50	49	48	48	47	47	46	46	45	45	44	43
Rural-self employment	10	11	12	12	13	14	14	15	15	16	16	17	17	18	19
Wage	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25
Urban self employment	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
Other	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
Annual Growth Rate (%)															
Agriculture		3.7	6.5	3.4	3.3	3.3	3.2	3.2	3.1	3.1	3.0	3.0	2.9	2.9	2.9
Rural-self employment		10.2	25.1	8.8	8.6	8.5	8.4	8.3	8.2	8.1	8.1	8.0	8.0	7.9	7.9
Wage		4.8	9.7	4.5	4.4	4.4	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3
Urban self employment		4.8	9.7	4.5	4.4	4.4	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3
Other		4.8	9.7	4.5	4.4	4.4	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3
Total		4.8	9.7	4.5	4.4	4.4	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3	4.3

### Spatial Framework:

The scenario of spatial development, i.e. spatial framework is also worked out considering the geographical relations. Spatial framework helps stakeholders to prioritize the development approaches, strategies and programmes / projects in terms of area allocation, e.g. Miwani Division in Nyando District could be given high priority in rice cultivation development since there are prevalent potential paddy fields in the division.

It is necessary to understand the geographical relations among spots (market centre etc.), lines (road network) and areas (farmland etc.). It should also be taken into account the fact that the people and products move beyond the boundaries of the districts. Therefore, the geographical relations will be mapped extending adjacent districts. Hereunder shows the example of spatial framework in the pilot districts.

### Land Use and Spatial Framework (Nyando District)

- No expansion of sugarcane is planned since the trade liberalization amongst COMESA countries to come in 2008 may affect the sugar industry.
- Cotton shall be considered as one of cash crops as well as of value added crops, which could also be alternative to sugarcane. Cotton is planned to be introduced/ extended to such divisions of Miwani, Nyando (eastern parts), and Lower Nyakach.
- Plantation of fruits, as one of strategic products, shall be increased. The focusing areas for the fruits are Upper Nyakach and Muhoroni taking into the climatic condition favourable to fruit production.
- Rice cultivation is strengthened in terms of both area and yield. Since most of the wet land may not be opened for rice cultivation, the area expansion is set by only 20%, which must be attainable by rehabilitation of existing irrigation schemes.
- Meat production is strengthened in Miwani area where the sugarcane production may be more affected after the 2008 COMESA liberalization. As for graded cattle, Upper Nyakach has the potential to be strengthened. Muhoroni Division has also the potential.
- Markets located in rural centres should be improved. For transportation, roads from Ahero Town to northern direction via Ombeyi and going to south should be well gravel-paved. Also, road connecting Awash with Katito should be well maintained all the time, otherwise eastern part of Nyando Division will be left out from the growth.

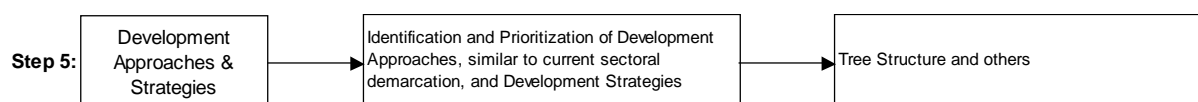
The map of Nyando District illustrates various agricultural zones: Sugarcane (top right), Cotton (top center and bottom left), Rice (middle left), Fruit (top right and middle left), and Tea/Dairy Cattle (bottom center). Key locations include Kisumu, Ombeyi, Masogo, Ahero, Chemeil, Awasi, Muhoroni, Katito, Nyakwere, Nyabondo, and Sondu. Major roads are shown as solid lines, and roads to be improved are indicated by dashed lines. A scale bar shows 0, 5, 10, 15, and 20 km.

### Land use and Spatial Framework (Homa Bay District)

- Most of the crops are to increase the area planted in keeping with the population growth, while fruits including pineapples in Rangwe Division are to increase by 50%.
- Yield of maize is targeted to increase by 50 percent over the plan period, so that the district is expected to export maize to the neighbouring districts.
- Paddy is planned to increase by 7 times in terms of area. This increase is realized upon the completion of Oluch River Irrigation System. The appraisal is already done, which is to be financed by ADB. The construction is expected to commence in 2007, and in three years the paddy area is to increase to about 480 ha from the present 70 ha.
- Dairy promotion should be programmed in Rangwe Division which is far away from Ruma national Park, avoiding of tsetse flies.
- As for increase of rural employment being one of the contributors to economic growth, rural centers located in those areas where strategic crops especially having potential of processing should be strengthened. Markets located in those centers should be improved.
- Road network in the north-eastern part of Rangwe Division should be improved, so the transportation to Oyugis town will be facilitated. The construction from Katito in Nyando District up to Kendu Bay has already started, and the extension to the Homa Bay Town is also under planning. To export surplus food crop to Migori, the existing road to Rongo should be improved but the road from Rongo to Migori is already well established. Therefore, once the surplus gets to Rongo, no hardship is foreseen to reach Migori. As the surplus of the food crop is increasing, the road to Mbita should also be improved.

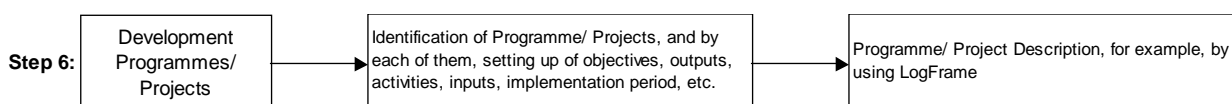
The map of Homa Bay District shows agricultural zones for Pineapple (top center), Dairy Animal (middle center), and Cereal (bottom left). Key locations include Kisumu, Nyando District, Ahero, Katito, Kendu Bay, Homa Bay Town, Mbita, Suba District, Rangwey District, Oyugis, Kisii, Rongo, Migori District, and Migori Town. Major roads are shown as solid lines, and roads to be improved are indicated by dashed lines. A scale bar shows 0 and 50 km.

### Step 5: Development Approaches and Strategies



Based on the development framework, various development alternatives (approaches and strategies) are consolidated in priority. In this guideline, this consolidation process is carried out by participatory approach. The outputs of the sector approach so far discussed are, therefore, used to facilitate the identification of development approaches and strategies in priority and then subsequently programmes / projects again to be identified in the participatory workshop. As a way of consolidating development alternatives, structuring in tree is useful. Figure 2.3.13 on the following page shows an example of a tree built up from development vision, approaches, strategies and programmes/ projects all agreed through participatory workshops together with priorities across approaches, strategies, consequently programmes/ projects, and also areas (divisions in most cases). To build the tree, see the discussion of next Chapter 3:

### Step 6: Development Programmes and Projects



The last step is to detail the programme/ project in terms of input, budget and prospective fund source, activities, outputs out of the activities, objectives, and indicators, etc. This process can be done in participatory workshop for some highly prioritized programmes/ projects, but in most cases relevant department officers should be in charge of the elaboration. To prepare the so-called programme/ project sheet, a simplified format can be used as shown below (Full Logframe should be used in each department annual work plan).

**Table 2.3.7 An Example of Programme Description**

<b>Programme No.</b>									
<b>Priority in approaches</b>									
<b>Priority in strategies</b>									
<b>Priority division(s)</b>	Nyando	L/Nyakach	Miwani	Muhoroni	U/Nyakach				
<b>Target groups</b>									
<b>Implementing agency</b>									
<b>Collaborators</b>									
<b>Objectives</b>									
<b>Rationale</b>									
<b>Project Implementation</b>	Yr 2008	Yr 2009	Yr 2010	Yr 2011	Yr 2012	Yr 2013	Yr 2014	2015(MDG)	
<b>Expected Outputs:</b>								Development Indicators	
<b>Major activities (corresponding to the number under Expected Outcomes):</b>						App. Cost, Ksh		Expected Source	
Project Risks (External factors which may affect the project success, but beyond the project management):									

Figure 2.3.13 An Example of District Development Framework

Priority	Vision	Approaches (Priority)	Priority	Strategies	No.	Programmes/ Projects	Priority Division				
							NY	LN	MI	MH	UN
High ↑ Low ↓	A District Enjoying Diversified and Sustainable Socio-economic Development	We get good income. (1st Priority)	1	We can grow more sugarcane.	1	Sugar Industry Strengthening Programme			●	⊙	
			2	We can harvest more rice.	2	Small Holder Rice Irrigation Improvement Programme	●	○	⊙		
			3	We can grow more horticulture.	3	Income Generation Activities (IGA) Promotion Programme	●		○	⊙	
			4	We keep healthy and productive livestock.	4	Livestock Improvement Programme	⊙	⊙	○	⊙	●
			5	We can do LGAs.	5	Cotton Revitalization Programme	⊙				
			6	We can find job opportunities.	8	Cottage Industry Development Programme					
			7	Quality and quantity of our yield is good.	9	Appropriate Agro-Technology Programme				○	○
			8	Livestock is not stolen.	10	Community Policing Programme					
			9	We get more income from fish.	11	Sustainable Fishery Management Programme					
		We have enough and nutritious food. (2nd Priority)	1	We plant enough and diversified subsistence crops.	12	Agriculture Extension Programme	○		○	⊙	
			2	Our farms are protected from floods.	13	Flood Control and Prevention Programme	⊙	○			
			3	Our production of crops is high.	14	Land Reclamation Programme		●	●	●	
			4	We keep healthy and productive livestock.		included in No.4					
			5	Post harvest management is good.		included in No.12					○
			6	We don't have many dependants.	15	Orphanage Support Programme					
			7	Our soil is fertile.	16	Soil and Water Conservation Programme					
		We are healthy. (3rd Priority)	1	We can drink safe water.	17	Water Supply and Sanitation Programme	⊙	○	●	○	⊙
			2	We have good sanitation system.		included in No.17		⊙			
			3	Promotion of Disease Prevention	18	Primary Health Care Promotion Programme		●	⊙	○	
			4	We protect ourselves from diseases.	19	Health Services Strengthening Programme	⊙		○	○	
			5	We can get proper medical care.	20	Nutrition And Health Improvement Programme			⊙		
			6	We have good recreational facilities.	21	Social Amenities Promotion Programme					○
		Our environment is protected. (Priority)	1	We do afforestation and reforestation.	22	Community Based Afforestation Programme		⊙		○	●
			2	We control floods.	23	Community Based Flood Protection Programme	○		⊙		
			3	We can manage solid and liquid waste.	24	Waste and Disposal Management Programme					
			4	Alternative sources for fuel are available.	25	Alternative Energy Promotion Programme					
			5	Erosion is prevented.		included in No.16		⊙		○	
			6	We manage air pollution.	26	Environment Awareness Campaign Programme					
			7	Environmental policies are enforced.		included in No.26					
		We control and manage cases of HIV/AIDS. (5th Priority)	1	We are aware of and protect ourselves from HIV and AIDS.	27	HIV/AIDS Awareness And Control Programme				●	
			2	We can easily access VCT centers.	28	VCT and PMCT Upscaling Programme	○		○		
			3	We have enough equipped patient support centers.		included in No.19		●			⊙
			4	We have quality home based care facilities.	29	Integrated Home Based Care Programme		⊙	⊙		○
		We get quality education. (6th Priority)	1	We can get good formal education.	30	School Materials Procur't & Improv't Programme		⊙	○		
2	We can get good informal education.		31	Functional Adult Literacy Programme	⊙	⊙	○		○		
Infrastructure is improved. (7th Priority)	1	Good drainage to protect from floods.		included in No.23							
	2	We have more access roads and foot bridges.	32	Rural Access Road Improvement Programme		○					
	3	We have good housing. Squatters are settled.	33	Squatters Settlement Programme							
	4	Electricity network is good. Telephone network is good. IT infrastructure is good.	34	Rural Electrification, It & Telecommunication Establishment Programme							

## CHAPTER 3 PARTICIPATORY APPROACH

This chapter presents a guideline of how we can practice participatory approach. The participatory here deals with not only the people on the ground but also all the stakeholders active in the district, who are line ministries' officers, representatives of CBOs, NGOs, provincial administrations, local authorities, etc. The major purposes of using the participatory process for planning district development plan are to make our plan more realistic and more responsive to the needs of the people, to formulate our plan with the consensus of many stakeholders, to iron out the differences between the macro-point of view and the micro-point of view, to integrate the opinions of different sectors, scopes, stakeholders, etc., and to formulate a comprehensive development plan for the district.

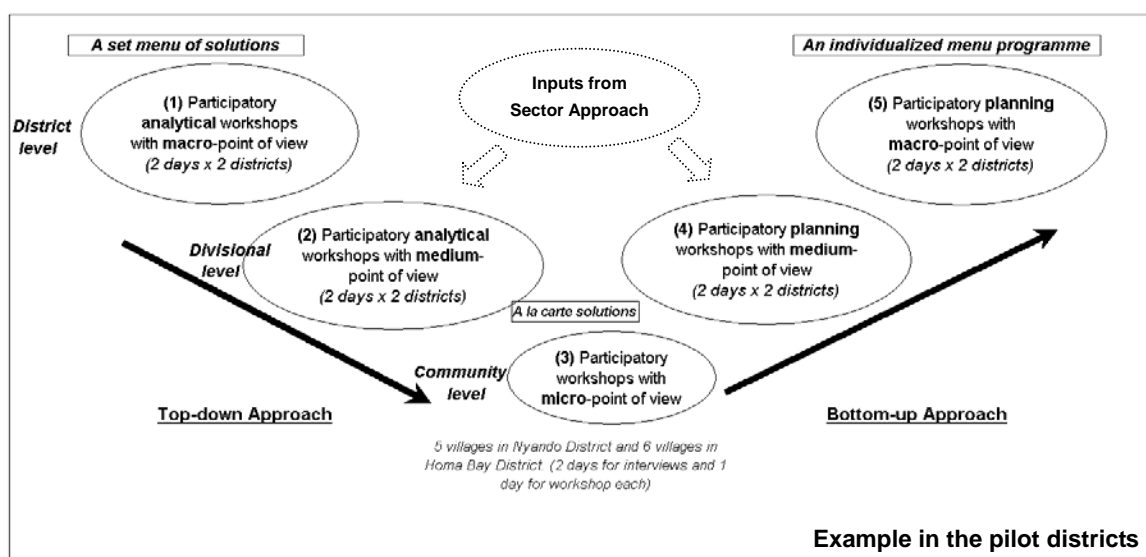
### 3.1 Outline of the Participatory Process

#### 3.1.1 Five Stages of the Participatory Process

There are five stages of the participatory workshops for formulation of a district development plan. We start from the macro-point of view or top-down approach to analyze the situation prevalent in the district, and then turn to the micro-point of view or bottom-up approach to formulate the development plan. We aim to convert the development plan from a set menu of solutions to a set of individual solutions by that way. The five stages of the workshops are as follows:

**Table 3.1.1 Five Stages of the Participatory Process, Contents, Standard Days, Places, etc.**

Stage	Level	Contents	Days	No.
1	District level (Analytical)	Participatory analytical workshop from the macro-point of view	2	1
2	Divisional level (Analytical)	Participatory analytical workshop from the medium-point of view, with all the divisions together	2	1
3	Community level (Analytical & Planning)	Participatory analytical & planning workshops from the micro-point of view (1 day per community)	1	1 per division <sup>1</sup>
4	Divisional level (Planning)	Participatory planning workshop from the medium-point of view, with all the divisions together	2	1
5	District level (Planning)	Participatory planning workshop from the macro-point of view	2	1



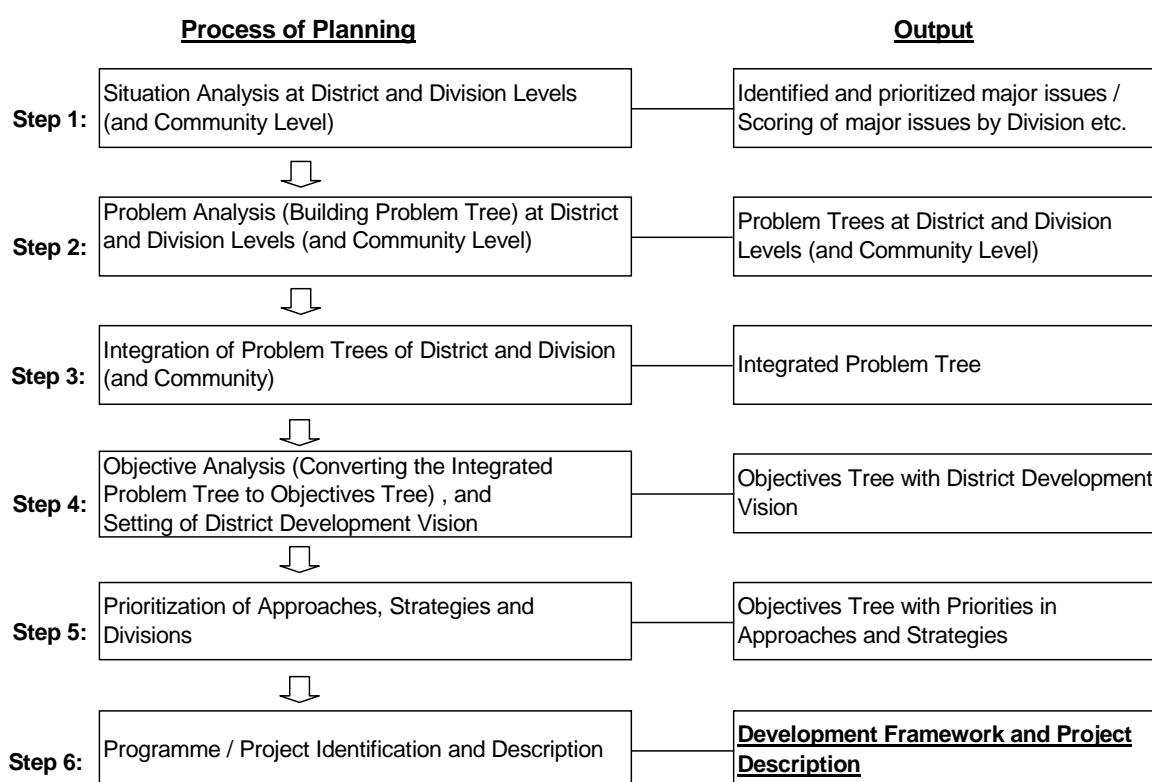
**Figure 3.1.1 Five Stages of Participatory Workshops for Planning District Development Plan**

<sup>1</sup> It is not realistic to have community level workshops at all the villages. In case of the pilot districts, we chose one typical village in each division (11 all together) as a sample village. We might need to skip this step, if resources do not allow.

### 3.1.2 Process of Establishing District Development Framework – A Platform of the Stakeholders

The core of the District Development Plan is to establish a Development Framework, which is structured with Development Vision, Development Approaches, Development Strategies, and Programme / Projects. These levels of approaches and strategies are put in order of priority by the consensus of the stakeholders in the district through the participatory workshops. The Development Framework is meant to be a platform of the stakeholders, where the stakeholders from various sectors and institutions can see the overview and direction of the district development plan, and also the priorities of their concerned field of development activities from the district development point of view.

Prior to go through the participatory workshops, here summarizes the steps to establish the Development Framework in the District. It starts with 1) situation analysis, and then go through 2) problem analysis, 3) integration of problem trees at district and division levels, 4) objectives analysis and setting of the vision, 5) prioritization of approaches, strategies and divisions, and 6) programme / project identification and description. All the outputs in each step are converged on the final output, the development Framework with programme / project description. Figure below shows the steps with their consequent outputs.



**Figure 3.1.2 Step to Establish Development Framework**

### 3.1.3 Who participate?

All the major stakeholders for the development of the district are welcome for the workshops. Since we have three levels of workshops such as district, divisional and community levels, the participants for each level of the workshops can be as follows:

#### 1) District level: Participatory analytical workshop with the macro-point of view (2 days)

- Representatives of all the line ministries at district level: District Development Officer, District Agriculture Officer, District Livestock Production Officer, District Works Officer, District Water Officer, District Irrigation Officer, District Social Development Officer, District Cultural Officer, District Manpower Officer, District Applied Technology Officer, District Veterinary Officer, District Forest Officer, District Fisheries Officer, District Education Officer, District Statistics Officer, District Medical Officer of Health, District Public Health Officer, District Adult Education Officer, District Cooperatives Officer, District Environment Officer, etc.
- Key representatives of the line ministries at divisional level: Divisional Agricultural Extension Officers, Divisional Livestock Extension Officers, Divisional Social Officers, Divisional Forest Officers, Divisional Education Officers, Divisional Public Health Officers, etc.
- Representatives of the local governments: Clerks of the Local Authorities
- Representatives of NGOs active in the district.

#### 2) Divisional level: Participatory analytical workshop with the medium-point of view (2 days with all the divisions together)

- District Development Officer
- Representatives and staff of the line ministries at divisional level: Divisional Agricultural Extension Officers, Divisional Livestock Extension Officers, Divisional Social Officers, Divisional Forest Officers, Divisional Education Officers, Divisional Public Health Officers, etc.
- Representatives of the local governments: Clerks of the Local Authorities
- Representatives of provincial administration: Chiefs (Locations) and Assistant-Chiefs (Sub-locations)
- Representatives of NGOs active in the divisions
- Representatives of CBOs active in the divisions

#### 3) Community level: Participatory analytical & planning workshops with the micro-point of view (1 day per community)

- Members of the community (Anyone of the community is welcomed.)
- Representatives of provincial administration: Chiefs (Locations) and Assistant-Chiefs (Sub-locations)
- Representatives of NGOs active in the area
- Representatives of CBOs active in the area

#### 4) Divisional level: Participatory planning workshop with the medium-point of view (2 days with all the divisions together)

- Same as the participants of divisional level participatory analytical workshops, plus



- Representatives of the communities

### 5) District level: **Participatory planning workshop with the macro-point of view (2 days)**

- Same as the participants of district level participatory analytical workshops, plus
- Representatives of the communities.

## 3.2 Participatory Analytical Workshop at District Level

In the 2-day participatory analytical workshop at district level, four major exercises are to be done:

- Review of Current District Policies and Plans (Day 1)
- Understanding of the Characteristics of the District (Day 1)
- Problems Analysis of the District (Day 2)
- Success Stories (Appreciative Inquiry) of the District (Day 2)

### 3.2.1 Review of the Current District Policies and Plans (Day 1)

Before starting situation analysis of the district, all the participants need to share the district policies and plans and also overall situation relative to the district development:

**Step 1:** Review of the Current District Development Plan (2002-2008) by DDO

**Step 2:** Review of current sector policies and plans in the district by each line ministry, and the outputs from the sector approach such as the results of situation analysis and trend analysis, opportunities and constraints, etc. are to be presented to the participants by respective line ministry's representative.

### 3.2.2 Characteristics of the District (Day 1)

The purpose of this exercise is to do a comparative analysis of the district by division with the representatives from all the major sectors and from all the divisions. By that way, we can assess the issues, strengths and opportunities, weaknesses and constraints across the divisions comparatively hence objectively:

**Step 1:** Identify major issues of the district, e.g. food security, livestock, health, water and sanitation, HIV/AIDS, roads, education, insecurity etc.

#### Example of Major Issues

Food security	Livestock	Health	Water and sanitation	HIV / AIDS	Road network	Education
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**Step 2:** Prioritize the major issues by simple voting or by ten seeds<sup>2</sup> etc.

#### Example of Prioritization

1. Food security	2. Health	3. HIV / AIDS	4. Road network	5. Water and sanitation	6. Livestock	7. Education
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**Step 3:** For each major issue, describe general situations of each division. It may work

<sup>2</sup> Each workshop participant gets 10 seeds of maize or any other and allocate the seeds to the issues according to his /her rating of priority, e.g. one can give all the ten seeds to one issue if he/she considers the issue is extremely important for the district, or 3 seeds to the first priority, 2 seeds to the second priority, and 1 seed each to the rest of the issues. It is up to the participants on how to allocate the seeds.

established in the pilot district, from which overview of the district by issue as well as by division can be clearly understood and shared amongst the participants:

**Table 3.2.1 Major Issues of the District (Example of Homa Bay District on 28 July 2005)**

General situations and issues	Rangwe Division	Asego Division	Riana Division	Remainder Omitted
	Narrative Summary	Narrative Summary	Narrative Summary	
1. Roads Network (8 votes)	Stable soil Major roads passing through it Borders 3 districts Politics	Served by major roads Under Municipality Also covered by County council	Poor soils Major rivers High rainfall Far from the District HQ	
2. HIV/AIDS and O.V.C.s (7 votes)	Borders the beach Social mobility Finances Institutional interaction Poverty (including Markets)	Social Mobility Higher population Borders the lakeshore Financial Flow Prostitution	No major commercial centers in Riana Land locked No idle population	
3. Health including immunization coverage, infant mortality rate and facilities (6 vote) GROUP 1: 1. Phillip Osewe, 2. Daniel Ouma, 3. Judith A. Ondiek, 4. Bruce Ndege, 5. Jacob	Social cultural beliefs High level of awareness Irregular supply of drugs Low net coverage Low latrine coverage Poor market sanitation and hygiene Lack of transport for capacity building (facility yes, but not fully utilized)	Good health facility Good road network Awareness well created	Poor road network Awareness not sufficient Poor water quality (only 2 Health facilities)	
4. Water & Sanitation (6 votes) GROUP 2: 1. George Deya, 2. Shadrack Manga, 3. Vincent Ogwang, 4. Joseph Ombija, 5. Emmanuel Yalo	Distance to clean water sources Poor quality of water Unstable soil Negative attitude Poverty	Unstable soil Pollution from economic activities Negative Attitude Poverty Distance to water source 2 km	Poor soil Poor quality of water Poverty Negative attitude on sanitation	
5. Food security (5 votes) GROUP 3: 1. James Omondi, 2. Michael Abuor, 3. Henry Ojow, 4. Francis Kaumba, 5. Michael Ongon'ga	Good soils Ample land Average rainfall Better communication	Unreliable rainfall Inadequate land High population density Poor agricultural practices	High soil fertility High rainfall Poor access to markets	
Remainder Omitted				

**Step 4:** For each major issue, score the divisions. To score according to five-grade system (1[lowest] to 5[highest]) usually works well. In the example shown on the right hand side, Muhoroni Division gets relatively good scores in Nyando District; namely, (1) Food security is 4 because productivity of Muhoroni is higher than other divisions, Score for (4) Floods is 5 because Muhoroni is blessed with highlands. On the other hand, Miwani and Lower Nyakach divisions are less blessed with development opportunities, given scores of 1 or 2 to many issues. This may suggest us to put priority onto Miwani and Lower Nyakach Divisions while planning the development of the district.

**Table 3.2.2 Scoring of the Major Issues (Example of Nyando District on 21 July 2005)**

	Nyando Division	Lower Nyakach Division	Miwani Division	Muhoroni Division	Upper Nyakach Division
(1) Food security	2	1	2	4	3
(2) Environmental degradation	3	1	3	3	3
(3) Prevalence of HIV/AIDS	3	1	1	3	2
(4) Floods	1	1	1	5	3
(5) Access to safe water	2	2	1	3	3
(6) Rainfall patterns	2	1	2	4	3
(7) Livestock productivity	3	2	3	4	3
(8) Sanitation	2	2	1	2	3
(9) Road network	3	2	1	3	2
(10) Orphans and other vulnerable groups	2	2	1	3	3
(11) Literacy level	3	3	2	3	4
(12) Human disease prevalence	3	3	1	3	3

**Step 5:** Identify strength, opportunities and future image of each division. Following the identification of major issues and also the scoring aforementioned, development strengths and opportunities ought to be identified by division. Strengths are internal resources of an organization or people such as knowledge, experience, technology and network which help to seize opportunities. Opportunities are favorable circumstances or changes which help an organization or people to

develop, or in other words which are not with them but can be utilized in pursuing development. Taking these strengths and opportunities into account, future image can also be put up and shared amongst the participants.

There may be discussions about weaknesses and constraints prevalent in the district and in each division. This discussion can also be summarized in the same form of Strengths and Opportunities. Note is that sticking on weaknesses and constraints tend to result in resource oriented development plan, whereby the development plan cannot be driven without resources. To avoid this problem, it is recommended to at first think of the development strengths and opportunities that the district can utilize on their own.

**Table 3.2.3 Strength, Opportunities and Future Image of Each Division (e.g. Homa Bay District on 28 Jul 2005)**

	<b>Rangwe Division</b>	<b>Asego Division</b>	<b>Riana Division</b>	
	Narrative Summary	Narrative Summary	Narrative Summary	
<b>Strengths</b>	Accessible roads Availability of Health facilities Strong agricultural base due to high rainfall in upper parts of Rangwe Available technical personnel Available labor Availability of water source lake at lower side of Rangwe Availability of market centers Availability of learning institutions Availability of other development agencies (collaboration) CBOs/NGOS Presence of Co-operative societies e.g. Ndori Coffee, Rangwe Dairy society Availability of materials Access to external markets e.g. Kisii, Rachuonyo	Good road network Well served with health facilities Has lake as a major source of water Has good Educational facilities Access to livestock disease control services Proximity to security apparatus Access to credit facilities Fish production center Skilled personnel	Fertile land Reliable Rainfall Ample land for Agricultural production Human Resources available Development structures available Political good will	<b>Remainder Omitted</b>
<b>Opportunities</b>	Land for agricultural production Fisheries production Suitable soil for brick making Agro-forestry Horticultural production (By irrigation) Livestock production Tobacco production Sugar cane production Cold storage for fish and horticultural products Cottage industries for groundnuts, pineapples and sweet potatoes	Irrigation Development Improved health status of population Improved (increased) investment Horticultural crop products Improved milk products Agricultural land Safe water supply	Markets for various products available Technical expertise available Education and Training opportunities available Development structures to be fully exploited Value adding to natural products Accessibility to credit facilities (e.g. banks) Health seeking behavior	
<b>Future Image</b>	Food security Healthy community Improved infrastructure Adequate clean water environment Strong economy Access to credit Improve security Reduced HIV/AIDS prevalence rate	HIV/AIDS free division Malaria free division Food secure division Livestock disease free division Well secured division Afforested division Economically empowered All weather roads network Safe water supply	Economically endowed society Healthy society Educated and informed society Socio-economically empowered society Secured society Industrialized society Leader in food production in the district Environmentally friendly society Food secured society	

### 3.2.3 Problem Analysis of the District (Day 2)

The Problem Analysis is a classical tool adopted by ZOPP of GTZ and Project Cycle Management (PCM) of JICA. It was originally a tool for factory production lines to find out the areas where they can improve. Defective parts or low productivity can be caused by bad design of the parts, poor quality of the materials, wrong line arrangement, outdated machines, low morals of the workers, etc. Problem Analysis is a tool to find such causes and prioritize them.

Use of the Problem Analysis for formulating a development plan is a little different from the usage for typical classical development projects. For project planning, we need to find out a specific problem to solve so that a project can complete the mission in a pinpoint manner. For district development

planning, however, we need to find out all the major issues and prioritize them as alternatives. That is why the scope of the Problem Analysis for project planning needs to be specific, while the scope for regional programme planning, say district development planning, needs to be general.

**Step 1:** Identify several major problems of the district.

**Example of Major Problems**

Our income is low.	We are not healthy.	Food production is not enough.	Living standards of people are low.	Road network is poor.	Agricultural production is low.	It is difficult to find jobs.
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**Step 2:** Choose one of the major problems as the core problem.

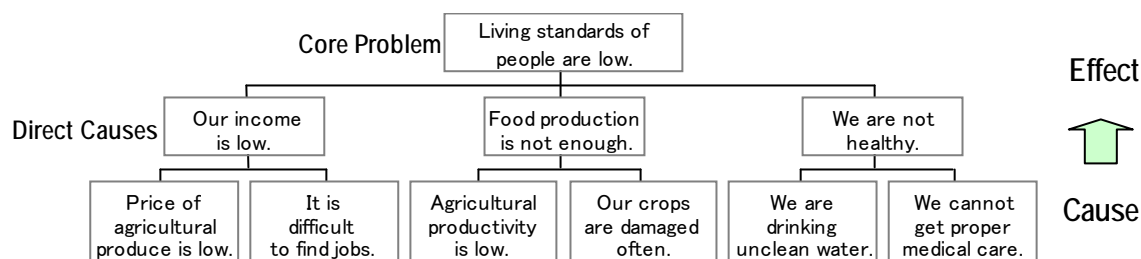
The core problem for formulating the district development plan needs to be a wide one so that all the major problems identified can be covered. **We suggest that “Living standards of the people are low” would better be employed as the core problem for the regional development planning** as in the following example, because it can cover broad spectrum of issues of income, health, food production and so on.

**Example of Core Problem**

Our income is low.	We are not healthy.	Food production is not enough,	<b>Living standards of people are low..</b>	Road network is poor.	Agricultural production is low.	It is difficult to find jobs.
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**Step 3:** Write the direct causes, which are in the first row under the core problem.

**Example of Core Problem and Direct Causes**



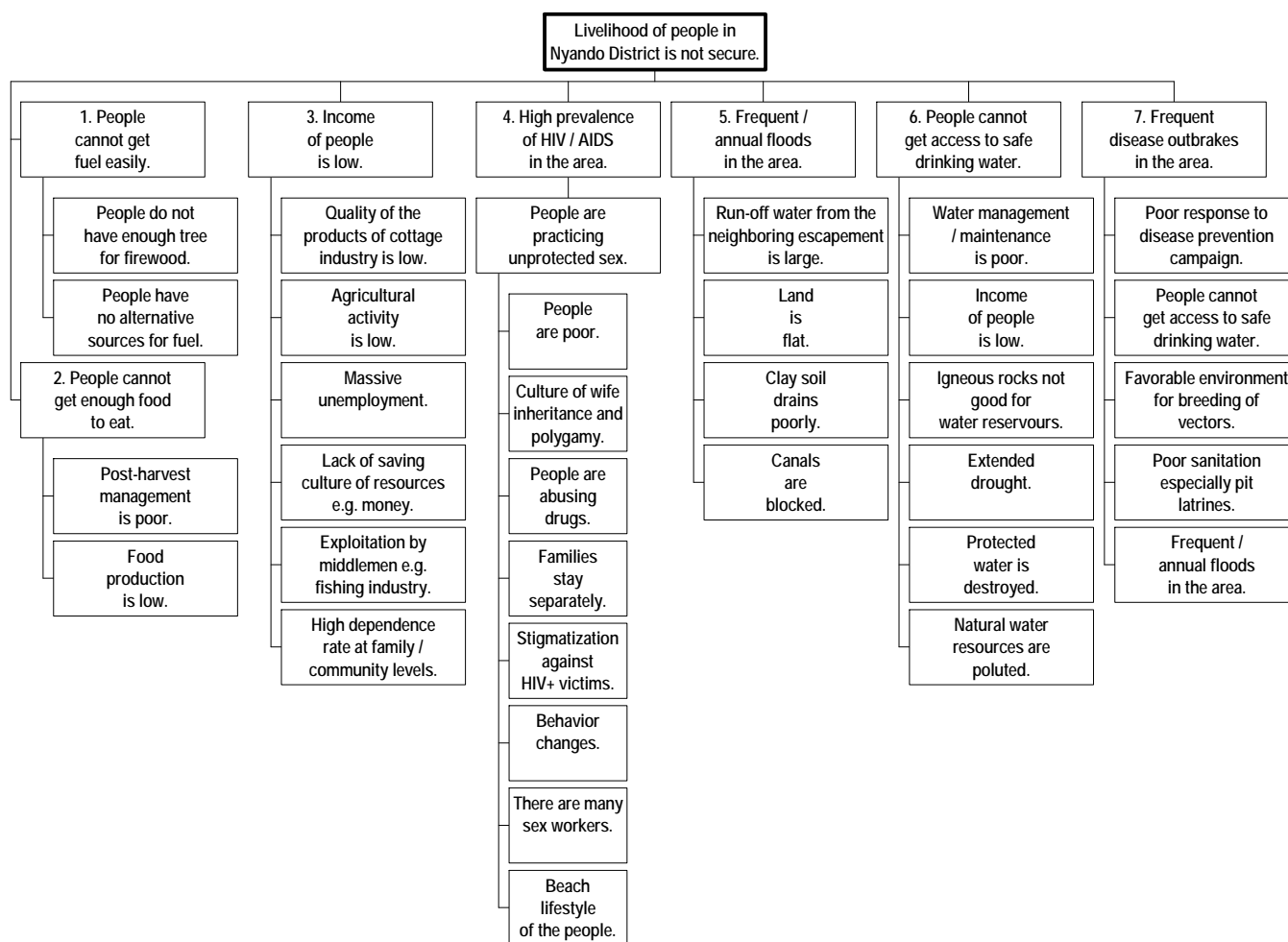
**Step 4:** Develop a problem tree using cause-effect relations. There are several rules or notes to write problem cards which are:

- Identify existing problems, not theoretical, imaginary or assumed problems (**Good:** Many rice farmers don't do line transplanting. **Bad:** Farmers are lazy.).
- Write one problem on one card (**Good:** Our income is low. **Bad:** Our income is low because there are few jobs.).
- Write in negative and descriptive form (**Good:** We are drinking unclean water. **Bad:** Water issue.).
- Avoid writing absence of solutions (**Good:** We cannot get proper medical care. **Bad:** There is no hospital). Hospital is one of the solutions, but there could be other solutions such as mobile clinic, community pharmacy and community health workers.
- Note that higher position in the problem tree does not mean that the problem is more important than lower ones.

Figure 3.2.1 shows an example of Problem Tree established in Nyando District. Given the core

problem of ‘Livelihood of people in Nyando District is not secure’, 7 direct causes were identified, below which further identified are causes which are thought to be making the direct causes happen. Results of the analysis can also be summarized in a landscape manner table as shown Table 3.2.4.

**Figure 3.2.1 Problem Tree at District Level (Example of Nyando District on 22 July 2005)**



**Table 3.2.4 Results of Problem Analysis at District Level (Example of Homa Bay District on 29 July 2005)**

Core Problem	Direct Causes	Other Major Causes
Livelihood of people in Homa Bay District is not secure	1. Level of the <b>income</b> of the people is low.	(1) Unemployment is high in Homa Bay. (2) Agricultural production is low in Homa Bay. (3) People are using poor marketing strategy. (4) Income generating activities are limited. (5) People are in poor health status.
	2. <b>Road</b> networks are poor.	(1) Lifespan of roads is short. (2) Construction cost is very high. (3) No proper road maintenance.
	3. <b>Crop</b> production is low.	(1) Ignorance on crop husbandry. (2) Incidences of pests and diseases. (3) Poor quality seeds. (4) Low soil fertility.
	4. <b>Livestock</b> production is low.	(1) Poor quality of pastures. (2) Spread of pests and diseases. (3) Poor animal husbandry practice. (4) Long distance to water points / pasture. (5) Many livestock theft.
	5. People are in poor <b>health</b> .	(1) Presence of diseases. (2) No proper health care. (3) Malnutrition. (4) No safe water.

**Step 5 (Optional):** Prioritize the direct causes by simple voting or by ten seeds, etc.

Through developing the problem tree, the major issues must have been appeared on the tree as the direct causes to the core problem. Among the direct causes, i.e. major issues of the district, the participants can prioritize them. The way of prioritization at the workshop can be by voting, using ten seeds or any other. You can put the number on the cards of the direct causes according to the agreed priority at the workshop.

### < Pre-setting of Direct Causes >

Direct causes to the Core Problem like ‘Living standards of people are low’ could always come up with common issues such as: **1) we do not have enough food, 2) our income is low, 3) we are not healthy, 4) HIV/AIDS is prevalent, 5) we do not get good education, 6) our infrastructure is poor, 7) our environment is degraded, and 8) we are not secure.** Causes from 1) to 4) would come from people’s needs (demand-driven) and the ones from 5) to 8) come from governmental services (supply-led). These 8 causes could also cover all the development sectors. **These 8 common causes are the candidate direct causes to the core problem of ‘Living standards of the people are low’.** The workshop participants are to discuss and agree with the direct causes to fix as the starting point of the analysis, so that the problem analysis could cover all the sector issues. The workshop participants can add another direct causes to or remove some of the causes from the 8 common causes according to the actual situation of the district.

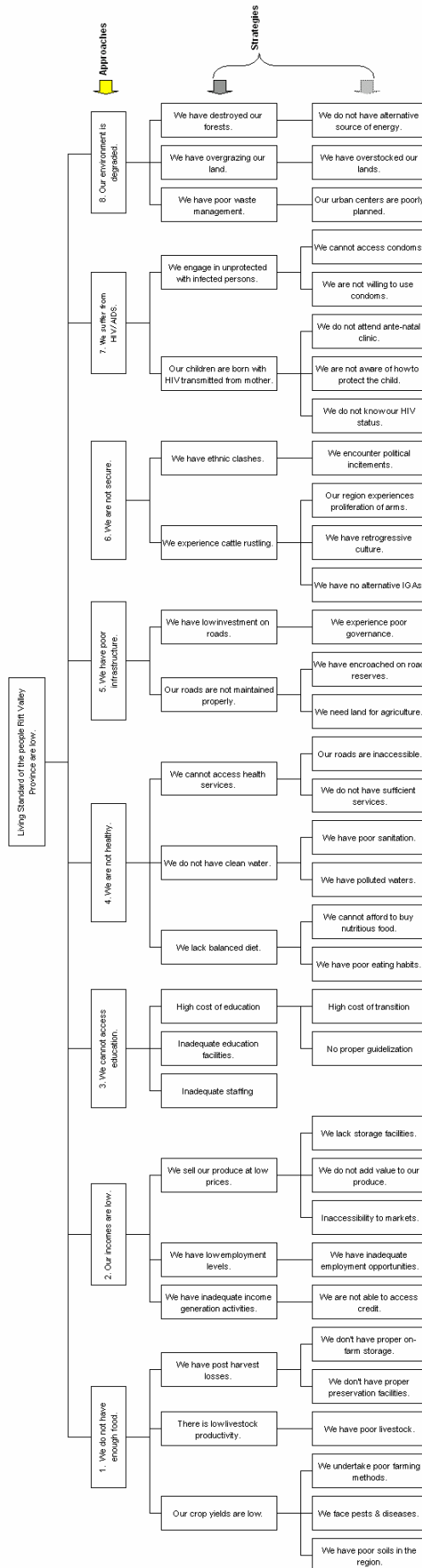
Wider range of approaches and subsequent strategies should be captured through the problem analysis for the regional development planning, which should include all the relevant sectors in the district. Problem analysis can go into depth inquiry of cause – effect relation, i.e. problem tree can be built the chain of cause-effect relations from the direct cause to secondary, tertiary and lower levels. But what we require from the analysis is to get wider range of alternative strategies under each approach to capture all the sector issues.

From this point of view at the national workshop held in May 2007, we conducted the building of problem tree up to tertiary level in order to concentrate on building the problem tree horizontally wider rather than inquiring the vertically deep root cause of an issue. Horizontal relation between issues is independent while vertical relation between issues is cause – effect, so the horizontal issues indicate alternative means to solve the issue in upper level. We could consider up to tertiary level to formulate strategies of district development plan. Figure 3.2.2 shows an example of the problem tree developed under the 8 common causes.

Problem analysis is conducted at district, division and community levels and the problem trees to be developed at the respective levels are integrated into a common objective tree (refer to Section 3.5). However, if the resources in the district do not allow conducting workshops at division and community levels, the problem tree of district workshop can just be used for identifying approaches and strategies, i.e. you can skip the following section of 3.3 and 3.4 in this guideline. For this case, representatives from divisions and communities must be invited to the district workshops.

**Figure 3.2.2 Problem Tree Covering the 8 Common Direct Causes (Example from the National WS (Rift Valley Province) on May 17, 2007**

Cover wide range of strategies under the common direct causes (Approaches)



### 3.2.4 Success Stories by Appreciative Inquiry (Day 2)

Problem solving approach including problem analysis has several disadvantages: 1) searching for what they don't have, not what they have, which very often results in a wish list, 2) limiting our vision within existing situation, and 3) concentrating more on lack of inputs rather than organizational and human related issues. To overcome those disadvantages, Appreciative Inquiry (AI) and its simplified process are to be introduced to identify what we can do for a better future of the district with what we have. This exercise has following three steps, and an example is given in latter page under '3.4 Participatory Analytical/ Planning Workshop at Community Level):

*“Appreciative Inquiry is the cooperative search for the best in people, their organizations, and the world around them.”(David L. Cooperrider and Diana Whitney)*

- Step 1:** Choose the development organizations in the district, which have success stories.
- Step 2:** Describe the success stories in terms of: Name of the programme / project, what did they do? who and why did they start the programme / project?, how were the decisions made?, leadership etc.
- Step 3:** Discuss the lessons learned, especially human and organizational factors, which lead them to success.

### 3.3 Participatory Analytical Workshop at Divisional Level

After identified district level development problems and successes, it is time to further explore divisional level analytical workshop with practitioners and/or frontline officers working at the development forefront. In the 2-day participatory analytical workshop at divisional level, five major exercises are to be done, and last practice is a option depending on if going further down to community level:

- Review of Development Activities (Day 1)
- Mapping by Division (Day 1)
- Problem Analysis by Division (Day 2)
- Success Stories (Appreciative Inquiry) by Division (Day 2)
- (Optional) Selection of representative communities (Day 2)

#### 3.3.1 Review of Development Activities (Day 1)

Before starting situation analysis of each division, all the participants need to share the information on development activities in each division.

- Step 1:** Review of major programmes, projects or any development activities by divisional government officers such as DAEOs, DLEOs, DSDOs, DFOs, DEOs, PHOs, etc.
- Step 2:** Review of major programmes, projects or any development activities by the representatives of NGOs and CBOs.



### 3.3.2 Mapping by Division (Day 1)

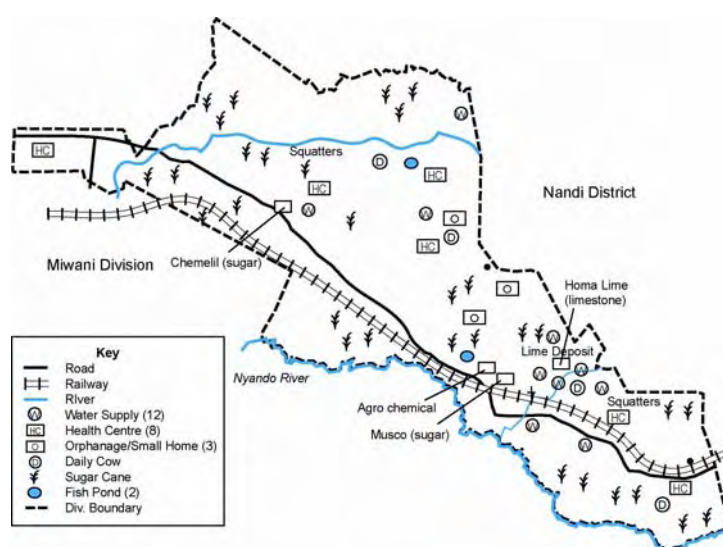
The purpose of this exercise is to understand the general characteristics of each division with the representatives from the divisions. The participants can also share the information on major programmes, projects and any other development activities in each division.

**Step 1:** Draw an outline map of each division with major rivers, ponds, roads, railways etc.

**Step 2:** Put the symbols of major produces, products, etc.

**Step 3:** Identify major programmes, projects and any other development activities of the divisions on the map.

**Step 4:** Identify major issues of the divisions on the map.



**Figure 3.3.1 Mapping at Divisional Level  
(Example of Muhoroni Division, Nyando District)**

### 3.3.3 Problem Analysis by Division (Day 2)

Problem analysis by developing problem tree is also exercised at divisional level workshop, so that all the major issues arisen in the particular division can be captured and agreed among the workshop participants. As the problem tree is developed by each division, the participants can compare the differences and similarities of the issues among the divisions from the developed trees (See the detail of the procedure of the Problem Analysis in **3.2. Problem Analysis of the District**).

**Step 1:** Identify several major problems of the division.

**Step 2:** Choose one of the major problems as the core problem ('Living standards of people are low' is suggested as better one).

**Step 3:** Write the direct causes, which are in the first row under the core problem.

**Step 4:** Develop a problem tree using cause-effect relations.

**Step 5:** Prioritize the direct causes by simple voting or by ten seeds etc.

### 3.3.4 Success Stories (Appreciative Inquiry) by Division (Day 2)

Exercise of sharing success stories (as appreciative inquiry) is also conducted at divisional workshop to identify what we can do for a better future of the division with what we have (See the detail of the procedure of Success Stories in **3.2.4 Success Stories (Appreciative Inquiry)**).

**Step 1:** Chose the development organizations in the district which have success stories.

**Step 2:** Describe the success stories. (Name of the programme / project, What did they do? Who and why did they start the programme / project?, How were the decisions made?, Leadership etc.)

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**Step 3:** Discuss the lessons learned, especially human and organizational factors, which lead to success.

### **3.3.5 (Optional) Selection of Representative Communities (Day 2)**

Considering the characteristics of each division, one representative community per division needs to be selected for community level participatory analytical & planning workshops. However, if available logistics is not enough to go down to community level, this exercises can be skipped, and go to ‘**3.5 Participatory Planning Workshop at Divisional Level**’.

### **3.4 (Optional) Participatory Analytical & Planning Workshops at Community Level**

One workshop at Community level is held at the representative village (community) for both analysis and planning, while analytical workshops and planning workshops are held separately at district and divisional levels. It is where top-down analytical stages end and bottom-up planning stages start. Six major exercises are to be done as shown below. We can save time by doing the first five exercises by sub-group. Problem Analysis, however, needs to be done as one group because we need a consensus on prioritization of major issues, which is already a part of planning. The order of doing those exercises is arbitrary except Problem Analysis, which must be done at the end. There are tools, which were used in the pilot districts, however you can use whatever tools you think are appropriate. Detail of the tools used in the pilot districts is attached as Annex-2.

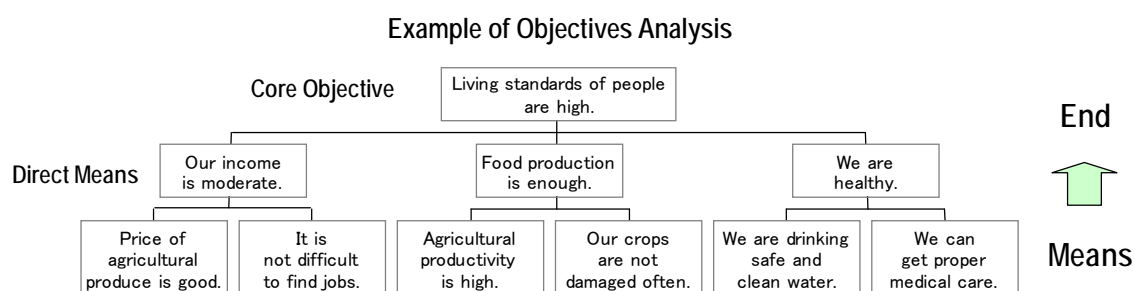
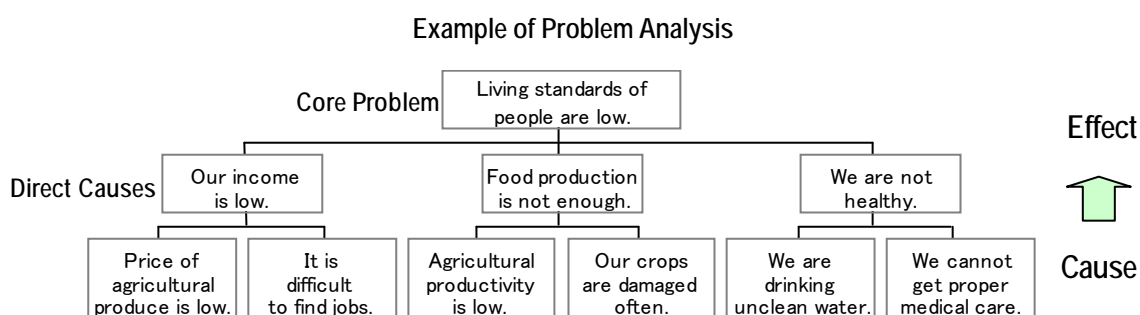
- History of the Community
- Trend Analysis of the Community
- Mapping of the Community
- Rich-Poor Profile of the Community
- Success Stories (Appreciative Inquiry) of the Community
- Problem Analysis of the Community

### 3.5 Participatory Planning Workshop at Divisional Level

In planning stages, we need to think of a set of individual solutions, measures or countermeasures to improve the situation we analyzed at analytical stages. The structure of the present situation recognized by the stakeholders is shown by the Problem Analyses at district, divisional and community levels. **Now it is time to convert the Problem Analysis to the Objectives Analysis** so that we can see the set of the solutions with means-end relations rather than the set of the problems with cause-effect relations.

The Objectives Analysis is simple because what you have to do is only to change the problem forms into desirable forms. For example if the problem is “Our life is not easy”, a desirable form where the problem is solved is “Our life is easy.” There are several rules or notes to convert the problems into objectives as:

- Check if the objectives are realistic or not. For example you can assume “Our crops are not damaged often”, but not “Our crops are not damaged”.
- Check the logic again. If the relation is not means-end in the Objective Analysis, the relation is more likely not cause-effect in the Problem Analysis.
- Add new cards if you find more means for each end.



### Preparation by the facilitator team: Integration of Objectives Trees

Prior to the planning workshop, the facilitator team prepares the common objectives tree combining all the results of the problem analyses conducted at district, division and community levels. Following are the guidance:

Combine the Problem Analyses at district level, divisional level and those of community-level to have a common problem tree as the district. The common problem tree synthesizes all the community problem trees, the divisional problem trees and the district level problem tree to cover each and every issue shown in the problem trees at community, divisional and district level workshops. The ground rule is to include all the major problems in the trees, which usually are the direct causes and the second level problems in each problem tree.

As indicated in Section 3.2.3 Problem Analysis, pre-setting the core problem of “Living standards of the people are low” and the 8 common direct causes upon the problem analysis will make it easy to combine all the problem trees at the different levels. If you are sure you cover all the problems under the core problem, convert the common problem tree into a common objectives tree with direct means and the second level means. If the core objective is the goal for the district, the direct means can be called as the **APPROACHES** to realize the goal (*broad aim to be achieved in medium term*) and the second level means can be called as the **STRATEGIES** (*objectives of the programmes*).

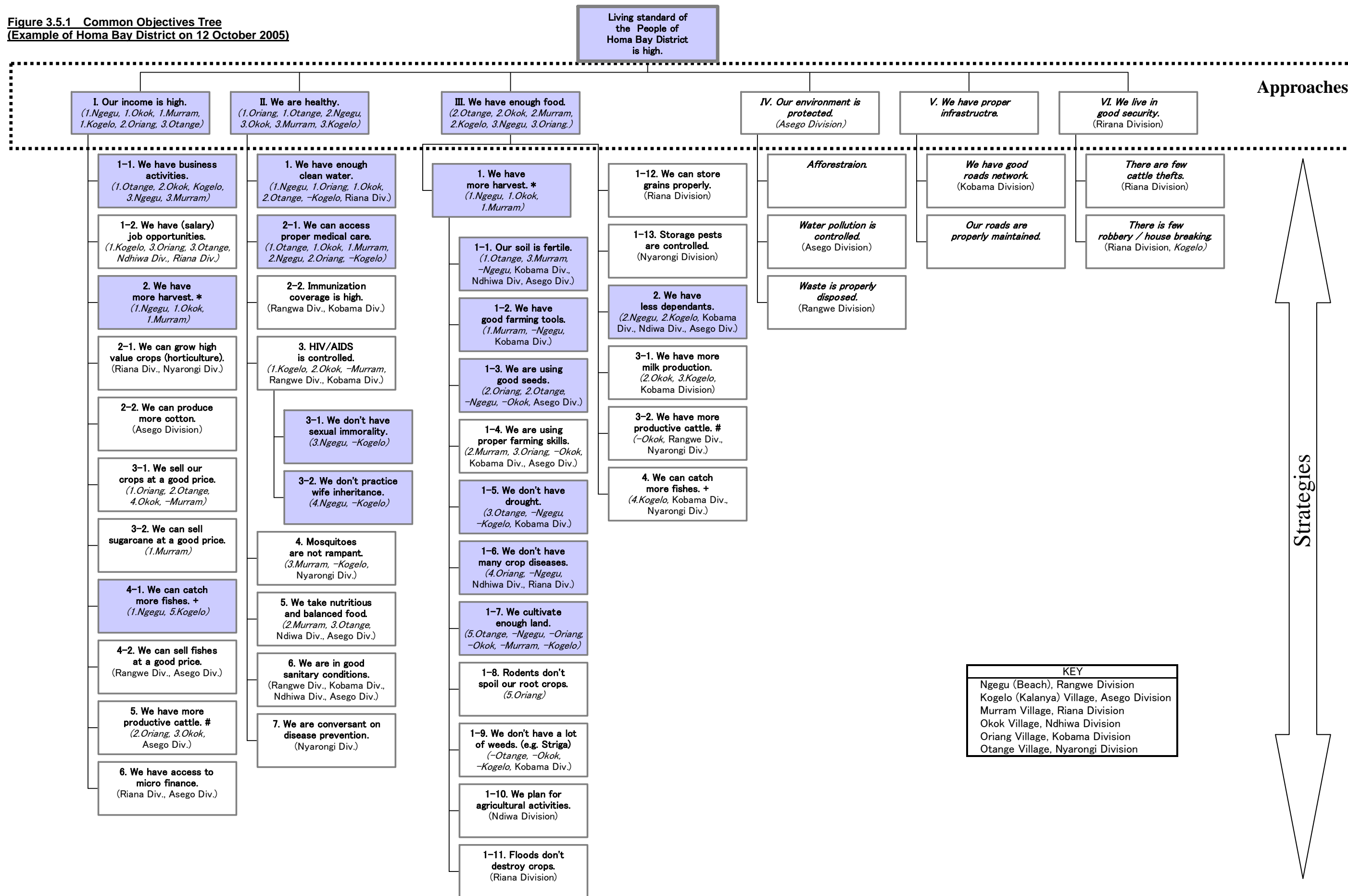
In the example (**Figure 3.5.1**) , “Livelihood of people in Homa Bay District is not secure (it is more or less equivalent to the description: Living standards of people in Homa Bay are low)” was the core problem of the workshop at district level, and all the core problems at divisional and community levels are more or less the same. Then, the core objective of “Living standard of the people of Homa Bay District is high” was chosen and refined during the workshop.

“Approach I: Our income is high”, “Approach II: We are healthy” and “Approach III: We have enough foods” were discussed in all the workshops intensively, but “Approach IV: Our environment is protected”, “Approach V: We have proper infrastructure” and “Approach VI: We live in good security” were not discussed so much at community level. The last three approaches come from district and divisional levels workshop with rather the macro-point of view.

The figures and names in brackets mean the priority in the workshop and where those means come from. For example, “Approach I: Our income is high” was the top priority issue at the workshops at Ngegu, Okok, Murram and Kogelo Villages, second at Oriang Village, and third at Otange Village in Homa Bay District. “Strategy 1-1: We have business activities” under “Approach I: Our income is high” was the top priority issue at Otange Village, the second priority issue at Okok Village, and the third priority issue at Ngegu Beach and Murram Village.

The shaded means in the Figure indicates the output from the problem tree of Ngegu community workshop. It shows how the output of the Ngegu community workshop is integrated into the Common Objectives Tree. Likewise, the outputs from other community, division and district workshops are integrated into the tree.

**Figure 3.5.1 Common Objectives Tree**  
 (Example of Homa Bay District on 12 October 2005)



Following are the steps to conduct participatory planning workshop at Divisional level:

- Step 1:** Presentation of the results of each community level workshop by a representative of the community. (Day 1) (If community workshops were held)
- Step 2:** Refine the common objectives tree prepared by the facilitator team. (Day 1)
- Step 3:** Prioritize approaches (broad aims to be achieved in medium term), and then strategies (objectives of the programmes) across all the approaches by division. (Day 2)

It is recommendable to show the priority of each division in an obvious way as in the example: ‘Top Priority’ as ●, ‘High Priority’ as ⊙, and ‘Priority’ as ○ (Day 1). Suggested way of prioritizing strategies are: if all the strategies are 30, choose 15 priority strategies (a half of strategies) and put the symbol of ○, and among the 15 priorities, choose 7 to 8 high priorities and put the symbol of ⊙, and among the 7-8 high priorities, choose 3-4 top priorities and put the symbol of ●.

**Table 3.5.1 Priority Approaches and Strategies across Approaches at Division WS  
(Example from Ndhiwa Division, Homa Bay District)**

Approach	Strategy	Priority	Approach	Strategy	Priority
I. Our income is high.	1-1. We have business activities.	●	III. We are healthy.	3-1. We have enough clean water.	●
	1-2. We have (salary) job opportunities.			3-2. We can access proper medical care.	
	(1-3. We have more harvest.) See 2. We have enough food.	⊙		3-3. HIV/AIDS is controlled.	⊙
	1-4. We sell our crops at a good price.	○		3-4. We take nutritious and balanced food.	
	(1-5. We have more productive cattle.) See 2. We have enough food.	⊙		3-5. We are in good sanitary conditions.	○
II. We have enough food.	2-1. We are using good seeds.		IV. Our environment is protected.	4-1. Afforestation	⊙
	2-2. We are using proper farming skills.	●		4-2. Water pollution is controlled.	
	2-3. We cultivate enough land.			4-3. Waste is properly disposed.	○
	2-4. We don't have a lot of weeds. (e.g. Striga)		V. We have proper infra.	5-1. We have good roads network.	
	2-5. Our soil is fertile.			5-2. Our roads are properly maintained.	
	2-6. We don't have many crop diseases.		VI. We live in good security.	6-1. There are few cattle thefts.	
	2-7. We plan for agricultural activities.	○		6-2. There is few robbery / house breaking.	
	2-8. We have less dependants.	○			
	2-9. We have more milk production.				
	2-10. We have more productive cattle.				

Note: The example applied to chose 12 priorities among 27 strategies, and chose 7 high priorities among the 12 priorities, and then chose 3 top priorities among the 7 high priorities.

- Step 4:** (Optional) Define indicators for each approach (*goal indicator*) and strategy. (*outcome indicator*) (Day 2) (See detail in **Chapter 4 Monitoring & Evaluation**)

### 3.6 Participatory Planning Workshop at District Level

We started from the macro-point of view or top-down approach to analyze the situation and then turned to the micro-point of view or bottom-up approach to plan the district development plan. Now, this is the last stage of the participatory workshops for planning the district development plan. Considering priority approaches, strategies and programmes / projects of each division, it is time to prioritize the approaches, strategies and programmes / projects as the district.

- Step 1:** Presentation of the results of divisional level workshop by representatives of each division. (Day 1)
- Step 2:** **Setting of the District Development Vision:** based on the analyses during the participatory workshop as well as the Core Objective (e.g. ‘Living Standard of Homa Bay People is high’ in Figure 3.5.1), District Development Vision is set to state the desirable picture of the district. For the example of Table 3.6.4, the district vision was set as ‘Highly Productive, Healthy and Secure District’. (Day 1)
- Step 3:** **Prioritize approaches** (broad aims to be achieved in medium term) as the district. Consider the priorities of the divisions and the representative communities. Ten seeds might be a good way to vote for the priorities as the district (refer to the footnote 2 on page 3-4). It is recommendable to vote at least twice. Also it is important to discuss the result of each vote before casting another vote. (Day 1)
- Step 4:** **Prioritize strategies** (objectives of the programmes / projects) under each approach as the district, considering the priority strategies identified with the symbols of ●, ⊙, and ○ at the divisional workshop. The priority strategies at each division should be shown along the strategies as the sample figure below:

**Table 3.6.1 Priority Approaches and Strategies of the District  
(Example of Homa Bay District on 18 October 2005)**

Living standard of the people of Homa Bay District is high.												
Approaches	III. We have enough food.					II. We are healthy.						
	RA	AS	RI	ND	KO	NY	RA	AS	RI	ND	KO	NY
Strategies	1	III-3. We are using proper crop and animal husbandry practices.					II-4. We are conversant on diseases prevention and control.					●
	2	III-1. Our soil is fertile.					II-1. We have enough clean water.					●
	3	III-6. We plan for agricultural activities.					II-2. We are in good sanitary conditions.					○
	4	III-7. We have proper and adequate farming implements.					II-7. Immunization coverage is high.					○
	5	III-4. We have enough water for farming.					II-8. We take nutritious and balanced food.					○
	6	III-11. We have no livestock pests and diseases.					II-6. Endemic diseases are controlled.					⊙
	7	III-8. We don't have pests and diseases in crops.					II-5. HIV/AIDS is controlled.					⊙
	8	III-10. We put more land under cultivation.					II-3. We can access proper medical care.					○
	9	III-13. We practice bee, poultry and small animals keeping.										
	10	III-5. We can practice proper post harvest handling and storage.										⊙
	11	III-2. We have proper weed control (e.g. Striga)										●
	12	III-12. We have more livestock production (milk, meat, eggs, etc.)										⊙
	13	III-9. We use clean / certified planting materials.										
	14	(III-14. We can catch more fishes.) Refer I-9										
	15	III-15. We have less dependants.										○

RA: Rangwe Division, AS: Asego Division, RI: Riana Division, ND: Ndhwa Division, KO: Kobama Division, NY: Nyarongi Division

**KEY**

Top Priority Strategies by Each Division :	●
High Priority Strategies by Each Division :	⊙
Priority Strategies by Each Division :	○

*Prioritization across approaches / strategies identified at Division WS*

Remainder Omitted

In the example of Homa Bay District, “Approach III: We have enough food” was chosen as the goal of the top priority approach, and then “Approach II: We are healthy”. Ten seeds were used for voting and “Approach III: We have enough food” got 138 out of 439 votes or 31.4 % in the first voting and 169 votes out of 459 votes or 36.8 % in the second voting. Since everybody was supposed to have 10 votes, there were 44 to 46 voters (therefore total votes reach to 440 - 460).

Then all the strategies under each approach were discussed and prioritized. During the discussion the results of the divisional workshops were shown on the wall paper at the workshop venue so that the participants could refer to them. For example, under “Approach II: We are healthy”, “Strategy II-4: We are conversant on disease prevention and control” was selected as the outcome of No.1 strategy of the district according to the discussion and voting of the participants at the district level workshop even though only Nyarongi Division chose it as No.1 at the divisional level workshop. On the other hand, “Strategy II-1: We have enough clean water” was selected as No.2 not No.1 of the district even though it was chosen as the No.1 strategy in four out of six divisions namely Rangwe, Asego, Ndhiwa and Kobama.

**Alternative way of prioritizing divisions**

In case it is difficult to hold division (and community level) workshops, community and division representatives should be invited to the district level workshop and the priority divisions for each strategy can be identified at the district level workshop. For this case, in order to clearly identify the difference among divisions, all the level of priorities (top priority, high priority and priority, i.e. ●, ⊙, and ○) should appear for each strategy as the figure below:

Strategy	Division					
	RA	AS	RI	ND	KO	NY
III-3 We are using proper farming skills	○	⊙	●	●	⊙	○
III-1 Our soil is fertile	●	○	⊙	○	●	⊙

Priority of divisions for the strategy

**Step 5: Identify programmes / projects** for each strategy as the district (Day 2)

After agreeing the priority by approach and by strategy under each approach, now identify programme / project corresponding to each strategy. It can be done by sub-groups by approach. For example, the health sub-group combined “Strategy II-1: We have enough clean water” and “Strategy II-2: We are in good sanitary conditions” into “Programme II-1&2: Domestic Water Supply and Sanitation Programme”. Note is that there may be cases one strategy has more than one programme/ project, and also same programme/ project may appear under different strategy or approach.



**Table 3.6.2 Programmes / Projects under Prioritized Strategies of the District  
(Example of Homa Bay District on 18 October 2005)**

Living standard of the people of Homa Bay District is high.			
Approaches	III. We have enough food.	138/439 (31.4%) 169/459 (36.8%)	II. We are healthy.
			125/439 (28.5%) 131/459 (28.5%)
Strategies / Programmes	1 III-3. We are using proper crop and animal husbandry practices.	<b>III-3. CROP DEVELOPMENT PROGRAMME</b> Technical staff training / Farmers' training / Field demonstration / Staff and farmers' tour / Training of Community Own Resource Persons (CORPs)	<b>II-4. MATERNAL CHILD HEALTH &amp; FAMILY PLANNING PROGRAMME</b> Capacity building on the Community Own Resource Persons (CORPs) / Traditional Birth Attendants (TBAs) / Community Health Workers (CHWs) / Training of Trainers (TOTs). Promotion of micro teaching outreach services <b>II-1. &amp; 2. DOMESTIC WATER SUPPLY AND SANITATION PROGRAMME</b> Drilling bore holes / Rain water harvesting / Protection of springs / Construction of latrines / Casting of slabs / Construction of water pans / Water quality analysis / Waste management / Health education and promotion <b>II-7. IMMUNIZATION PROGRAMME</b> Carry out immunization during health day / health education / provision of family planning services <b>II-8. NUTRITION AND FOOD SECURITY PROGRAMME</b> II-8. Endemic diseases are controlled. Elimination of breeding grounds e.g. plastering floor / Environmental management / Spraying of mosquito breeding grounds / Increase use of Insect Treated Nets (ITNs) <b>II-5. HIV/AIDS CONTROL PROGRAMME</b> Awareness creation / Orphans support / Widows support / Provision of ART Retroviral Therapy (ARTs) / Home based Care (HBC) / Fenindom & Male condom promotion / Establish more VCT centres / Support to People Living With HIV/AIDS (PLWHAs) & affected / Palliative comprehensive care / Capacity building of the care givers & counselors <b>II-3. MEDICAL CARE PROGRAMME</b> Essential drug outreach / Outreach clinics / Immunization / Treatment
	2 III-1. Our soil is fertile.	<b>III-4. LAND MANAGEMENT PROGRAMME</b> Soil and water practices / Soil fertility improvement( use of organic / inorganic manure) / Agro forestry nurseries	
	3 III-6. We plan for agricultural activities.	<b>III-6. FARM LAYOUT AND PLANNING PROGRAMME</b>	
	4 III-7. We have proper and adequate farming implements.	<b>III-7. APPROPRIATE TECHNOLOGY PROGRAMME</b> Training of draught animal and handlers / Introduce modern farm implements	
	5 III-4. We have enough water for farming.	<b>III-4. SMALL SCALE IRRIGATION PROGRAMME</b> Water harvesting for small scale irrigation / Abstraction of water from the lake or river for irrigation	
	6 III-11. We have no livestock pests and diseases.	<b>III-11. LIVESTOCK IMPROVEMENT PROGRAMME</b> Rehabilitation of existing dips, crushes and use them / Vaccination treatment	
	7 III-8. We don't have pests and diseases in crops.	<b>III-8. PEST MANAGEMENT PROGRAMME</b> Train farmers on safe and effective use of pesticides / Train farmers on use of integrated pest / disease management	
	8 III-10. We put more land under cultivation.	<b>III-10. APPROPRIATE TECHNOLOGY PROGRAMME</b> Promotion of plough team <b>III-10. LAND MANAGEMENT PROGRAMME</b> Agricultural credits <b>III-10. SMALL SCALE IRRIGATION PROGRAMME</b> Proper drainage technique	
	9 III-13. We practice bee, poultry and small animals keeping.	<b>III-13. LIVESTOCK IMPROVEMENT PROGRAMME</b> Training on proper animal husbandry practice / Enhance marketing strategies	
	10 III-5. We can practice proper post harvest handling and storage.	<b>III-5. CROP DEVELOPMENT PROGRAMME</b> Promotion on use of metallic silos and other modern storage structures / Training on handling and storage / Proper use of appropriate storage pesticides	
	11 III-2. We have proper weed control. (e.g. Striga)	<b>III-2. PEST MANAGEMENT PROGRAMME</b> Integrated pest management	
	12 III-12. We have more livestock production (milk, meat, eggs, etc.)	<b>III-12. LIVESTOCK IMPROVEMENT PROGRAMME</b> Upgrading of local breeds / Improved feeding programme / Improved pests and disease control	
	13 III-9. We use clean / certified planting materials.	<b>III-9. FARM INPUT SUPPLY SCHEME PROGRAMME</b> Train farm input stockists / Promotion of use of recommended varieties	
	14 (III-14. We can catch more fishes.)	Refer I-9	
	15 III-15. We have less dependants.	N/A	

Remainder Omitted

**Step 6:** Establish the comprehensive District Development Framework starting with vision, approach, strategy, programme/ project, and area (division) with each priority (Day 2). Example is shown in the left half side of Table 3.6.4; Prioritized Approaches came from the exercises in the Table 3.6.1, Prioritized Strategies again from the exercises in the Table 3.6.1, Programme/ Project from above Table 3.6.2, and Prioritized Division from Table 3.6.1.

**Step 7:** Following the establishment of the comprehensive district development framework, which is in a tree structure, implementing agencies, collaborators, implementation schedules, project costs and the sources which are corresponding to each programme/ project should be clarified as shown in the right half side of the Table 3.6.4. Identification of implementing agencies, collaborators and implementation schedules can also be done during the participatory planning workshop or otherwise all these items may be clarified by each responsible agency and submitted to DDO office where all the data are to be summarized in such form as shown in Table 3.6.3.

**Step 8:** Briefly describe programmes / projects by input, budget and prospective fund source, activities, outputs out of the activities, objectives, and indicators, etc. A typical form of such programme/ project description was already given in the last section of Chapter 2. Such description can be done during the participatory workshop or otherwise this process is to be done mostly by relevant offices which are in charge of their respective sector and summarized at DDO office.

**Table 3.6.3 Priority Programmes / Projects of the District**

<b>Programme No. N3</b>	Title: Agriculture Extension Programme							
<b>Priority in approaches</b>	We have enough and nutritious food							
<b>Priority in strategies</b>	We plant enough and diversified subsistence crops, Our production of crops is high, Post harvest management is good							
<b>Linkages to other areas</b>	Approach: we get good income, Strategies: we can grow more horticulture							
<b>Priority division(s)</b>	Nyando	L/Nyakach	Miwani	Muhoroni	U/Nyakach			
	○	●	●	◎	●			
<b>Target groups</b>	Common Interest Groups, Women groups, and any interested individuals							
<b>Implementing agency</b>	The Ministry of Agriculture							
<b>Collaborators</b>	The Ministry of Livestock and Fisheries, NGOs (CARE, etc.)							
<b>Objectives</b>	Agriculture production of the district increases in net basis							
<b>Rationale</b> Why the programme needs to be implemented?	Farmers in the district are engaged in growing various crops, but the skills, inputs and varieties applied for cropping are not well developed, resulting in low harvest. To upgrade the agriculture status of the district, extension support by the government together with agriculture related stakeholders is significant.							
<b>Project Implementation</b>	Yr 2008	Yr 2009	Yr 2010	Yr 2011	Yr 2012	Yr 2013	Yr 2014	2015(MDG)
	[Solid line]			<i>If the programme is a special event, namely, a 'Project' which has a specific implementation period specify the implementation term by solid line.</i>				
	[Dotted line]							
	<i>If the programme is a recurrent activity, draw a dotted line as shown above.</i>							
<b>Expected Outputs:</b>							Development Indicators	
1. Common interest groups are established.							Group Nr.	
2. Farmers find appropriate farming technologies and adopt them.							Technologies adopted	
3. Post harvest losses are reduced.							Post harvest loss	
4. Products are value-added.							Commodities value added.	
<b>Major activities (corresponding to the number under Expected Outcomes):</b>				App. Cost, Ksh		Expected Source		
1. Identify and organize common interest groups				400,000		GOK		
2. Disseminate improved farming skills				250,000		GOK		
3. Disseminate post harvest handling skills and storage facilities				600,000		GOK, CDF		
4. Promote post harvest processing (value addition, preservation)				200,000				
Total of the cost, Ksh				Mksh 2				
Project Risks (External factors which may affect the project success, but beyond the project management):								

**Step 9:** (Optional) Define indicators for each approach (goal indicator), strategies (outcome indicator) and Programmes/ Projects (output indicators) (Day3) (See detail in **Chapter 4 Monitoring & Evaluation**).

**Table 3.6.4 An Example of Comprehensive District Development Framework**

Priority	Vision	Approaches (Priority)	Priority	Strategies	No.	Programmes/ Projects	Priority Division						Implementing Agency	Collaborators	Implementation Schedule						Project Cost Ksh	Sources										
							RA	AS	RI	ND	KO	NY			2008	2009	2010	2011	2012	2013			2014	2015								
High	A Highly Productive, Healthy and Secure District	1. We have enough food. (1st Priority)	1.1	We are using proper crop and animal husbandry practices.	1	Crop Management and Development Programme	○	●	●	○			Ministry of Agriculture	MLFD, CARE, AEP, CMAD, ICIPE, KAPP, KARI	█	█	█	█	█	█	█	█	█	█	█	█	12,600,000	GOK, Donors				
			1.2	Our soil is fertile.	2	Land Management Programme	⊙	●			●				Ministry of Agriculture	MLFD, MWI, MSS, CMAD, AEP, KARI, ICIPE	█	█	█	█	█	█	█	█	█	█	█	█	2,287,500	GOK, Donors		
			1.3	We plan for agricultural activities.		included in Strategy No.1.1					○																					
			1.4	We have proper and adequate farming implements.	3	Appropriate Agro-technology Programme							○		Ministry of Agriculture	CARE-K, AEP, CMAD, PLAN-K, ADP, MLED				█	█	█	█	█	█	█	█	█	█	1,330,800	GOK, KARI, ICIPE, AEP	
			1.5	We have enough water for farming.	4	Small Scale Irrigation and Drainage Programme	⊙								Ministry of Water and Irrigation	MOA, NIB, AEP, CARE-K, PLAN-K, C-MAD	█	█	█	█	█	█	█	█	█	█	█	█	█	█	1,495,000	MWI, NIB, NGOs
			1.6	We have no livestock pests and diseases.	5	Livestock Management and Development Programme	●							○	Ministry of Livestock and Fisheries	MOA, PLAN-K, C-MAD, ICIPE, KARI	█	█	█	█	█	█	█	█	█	█	█	█	█	█	1,728,000	GOK, Donors
			1.7	We don't have pests and diseases in crops.		included in Strategy No.1.1					○																					
			1.8	We put more land under cultivation.		included in Strategies No.1.2, No.1.3 and No.1.4																										
			1.9	We practice bee, poultry and small animals keeping.		included in Strategy No.1.5																										
			1.10	We can practice proper post harvest handling and storage.		included in Strategy No.1.3								⊙																		
			1.11	We have proper weed control. (e.g. Striga)		included in Strategy No.1.1				●				○																		
			1.12	We have more livestock production (milk, meat, eggs, etc.)		included in Strategy No.1.5					⊙																					
			1.13	We use clean / certified planting materials.	6	Farm Input Research and Supply Programme									Ministry of Agriculture	KARI, STOCKISTS, AGRO-VET, NGOs	█	█	█	█	█	█	█	█	█	█	█	█	█	█	250,000	GOK, NGOs
			1.14	We have less dependants.	7	Orphan Support Programme								○	Office of the V-President and Home Affairs	PA, CACC, NACC, MOA, MOE, SS, CD	█	█	█	█	█	█	█	█	█	█	█	█	█	█	2,433,000	GOK, CDF, NGOs
	A Highly Productive, Healthy and Secure District	2. We are healthy. (2nd Priority)	2.1	We are conversant on diseases prevention and control.	8	Mother and Child Health Programme						●	Ministry of Health	NERESA, AMREF, PLAN-K/ACOM-K, KEMRI, CDC	█	█	█	█	█	█	█	█	█	█	█	█	█	█	8,000,000	GOK, FBOs, NGOs		
			2.2	We have enough clean water.	9	Water Supply and Sanitation Programme	●	●	⊙	●	●				Ministry of Water and Irrigation	MOH, NGOs, CBOs, CDF				█	█	█	█	█	█	█	█	█	█	194,100,000	GOK, CDF, Donors	
			2.3	We are in good sanitary conditions.		included in Strategy No.2.2			○	●	○																					
			2.4	Immunization coverage is high.		included in Strategy No.2.1			○				○																			
			2.5	We take nutritious and balanced food.	10	Nutrition and Health Improvement Programme									Min of Agriculture, Min of Health	A BREF, MA-NISA, MILDWAY, ORS, CACC, CARE	█	█	█	█	█	█	█	█	█	█	█	█	█	█	8,000,000	CBOs, FBOs, GOK, NGOs
			2.6	Endemic diseases are controlled.	11	Endemic Diseases Control Programme			⊙						Ministry of Health	PLAN-K, APHA-NYANZA, CARE, PSI	█	█	█	█	█	█	█	█	█	█	█	█	█	█	22,250,000	GOK, NGOs, FBO
			2.7	HIWAIDS is controlled.	12	HIWAIDS Control Programme	⊙	⊙		⊙	⊙				Ministry of Health	NACC, NASCOP	█	█	█	█	█	█	█	█	█	█	█	█	█	█	13,200,000	GOK, CDF, FBO, NGOs
			2.8	We can access proper medical care.	13	Medical Care Strengthening Programme	○		●		●	⊙			Ministry of Health	POPV, FCI, APHA-NYZ, Essential Health																
	A Highly Productive, Healthy and Secure District	3. We get good income. (3rd Priority)	3.1	We have access to micro finance.	14	Rural Credit Facilities Programme		●	●		⊙		Ministry of Co-operatives	Social Services, NGOs																		
			3.2	We have business activities.	15	Local Entrepreneurs Development Programme	●	⊙	⊙	●		○			Ministry of Trade and Industry	Min. of Labour-Enterprise Dev., KWFT, AEP																
					16	Market Centre Improvement/Establishment Programme									Ministry of Local Government	Ministry of Trade-Enterprise & Dev.	█	█	█	█	█	█	█	█	█	█	█	█	█	█	800,000	GOK
			3.3	We can catch more fishes. We can sell fishes at a good price.	17	Sustainable Fishery Management Programme	⊙	○							Fisheries Department	Cooperative Societies and NGOs	█	█	█	█	█	█	█	█	█	█	█	█	█	█	140,000	GOK, NGOs
			3.4	We can grow high value crops. (horticulture).	18	Income Generation Activities (IGA) Promotion Programme							⊙	⊙	Ministry of Agriculture	Animal Draft Power, KARI, ICIPE, FIS, USDO	█	█	█	█	█	█	█	█	█	█	█	█	█	█	550,000	GOK
			3.5	We have more harvest		included in Strategies No.1.1 and No.1.5							○	⊙																		
			3.6	We have more productive cattle.		included in Strategy No.1.6			⊙		⊙	⊙																				
			3.7	We can sell sugarcane at a good price.	19	Sugarcane Cottage Industry Promotion Programme					⊙				Ministry of Agriculture	SONY Sugar Co., Jaggeries, KESREF																
3.8	We can produce more cotton.	20	Cotton Revitalization Programme									Ministry of Agriculture	Min of Coop, Min of SQ, Agro Chemical/Gizwira	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	2,628,860	GOK		
	A Highly Productive, Healthy and Secure District	4. We get good education. (4th Priority)	4.1	We can acquire appropriate skills.	21	Polytechnics and Vocational Support Programme							Ministry of State for Youth Affairs	MOE, CDF, LATF, CDTF, MSRT, NGOs																		
			4.2	We can get good formal education.	22	OVCs FE Support Programme (Bursary, etc.)									Ministry of Education	MOH, CACC, FBOs, NGOs	█	█	█	█	█	█	█	█	█	█	█	█	█	█	2,700,000	GOK, CACC, AMREF, PLAN-K
			4.3	All the adults can read and write.	23	Functional Adult Literacy Programme									Department of Adult Education Ministry of Gender	Line Departments, NGOs																
	A Highly Productive, Healthy and Secure District	5. Our environment is protected. (5th Priority)	5.1	Afforestation.	24	Community Based Afforestation Programme		○	○	⊙	○	●	Ministry of Environment & Natural Resources	MOA, MOH, MOE, MOI, MOU, JICA, MORINGA R. AGENCY, E.I.PE	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	2,840,000	GOK, Donors	
			5.2	Our rivers are protected.	25	Rivers Protection Programme									Ministry of Environment & Natural Resources	MOA, MOI, C-MAD, PLAN-K, MORINGA R. AGENCY	█	█	█	█	█	█	█	█	█	█	█	█	█	█	950,000	GOK, Donors
			5.3	Waste is properly disposed.	26	Solid Waste Management Programme	○						○		Ministry of Health	NB Municipal Council, County Councils, CBOs																
			5.4	Environmental pollution is controlled.	27	Homa Bay Sewerage Improvement Programme								○	Lake Victoria South Water Service Board	MOH, UN-HABITAT, CBOs, NEMA, Other Donors																
	A Highly Productive, Healthy and Secure District	6. We have proper infrastructure. (6th Priority)	6.1	Rural electrification. (Diversification)	28	Rural Electrification Programme						○	Ministry of Energy	CDF, LATF, MRPV																		
			6.2	We have good road network.	29	Community Based Roads Network Programme							○		Ministry of Roads and Public Works	CDF, LATF, SIDA(Roads 2000 Program)																
			6.3	Our roads are properly maintained.	30	Trunk Road Improvement Programme							○		Ministry of Roads and Public Works	SIDA																
	A Highly Productive, Healthy and Secure District	7. We live in good security. (7th Priority)	7.1	There are few cattle and property thefts.	31	Community Policing Programme							Office of the President	Ministry of Internal Affairs																		
			7.2	There is few robbery / house breaking.		included in Strategy No.7.1																										

## CHAPTER 4 MONITORING & EVALUATION

In this chapter discusses Monitoring & Evaluation. Implementation arrangement of the programmes / projects can follow the existing institutional set-up in the district with some modifications according to the necessity to deal with each and every programme / project. The Ministry of Planning and National Development has prepared the Methodological and Operational Guidelines (MOGs) for the implementation of the National Monitoring and Evaluation System. This guideline describes the M&E at district level for the district development plan in accordance with and in order to fit into the National M&E System.

### 4.1 Implementation Set-up of M&E

#### 4.1.1 Evolution of the National M&E System

The IP-ERS, which augments the National Development Plan 2002-2008, provides for the development of an integrated national M&E system as an integrated component of the IP-ERS itself. The purpose of the integrated national M&E system is to provide feedback on the effectiveness of the implementation of policies and programmes set out in the IP-ERS, Ministry Strategic Plans and annual work plans. The M&E system provides a mechanism for feedback to the budgetary allocation system so that future budget allocations are tailored to maximize their impact on achievement of IP-ERS targets. It should also point to lessons and good practices for replication arising from experience in the implementation of policies and development programmes.

Since the establishment of the IP-ERS, several important steps have been taken towards establishment and institutionalization of the national M&E system; namely, 1) Establishment of the Monitoring and Evaluation Department (MED), 2) Creation of a National Steering Committee (NSC) for M&E, 3) Definition of a national institutional structure composed of a Central Structure and also Devolved Structure, and 4) Preparation of the “Methodological and Operation Guidelines” to guide the implementation of the national M&E system. The guidelines outline the rationale for the M&E system, concepts of M&E, how the M&E system is to be operationalised in government ministries and agencies with the necessary reporting formats, operationalisation of the M&E in the devolved structure and the role of the MED in the implementation of the national M&E system. Following discussion refers to the guidelines in the context of district level:

#### 4.1.2 M&E at the District Level

The broad purpose of M&E at the District level is to monitor<sup>1</sup> and evaluate<sup>2</sup> the implementation and effectiveness of programmes/ projects of political, social and economic development at the community level (from the grassroots level to the district level) and to provide feedback for improvement and further development of appropriate policies and programmes/ projects. The M&E at district level is intended to compliment the coverage and content of the M&E system at the central level, without necessarily replicating what is already covered in the central system.

The proposed M&E at district level is designed taking cognizant of the different administrations both at district level, division, location and sub-location levels, various categories of Local Authority (including Town Councils, County Councils and Municipal Councils), structures and systems defined on the basis of constituencies and the local offices of the ministries of central government. In addition to the structures of government it takes into consideration organizations in the private sector and civil society organizations (NGOs, CBOs, FBOs). Figure 4.1.1 shows the organizations which

<sup>1</sup> According to Oxford advanced Learners Dictionary to **monitor** means “to watch and check something over a period of time to see how it develops so that you can make any necessary changes”.

<sup>2</sup> To **evaluate** means “to form an opinion of the amount, value or quality of something after thinking about it carefully”

will be included in M&E structure at the district level (referred to the Annex-2, National M&E System Guideline).

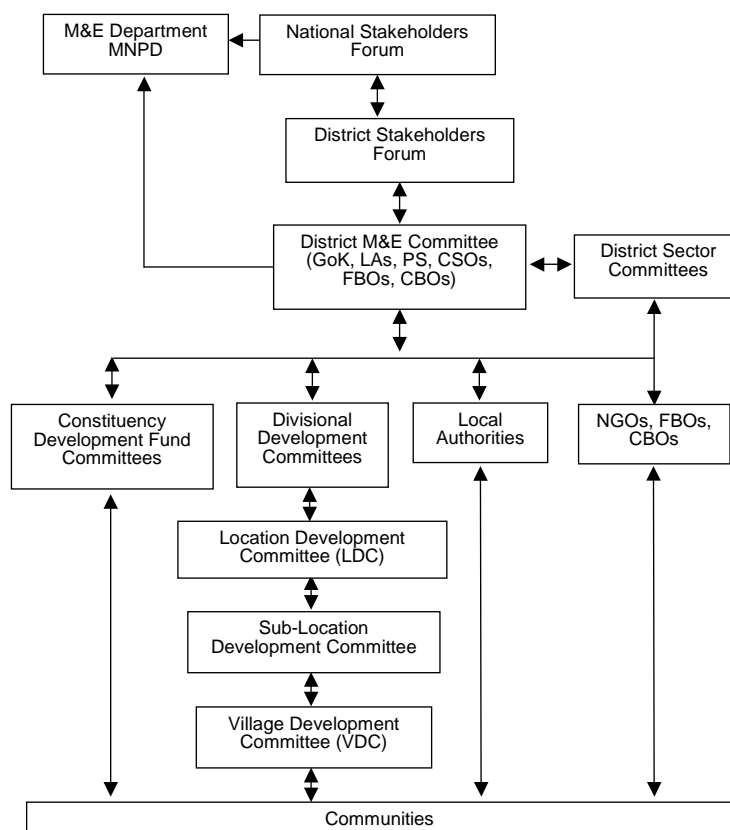
The M&E system at District level is based on plans and programmes being implemented in the district and aims to track and assess the extent to which these plans and programmes are successfully implemented and their effects and impact on the livelihood of the beneficiaries.

M&E should be taken as a routine function and part of the planning cycle. Under the current administrative system the responsibility for implementation of the district M&E is vested in the District Commissioner. For the day-to-day management purposes this responsibility is delegated to the District Development Officer (DDO). In the proposed M&E guided in the guidelines of national M&E, the role of the DDO is to:

- Convene the District Monitoring and Evaluation Committee (DMEC);
- Prepare the agenda and timetable for meetings of the DMEC and act as facilitator and secretary;
- Take all necessary steps to ensure that there is an appropriate level of financing for the proposed activities of the DMEC;
- Follow-up on decisions of the DMEC and ensure timetables for preparation of the District Annual M&E Report (DAMER) is adhered to; and
- Submit the DAMER to MED and relevant stakeholders.

The DMEC is established to provide well-informed and impartial advice to the DDO in undertaking of M&E activities in the district. Its composition should comprise representatives from the various organizations and stakeholders operating in the district. The functions of the DMEC are to:

- Promote awareness of the M&E in the district so that a culture of M&E is progressively adopted by all organizations and at all levels in the district;
- Advise and assist the DDO in preparation of a work plan for the preparation of the District annual review/ Report;
- Assist the DDO in ensuring that as wide as possible a range of stakeholders in the district are involved in the District annual review process; and
- Review the draft DAMER and make recommendations on its improvement before finalization.



**Figure 4.1.1 M&E Institutional Setting-up at District  
(from National M&E System Guideline)**

## 4.2 Output Oriented M&E and Learning Oriented M&E

In this guideline, it is proposed that two levels of monitoring systems be used; namely, output (indicator) oriented M&E which is well elaborated in the National M&E guidelines, and learning oriented M&E. These two principles of M&E are not exclusive and both are important for development. Indicator oriented M&E is usually more applicable at macro-level with quantitative evaluation, and learning oriented M&E is more applicable at micro-level with qualitative evaluation. It may be said at the district more emphasis can be placed on output (indicator) oriented M&E while at the divisional level and below thereof more emphasis on learning oriented M&E.

### 4.2.1 Output Oriented M&E

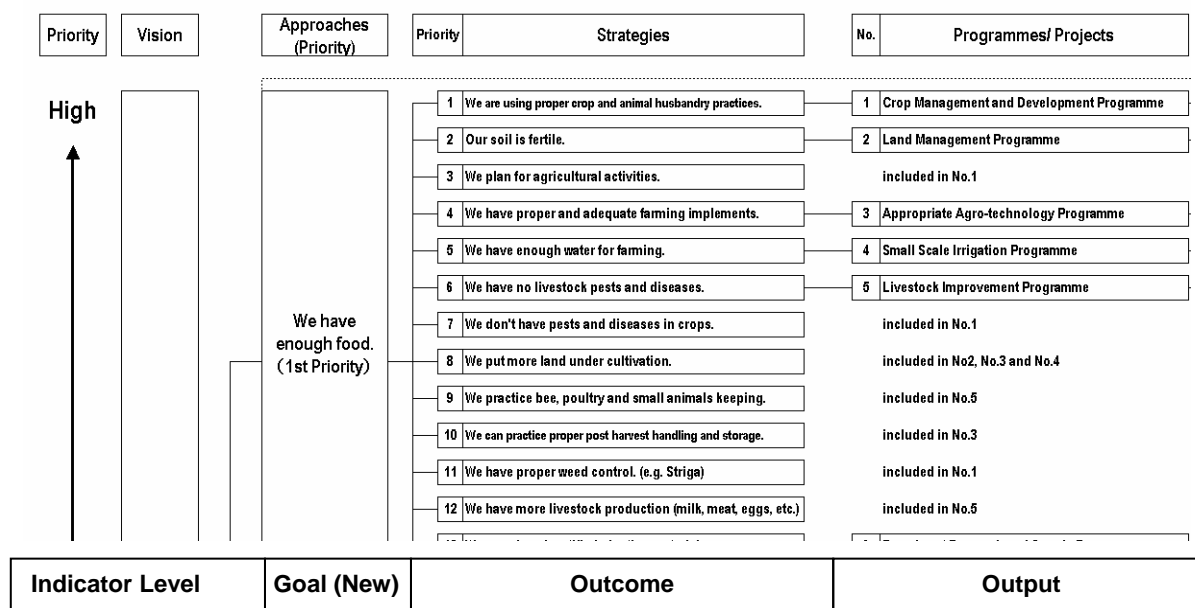
Indicator is a tool, which points to the implementation status of a plan. It is a pointer, which draws attention as to where implementation is on course to meeting the plan objectives<sup>3</sup>. The levels of indicators should correspond to the ones given by the National Monitoring and Evaluation System guided by the MPND. Table 4.2.1 below summarizes the level of the indicators in relation to the guide with an addition of a upper level that is for goal indicators relevant to the approaches proposed in the formulation of the district development plan in this Guideline.

**Table 4.2.1 Levels of Indicators Corresponding to the National M&E System**

Level	In the District Development Plan	Remarks
Goal Indicator	Approach (broad aim to be achieved in medium term) level. Goals of approaches are such as "Approach I: Our income is high", "Approach II: We are healthy" and "III: We have enough food".	Newly proposed to correspond to the approach level in the district development plan presented in this Guideline
Outcome Indicator	Strategy (Objective of the programme) level. Outcomes of strategies are such as "Strategy I-1-1: We have business activities", "Strategy I-1-2: We have (salary) job opportunities", "Strategy I-2: We have more harvest", "Strategy I-2-1: We can grow high value crops (horticulture)", "Strategy I-2-2: We can produce more cotton".	Same as in the National M&E system
Output Indicator	Programme / project level such as "Domestic Water and Sanitation" and "Control of Epidemic and Endemic Diseases including HIV/AIDS Programme" under "Strategy II-6: Endemic diseases are controlled" and "Strategy II-5: HIV/AIDS is controlled". Outputs are immediate results to be achieved by specific programmes / projects.	Same as in the National M&E system

Figure 4.2.1 below also explains the correspondence between the indicator level and development framework to be developed based on this Guideline. Indicators of goal, outcome and output correspond to the development approaches, development strategies and programmes / Projects of the development framework respectively. Development framework at district level makes it very easy to link between the indicators and approaches, strategies and programmes / projects. In other words, although indicators for individual programme / project could be relatively easily monitored, it will be very difficult to follow the indicator at approach level without the development framework. Also as the development framework is constructed by cause – effect relations from programme / project level to strategy and approach levels, it can help estimate contribution of individual programme / project to the achievement at approach level.

<sup>3</sup> Implementation of the National M&E System, Methodological and Operational Guideline, Ver. 1.3, Page 6



**Figure 4.2.1 Relationship between Indicators and District Development Framework**

The National M&E system gives 31 core indicators. Taking into these indicators account, a set of goal and outcome level indicators corresponding to the Approach and Strategy in the district development framework are exemplified as follows. Note is that output indicator referred to in the National M&E system is relevant to the outputs (immediate results to be achieved by specific programmes / projects) level of each programme/ project, so that when detailing programme/ project list the objectives should have verifiable indicators that are so-called output indicators in the National M&E system. This output indicators are also exemplified following the outcome level indicators:

**Table 4.2.2 Example of Indicators at Goal and Outcome Levels (relevant to the National M&E System)**

Living standard of the people of Homa Bay District is high.																						
Approaches (Goal indicators)	III. We have enough food. <i>Food production of major crops per population</i>		II. We are healthy. <i>Life expectancy by sex</i>		I. We get good income. <i>Proportion of population living below the absolute poverty line</i>		VI. We get good education. <i>(See the sub-outcome indicators)</i>		V. Our environment is protected. <i>(See the sub-outcome indicators)</i>		IV. We have proper infrastructure. <i>(See the sub-outcome indicators)</i>		VII. We live in good security. <i>(See the sub-outcome indicators)</i>									
<b>Strategies (Outcome indicators)</b>	1	III-3. We are using proper crop and animal husbandry practices.	<i>Productivities of major crops and number of animals</i>	1	II-4. We are conversant on diseases prevention and control.	<i>Proxy: Life expectancy</i>	1	I-2. We have access to micro finance.	<i>Proxy: Number of people who used micro finance</i>	1	VI-2. We can acquire appropriate skills.	<i>Net enrollment statistics for youth polytechnics</i>	1	V-1. Afforestation.	Forest area protected by gazettelement	1	IV-3. Rural electrification. (Diversification)	Proportion of households with electricity served	1	VII-1. There are few cattle and property thefts.	<i>Number of reported cattle and property theft cases</i>	
	2	III-1. Our soil is fertile.	<i>Crop Yield (Production per unit area)</i>	2	II-1. We have enough clean water.	Proportion of households with safe and reliable water	2	I-1. We have business activities.	<i>Proxy: Number of shops certified by the county council</i>	2	VI-1. We can get good formal education.	Net enrollment statistics by sex	2	V-4. Our rivers are protected.	<i>Water quality of river water</i>	2	IV-1. We have good road network.	<i>Percentage of newly paved roads</i>	2	VII-2. There is few robbery / house breaking.	<i>Number of reported robbery / house breaking cases</i>	
	3	III-6. We plan for agricultural activities.	<i>Number of farmers applying rotational cropping</i>	3	II-2. We are in good sanitary conditions.	<i>Proportion of households with hygiene facilities (latrine, dish rack)</i>	3	I-9. We can catch more fishes.	<i>Fish production</i>	3	VI-3. All the adults can read and write.	<i>Adult literacy rate</i>	3	V-2. Waste is properly disposed.	<i>Proxy: water quality of shallow wells</i>	3	IV-2. Our roads are properly maintained.	Percentage of road network in good condition	3	VII-3. There is minimum inter-personal and community conflicts.	<i>Number of reported inter-personal and community conflict cases</i>	
	4	III-7. We have proper and adequate farming implements.	<i>Number of farmers using implements</i>	4	II-7. Immunization coverage is high.	Fully immunized children as percentage of under-1 population	4	I-10. We can sell fishes at a good price.	<i>Unit price of fish</i>	4	I-6. We can grow high value crops. (horticulture).	<i>Production of horticulture crops</i>	4	V-3. Environmental pollution is controlled.	Promotion of public sector projects subjected to EIAs							
	5	III-4. We have enough water for farming.	<i>Area irrigated</i>	5	II-8. We take nutritious and balanced food.	Prevalence of under-weight children in under-5s.	5	I-8. We can sell sugarcane at a good price.	<i>Unit price of sugarcane</i>	5	I-5. We have more harvest.	<i>Crop Yield (Production per unit area)</i>	5									
	6	III-11. We have no livestock pests and diseases.	<i>Number of animals per household</i>	6	II-6. Endemic diseases are controlled.	IN-patient malaria mortality as percentage of total in-patient morbidity	6	I-3. We have more productive cattle.	<i>Number of upgraded cattle</i>	6	I-11. We can produce more cotton.	<i>Production of cotton and cotton-made products</i>	6									
	7	III-8. We don't have pests and diseases in crops.	<i>Production of major crops</i>	7	II-5. HIV/AIDS is controlled.	Proportion of pregnant women aged 15-24 years attending ANC who are HIV infected	7	I-7. We can sell our crops at a good price.	<i>Unit price of crops</i>	7	I-4. We have (salary) job opportunities.	<i>Number of employment</i>	7									
	8	III-10. We put more land under cultivation.	<i>Area cultivated</i>	8	II-3. We can access proper medical care.	Proportion births attended by skilled health personnel	8			8			8									
	9	III-13. We practice bee, poultry and small animals keeping.	<i>Production of honey, chicken meat, eggs and small animal meats</i>							9			9									
	10	III-5. We can practice proper post harvest handling and storage.	<i>Post-harvest loss</i>							10			10									
	11	III-2. We have proper weed control. (e.g. Striga)	<i>Production of maize, sorghum and millet</i>																			
	12	III-12. We have more livestock production (milk, meat, eggs, etc.)	<i>Production of livestock products e.g. eggs, milk, meats etc.</i>																			
	13	III-9. We use clean / certified planting materials.	<i>Crop Yield (Production per unit area)</i>																			
	14	III-14. We can catch more fishes.)	<i>Fish production</i>																			
	15	III-15. We have less dependants.	<i>Crop production per household</i>																			

Note: Indicators in italic letters are suggestions by the Study Team

Approach = Broad aim to be achieved in medium term

Strategy = Objective of the programme



Table 4.2.3 Example of Output Indicators at Programme/ Project Level in Relation to Outcome Level Indicators

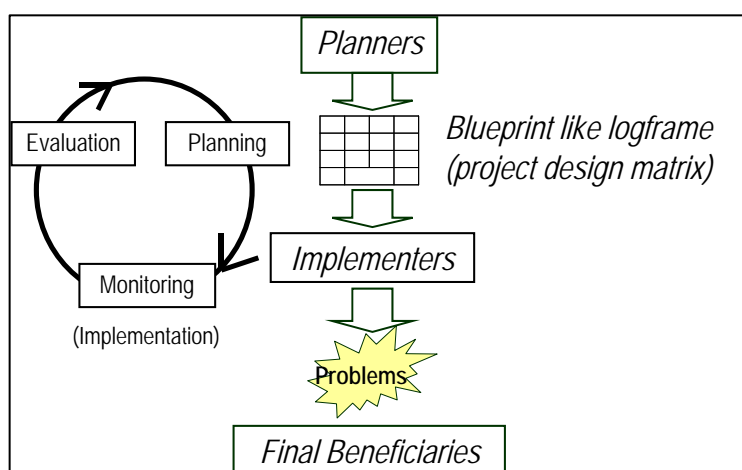
Approach (Broad Aim to Be Achieved in Medium Term)		Strategy (Objective of the Programme)			Outputs (Immediate Results to Be Achieved by Specific Programmes / Projects)		
Goal of Approach	Goal Indicator	Outcome of Strategy	Outcome Indicator	Programme	Outputs of Programme	Output Indicator	
We have enough food	Food Production per population	We are using proper crop and animal husbandry practice	Productivities of major crops and number of animals	Crop Management and Development Programme	Ecological farming Farm planning Compost manure utilization Fodder utilization	Number of farms applying technology Number of farmers applying rotational cropping Number of farms applying compost manure Number of farmers using fodders	
We are healthy	Life expectancy per sex	HIV/AIDS is controlled	Proportion of pregnant women aged 15-24 years attending ANC who are HIV infected	Livestock Improvement Programme	Disease control Cow shed improvement	Number of farmers applying medicines for animals Number of farmers having cow shed	
We get good income	Proportion of population living below the absolute poverty line	We can produce more cotton	Production of cotton and cotton-made products	HIV/AIDS Control Programme	HBC promotion VCT Strengthening Campaign	Number of active HBC TOTs Number of VCT with qualified staff and proper kits Number of villages visited	
				Cotton Revitalization Programme	Cotton Crop Promotion Pest management Local cotton industry promotion	Area cultivated for cotton Number of farms applying pest control inputs Number of people for cotton industry	

Note: Indicators in *italic letters* are suggestions by the Study Team

### 4.2.2 Learning Oriented M&E

In classical projects, planning, implementation, monitoring and evaluation go along with a project cycle (Figure 4.2.2). Planners make a plan, implementers materialize the plan into project according to the blueprint like a logframe (logical framework or project design matrix), and the third party or managers monitor and evaluate the project according to the logframe. Implementers are the ones to follow the blueprint and to be monitored and evaluated by somebody else in many cases. There are objectively verifiable indicators for the outputs and outcomes (which are also called the project purpose, overall goals and impacts) of the projects, and the performance of the projects is measured by these pre-set indicators, except for some impacts which are not foreseeable.

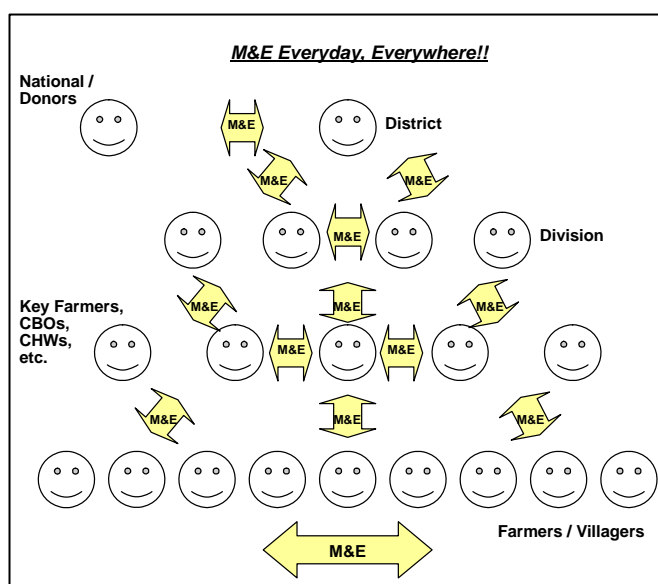
Under this indicator oriented monitoring and evaluation, monitoring is basically carried out to check the fitness to the blueprint, and evaluation is a sort of review of the blueprint by feed-backing the progress and outputs from the monitoring. This indicator oriented model fits the best to physical projects, but not much to social development projects because those projects are not only for the direct outcome of the projects but also for capacity building of the implementers and final beneficiaries as organizations and as individuals.



**Figure 4.2.2 Indicator Oriented M&E in Project Cycle**

In social development projects, capacity building can be the main objective of the projects and the direct outcome can be secondary.

Another school of monitoring and evaluation come from education sector, especially adult education discipline. In that school, teachers are not the only ones to teach and decide. Teachers must also learn from the students, and ask the students for what they want to study. Where indicator oriented M&E values on the objectives (outputs and outcomes) of the projects, learning oriented M&E values on the development of organizations and individuals. In other words, indicators require unified mission and direction but that is not always necessary for learning. Indicators are more directional, and learning is more attitudinal.



**Figure 4.2.3 Concept of Learning Oriented M&E**

Since indicator oriented M&E has already started to be institutionalized in MPND, it is time for learning oriented M&E to be introduced as an organizational culture. For the learning oriented M&E, i.e. process M&E, its implementation is not difficult at all. Process monitoring is very similar to adult education discipline. In that school, teachers are not the only ones to teach and decide. Teachers must also learn from the students, and ask the students for what they want to study.

While indicator oriented M&E values on the objectives (outputs and outcomes) of the projects, learning oriented M&E values on the development of organizations and individuals. Learning oriented M&E can start with:

1. Observe the people and listen to the people in the training or in the workshop. If you notice something, react immediately and do not do just as scheduled. For example, change the date and time of the training or workshop, change the venue, change the language you use, change the way of noticing the training or workshop, change the teaching material, change from theory to practicality, and change the curriculum, etc.
2. Get the feedback from the participants. How do they rate the training or the workshop? What were good and what need some more improvement? What else do they want to learn or do?
3. Have a meeting among the trainers/ instructors/ facilitators after each training or workshop. Discuss how the training or workshop was and how they can improve the session.
4. Send the report of findings and lessons learned, in addition to the results of the conventional indicator oriented M&E, to the district offices of the line ministries.
5. Have periodical inter-ministry meetings at divisional level and discuss the findings and lessons learned. Share what was discovered as lesson, and reflect them in the on-going programmes.
6. Discuss the findings and lessons learned in the quarterly meeting at division level. Reflect them in the approaches, strategies and programmes/ projects of the district development plan.
7. Incorporate the results of learning oriented M&E in the M&E report in addition to the results of the indicator oriented M&E, which is to be submitted to the Monitoring and Evaluation Department, Ministry of Planning and National Development. Reflect the findings and lessons learned in the policy of the Ministry.

## CHAPTER 5 CONTENTS OF DISTRICT DEVELOPMENT PLAN

In this chapter, contents to documenting the District Development Plan are proposed. On current DDP, a fact sheet of the District is usually attached at the beginning. It is proposed that **District Development Framework should also be attached following the fact sheet** in order to make the readers of the DPP easier to seize the platform of the development plan in the District. Following shows the proposed contents of the district development plan compared to the current one with some explanations herewith:

**Table 5.1.1 Current and Proposed Contents of the District Development Plan**

Current Contents of DDP		Proposed Contents of DDP	
Beginning	• Fact Sheet of the District	Beginning	• Fact Sheet of the District • <b>District Development Framework</b>
-	-	Chapter 1:	• Introduction (Process of Planning (Participatory Approach))
Chapter 1:	• District Profile	Chapter 2:	• District Profile (Present Situation)
Chapter 2:	• Major Development Constraints	Chapter 3:	• Development Constraints • Development Opportunities & strength
Chapter 3:	• Development Strategies & Priority Programmes / Projects by Sector	Chapter 4:	• Development Vision • Programme / Project Description by Priority Approaches, and Strategies.
Chapter 4:	• Implementation, and M&E Arrangement	Chapter 5:	• Implementation, and M&E Arrangement

- **Introduction to Planning Process:** describe how the participatory planning process was undertaken (what kind of workshops were undertaken? Who were the participants? When and where were the workshops taken place? etc.) (This description could be Chapter 1).
- **District Profile:** same as the ongoing DDP, but the situation analysis to be carried out by the participatory analysis can fully be utilized to describe the district status.
- **Development Constraints & Opportunities:** ongoing DDP describes only constraints but here we should add opportunities and strength, as well based on the participatory workshops and sector analysis.
- **Development Vision:** agreed development vision among the stakeholders (workshop participants) is to be described. The vision should refer to the present situation analysis including opportunities and strength of the district as well as its constraints.
- **Programmes / Project Description by Priority Approaches and Strategies:** Ongoing DDP describes the programmes / project by sector, i.e. by line ministries. But for the proposed contents, programmes / projects can be described in order of the priority approaches and strategies as structured as the Development Framework, and
- **Implementation, and M&E Arrangement:** it should reflect the National M&E System (NIMES) and also indicators should be displayed for each and every approach, strategy and programme / project (goal indicators, outcome indicators and output indicators corresponding to approaches, strategies and programmes / projects in the Development Framework).

## **Annex-1: Building Socio-economic Framework**

### **1. Available Data, which can be obtained without costing much**

In this guideline, we indicate a way of establishing socio-economic framework with the data easily obtained within the district jurisdiction. The basic concepts of building the socio-economic framework are:

- The picture of the economy, which the framework gives, should give enough information to foresee the future direction of the area though it cannot be used for detail designing of the project / programme.
- It should be built at low cost; namely, the framework to target would not be the one with very high accuracy which needs special survey incurring high cost.

Estimation of the gross domestic product requires a numerous numbers of the statistics and records of transactions. Those data are in most cases collected, recorded and retained at the national level and the outputs of the consolidated data appear mostly not by district but by whole nation. Also due to the survey independently conducted by the central agencies such as the Central Bureau of Statistics, it is very difficult to get the data on economic activities of all the sectors at district level and even if it is possible, it will require so much cost to trace the data at district level.

The socio-economic framework, which the guideline intends to build, should take into account that how easily the building can be practiced at the district level at the same time of building reasonable frame that people can be convinced of capturing somehow the picture of the local economy. Therefore, this guideline basically applies the data, which can be obtained at the district offices of the line ministries, to build the socio-economic framework. Following are the available basic data:

#### **1) 1999 Kenya Population and Housing Census**

This is the basic and most accurate statistics among others since it is a census and the data publication has been well distributed to districts, so the planners based at district can easily access to the statistics.

#### **2) Annual Reports of District Agriculture and Livestock Offices**

This is the most useful and basic data, which are estimated by the concerned district offices every year and published. The data can also relatively easily be obtained from the district offices of the ministry. From this data, income generated from agriculture sector can be estimated based on the production.

#### **3) The District Development Plan; 2002 –2008 (fact sheet gives household income by sector, population by rural and urban, etc.)**

Hardest part of data collection is trade, industry and services, i.e. income generated outside agriculture sector. The Ministry of Trade and Industry posts some regional offices (For example, Nyando District is covered by Kisumu Office and Homa Bay has an office covering the 5 districts in South Nyanza Province) and they conduct an annual survey to all the industrial companies on their status e.g. production, investments and number of employees. However, the outputs are sent directly to the central office in Nairobi and thereby difficult to trace the data by district. Also the outputs of informal sector is not captured in any survey.

With these shortfalls, it is very difficult to estimate the trade and industrial economic outputs. This guideline therefore applies some of summarized data found in Fact Sheet attached in the latest District Development Plan, which is prepared by CBS, MPND. The Fact Sheet shows household income distribution among agriculture, rural self-employment, urban self-employment, employment and others. The magnitude of the economy outside the agriculture production can be estimated by using

this distribution albeit the accuracy of the estimation should be kept in mind.

## 2. Applied Scio-Economic Framework with Available Data

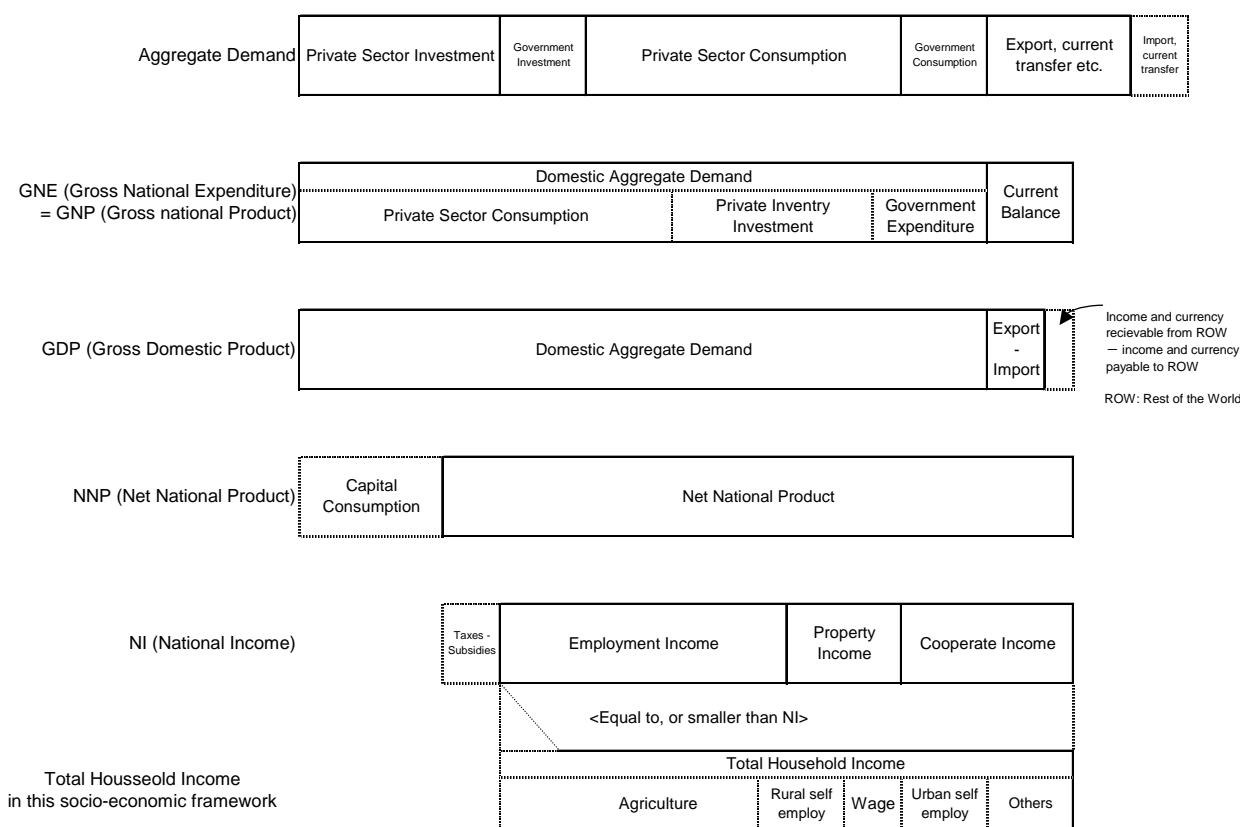
With available data mentioned above, the possible indicators for this socio-economic framework are:

1. Population
2. Household Income
3. Food Self-sufficiency

With above statistical data as basis, this guideline builds the socio-economic framework. To sense the implication of the framework, this guideline tries to link the indicator of the household income, which we are talking about, with existing indicators i.e. Gross Domestic Product (GDP).

Indicators like GDP and GNP (Gross National Product) are national accounts, but one can still refer to the concept of these indicators as we assume that the district is a country. In this case, export and import are defined as the transaction across the district boundary. Figure below indicates the concept of the household income, which we will obtain from the available statistics, from the view point of macro economy.

### Concept of National Account (Regional Account)



*Note: We assume here a district as a country*

As a concept, total household income obtained from the above available statistics would be equal to or less than national income (NI), since the cooperate income i.e. net profit of corporations might not be reflected into the household income.

### 3. Basic Step of Building Socio-economic Framework

#### 3.1 Basic Step

With the availability of the data as presented above, the following procedure is taken to build up the socio-economic framework:

- Step 1: Project future population of the District to make the pre-condition of the framework
- Step 2: Estimate production and value of the crop for basic food to be required by the district population
- Step 3: Estimate current production and gross value of crops, livestock products and fish
- Step 4: Estimate agriculture income using net income ratio of each product
- Step 5: Estimate household income by using the contribution ratio of sectors to the household income shown in the latest District Development Plan
- Step 6: Estimate household income per capita by rural and urban areas using the data of rural and urban populations and estimate percentage of income to be spent for required basic food.
- Step 7: Establish development scenarios based on the current status estimated above; options of the development scenarios would be increase of crop area, increase of productivity, value adding, structural change of sectors, etc. Note is that arable land in the District and the population constrain the scenario setting.

#### 3.2 Estimation By Step

##### Step 1: Population Projection

There are two major methods of population projection: trend analysis and cohort analysis. Trend analysis refers to the past trend of the population in the area and estimates the future trend considering socio-economic condition. Cohort analysis refers to the distribution of population by age group, e.g. 0 – 4 years old and 5 – 9 years old and estimates the shift of age group toward future taking into account the birth rate, survival rate and mortality rate.

Analytical Report Volume VII of 1999 Kenya Population and Housing Census conducted population projections taking into account past trend of mortality and fertility plus the effect of HIV/AIDS. This projection can be applied for the population projection in the district. Following is the example of applying the Census data.

The Census Report estimated the population up to year 2010. At the time of year 2010, the population growth ratio was estimated at 2.001 percent per year. With this population growth ratio, following table projects the population of Nyando District and by division as an example. The projected population is to increase to 395,767, 436,986 and 473,032 in years of 2010, 2015 and 2019 respectively. This means the population is to increase 35% from the year 2004 (Refer to Table A1.1).

**Table A1.1 Population Projection in Nyando District over the Plan Period**

Year	2004	2005	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	
District	Population	349,419	357,393	380,279	388,002	395,767	403,687	411,766	420,007	428,412	436,986	445,731	454,652	463,751	473,032
	Density	299	306	325	332	339	346	352	359	367	374	381	389	397	405
	Increment ag/2004	1.00	1.02	1.09	1.11	1.13	1.16	1.18	1.20	1.23	1.25	1.28	1.30	1.33	1.35
Division	Nyando	75,155	76,871	81,793	83,454	85,124	86,828	88,566	90,338	92,146	93,990	95,871	97,790	99,747	101,743
	L/ Nyakach	57,373	58,682	62,440	63,708	64,983	66,283	67,610	68,963	70,343	71,751	73,187	74,652	76,146	77,669
	Miwani	67,604	69,147	73,575	75,069	76,571	78,103	79,667	81,261	82,887	84,546	86,238	87,964	89,724	91,520
	Muhoroni	73,919	75,606	80,448	82,082	83,724	85,400	87,109	88,852	90,630	92,444	94,294	96,181	98,106	100,070
	U/ Nyakach	75,367	77,087	82,024	83,690	85,364	87,073	88,815	90,593	92,406	94,255	96,141	98,066	100,028	102,030
	Nyando	301	308	328	335	341	348	355	362	370	377	385	392	400	408
	L/ Nyakach	314	321	342	349	356	363	370	378	385	393	401	409	417	425
	Miwani	300	306	326	333	339	346	353	360	367	375	382	390	398	405
	Muhoroni	221	226	240	245	250	255	260	265	271	276	282	287	293	299
U/ Nyakach	428	438	466	476	485	495	505	515	525	536	546	557	568	580	

**Step 2: Required Food Value**

- Required annual amount of basic staple food (cereal: maize, sorghum, millet) is assumed at 240kg for adult man, 0,8 of adult man for adult woman, 0.7 of adult man for youth (age 5 –14) and 0.4 of adult man for infant (under 5 years old). Population by age group and sex in the 1999 Population Census can be utilized to estimate the annual required amount of cereals per capita. Table A1.2 on right hand shows how to calculate it.

**Table A1.2 Calculation of Required Cereals per Capita**

(1) Age Set from 1999 Population and Housing Census

Age set	Nyando District			Homa Bay District		
	Male	Female	Total	Male	Female	Total
0-4	23,417	23,284	46,701	24,826	24,414	49,240
5-14	44,036	42,178	86,214	42,813	41,812	84,625
15-	79,182	87,833	167,015	69,089	85,586	154,675
Total	146,635	153,295	299,930	136,728	151,812	288,540

Age set	Nyando District (%)			Homa Bay District (%)		
	Male	Female	Total	Male	Female	Total
0-4	16%	15%	16%	18%	16%	17%
5-14	30%	28%	29%	31%	28%	29%
15-	54%	57%	56%	51%	56%	54%
Total	100%	100%	100%	100%	100%	100%

(2) Required cereals per capita per year (male over 15 years old =1)

Age set	Nyando District			Homa Bay District		
	Male	Female	Total	Male	Female	Total
0-4	0.4	0.4		0.4	0.4	
5-14	0.7	0.7		0.7	0.7	
15-	1.0	0.8		1.0	0.8	

(Weight is assumed referring to S. Oyama (The Farmers' World in Africa))

(3) Required cereals per capita per year (kg/capita/yr: Male over 15 years old = 240kg)  
240kg x Table (2)

Age set	Nyando District			Homa Bay District		
	Male	Female	Total	Male	Female	Total
0-4	96	96		96	96	
5-14	168	168		168	168	
15-	240	192		240	192	

(4) Required cereals per capita per year: Weighed Average (kg/capita/yr)  
Table (1) x Table (3)

Age set	Nyando District			Homa Bay District		
	Male	Female	Weighed Ave.	Male	Female	Weighed Ave.
0-4	15	15	15	17	15	16
5-14	50	46	48	53	46	49
15-	130	110	119	121	108	114
Total	195	171	183	191	170	180

- Conversion of amount of the required basic food per capita into monetary value is conducted using the formula below:

If the production of basic food in the district is over the required amount;

$$\text{Value} = \text{Required amount} \times \text{Farm-gate price (Basic Price)}$$

If the production of the basic food in the district is below the required amount;

$$\text{Value} = \text{Production in the district} \times \text{Farm-gate price (Basic Price)} +$$

$$(\text{Required amount} - \text{Production in the district}) \times \text{Retail price (Purchaser's Price)}$$

**Step 3: Agriculture and Livestock Production and Gross Value**

- Annual productions of agriculture, livestock and fishery are obtained from relevant annual reports of the agriculture and livestock departments. The agriculture and livestock products include cereals, legume, root crops, vegetables, fruits, cash crops such as rice, sugarcane, groundnuts, cotton, meats, eggs, honey, hide and skin, and fish.



2) The gross production values of agricultural products are estimated as:

$$\text{Gross Value of Production} = \text{Production} \times \text{Unit Market Price (Retail or Purchaser's Price)}$$

The annual reports show the average market price or otherwise the data should be collected from public market, etc.

#### Step 4: Estimation of Agriculture Income

Net income of agriculture producers is estimated by multiplying the gross value of each product with net income ratio. Net income ratio is a share of gross value falling into the income of producers, namely calculated as:

$$\text{Net Income} = \text{Gross Value} - \text{Production Cost (include trade margine)}$$

$$\text{Net Income Ratio} = \frac{\text{Gross Value} - \text{Production Cost (includes trade margin)}}{\text{Gross Value}}$$

$$\text{Net Income} = \text{Gross Value} \times \text{Net Income Ratio}$$

Net income ratio of each product should be estimated based on field survey. Following Table 1.3 shows an estimate of net income ratio by product.

**Table A1.3 Net Income Ratio by Product (Rough Estimation)**

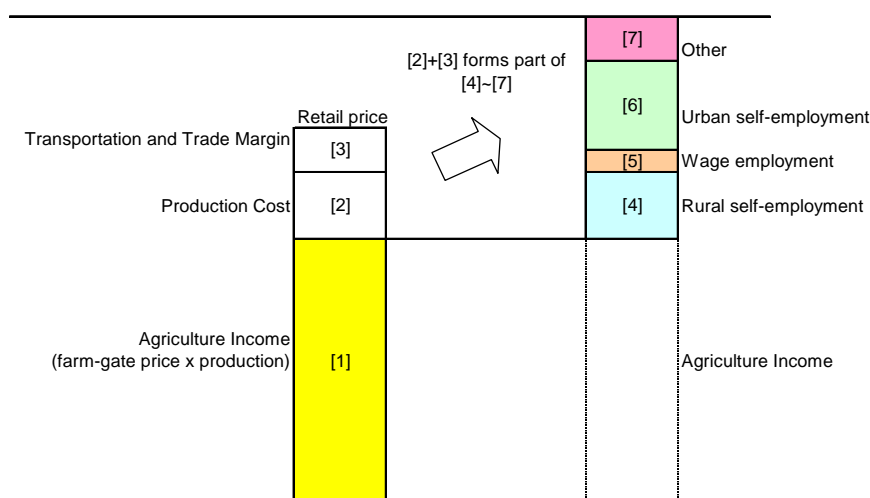
Crop	Cereal	Legume	Root crops	Vegetables	Fruits	Paddy Rice	Groundnuts	Cotton	Sugarcane
Net Income Ratio (%)	75.0	75.0	80.0	65.0	85.0	75.0	80.0	70.0	77.0
Livestock	Milk	Beef	Sheep	Goats	Honey	Wax	Eggs	Poultry meat	Hide/Skin
Net Income Ratio (%)	75.0	90.0	90.0	90.0	80.0	80.0	70.0	70.0	95.0

Source: Estimated by the Study Team

**Sample Calculation:** If gross value of rice is 100, the net income is  $100 \times 75\% = 75$

#### Step 5: Estimation of Income From Other Sectors

The data on distribution of household income appeared on the Fact Sheet of the District Development Plan is used to estimate the incomes of other categories or sectors defined as agriculture, rural self-employment, wage employment, urban self-employment and others. Figure A1.1 below indicates the conceptual structure of the income distribution.



**Figure A1.1 Distribution of Household Income by category**

**Example of Calculation:****Table A1.4 Household Income Distribution (Nyand District Fact Sheet, 2002)**

Category	Agriculture	Rural self-employ	Wage	Urban self-employ	Others
Distribution	52	10	25	10	3

If Agriculture Income is 100, income of rural self-employment is calculated as:

$$\text{Total Household Income} = 100 / 0.52 \text{ (share of agriculture sector)} = 192.3$$

Therefore,

$$\text{Income of rural self-employment} = 192.3 \times 0.1 \text{ (share of rural self-employment)} = 19.2$$

**Step 6: Estimation of Income per Capita**

The net income per capita is estimated by dividing the total household income by the rural and urban population. The estimation in this framework should be compared with another data sources in order to examine its relevance. One good reference is Geographic Dimension of Well Being Kenya (Central Bureau of Statistics). Table A1.5 below shows the poverty incidence in Nyando and Homa Bay Districts and the poverty line in urban and rural areas. This indicator would help approximate the relevance of the net income per capita estimated in this socio-economic framework.

**Table A1.5 An Example of Poverty Incidence by District, and Poverty Lines**

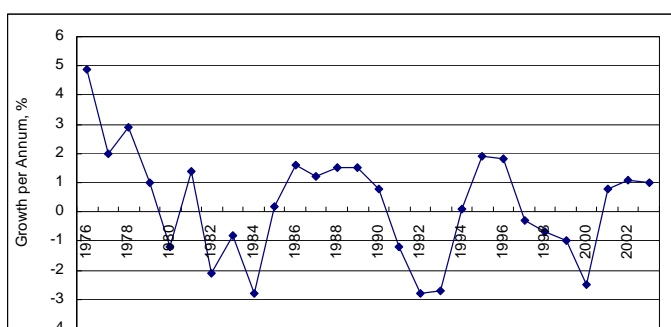
District	Nyando	Homa Bay
Poverty Incidence	61%	71%
Urban Poverty Line	Ksh1,239 per month per capita	
Rural Poverty Line	Ksh2,648 per month per capita	

**Step 7: Scenario Setting: Estimation of Economic growth**

When we picture the present socio-economic situation with above indicators, i.e. population, household income and food self-sufficiency, development scenario should be set considering the population projection which assumed that the people in the district would not migrate more than the current situation. To meet the aggregate demand with the magnitude of the population, the domestic economy must grow.

The development scenario could be examined by increase of production, or productivity, or quality improvement (price increase) in certain sectors and combination of all those factors. But the assumption for the development scenario should be realistic and achievable. Population growth rate can be one of the targets of economic growth so that the economic growth can keep up with the aggregate demand of the people in the district.

Referring to the past trend of economic growth of the region can also be a way to set the economic growth. Because of data availability, here we can refer to the trend of national economic growth. Figure

**Figure A1.2 Annual Growth of GDP per Capita (National)**

A1.2 shows the past trend of annual GDP growth per capita in Kenya. As the figure indicates, the optimal annual growth of GDP per capita in Kenya for the last two and half decades is around 2%. Therefore, assuming the per-capita growth rate more than 2% would sound ambitious in the context of national economy. Nevertheless to improve living standard of the people, higher growth rate than 2% may be targeted.

### 3.3 Case Study

The increase of household income is projected and targeted to improve the living standard of the district population as well as to keep up with the population growth. Here as example, this guideline sets the target as the growth per capita almost equal to the highest experiences of national level per capita growth ratio of 2% per year.

There could be various development scenarios to achieve the level of the target income per capita by the target year. Building scenario should depend on the characteristics and prospect of the area. For example, majority of the population in Nyando District live in the rural area, and agriculture and the agriculture related sectors are still considered potential areas of the development. Therefore, following three cases are examined upon the conditions below:

#### Conditions:

- 1) Growth of cropping area for basic crops is equivalent to population growth (increase of area is limited to the arable land of the district).
- 2) Some strategic crops like cotton increases the area over the population growth rate.
- 3) Unit prices of the products are consistent with the prices in 2004.
- 4) Growth of livestock production is equivalent to population growth.
- 5) Fish production maintains current level of 2004.

#### Development Scenarios

Scenarios	
Case 1	Productivity development of agriculture sector (unit yield increase of crops)
Case 2	Productivity development + increase of rural self-employment (value adding of the products)
Case 3	Urban sector development without agricultural productivity development

Tables A1.6 and A1.7 below show the summary of the case study under a target year. (in this case, the year was set at 2019). For example in the case 2, the share of agriculture income shifts from 52% of total income to 44%, while the share of rural self-employment increases from 10% to 18%. To bring this structural change, the annual growth of rural self-employment sector requires 8.8%, while agriculture sector needs 3.2%. With this scenario, the target income of Ksh1,496 per month per capita can be achieved against the current status of Ksh1,105 (as of 2004).

**Table A1.6 Development Scenario and the Structural Change of Sectors**

Case	Target	Case 1			Case 2			Case 3		
Target Case	2% Increase of Annual Gross Regional Income per Capita	Crop productivity increase: Yield Increase: 1.5 - 2.0 times in 2019			Crop productivity increase: Yield Increase: 1.3 - 1.5 times in 2019 Significant growth of rural self-employment: (213% of agri. sector)			Without crop productivity increase: Significant growth of urban sector: (227% of the growth of agri. sector) 24% of rural population migrate to urban area		
		Share of Income (ave. annual growth rate (%))			Share of Income (ave. annual growth rate (%))			Share of Income (ave. annual growth rate (%))		
			2004	2019		2004	2019		2004	2019
		Agriculture	52	52 (4.3)	Agriculture	52	44 (3.2)	Agriculture	52	35 (1.6)
		Rural self-employment	10	10 (4.3)	Rural self-employment	10	18 (8.8)	Rural self-employment	10	7 (1.9)
Urban sector	38	38 (4.3)	Urban sector	38	38 (4.4)	Urban sector	38	58 (7.7)		

**Table A1.7 Summary of Projection for Income per Capita**

Case	Target (2019)	Projection (Ksh/month/capita)			Achievement Rate			
		Case 1	Case 2	Case 3	Case 1	Case 2	Case 3	
Target Case	Total	1,496	1,488	1,496	1,509	99%	100%	101%
	Rural	1,237	1,230	1,237	1,112	99%	100%	90%
	Urban	2,274	2,262	2,274	2,036	99%	100%	90%

As the example of Nyando District, the urban areas in the district are not the cities but just small centers, where small-scale retailers and jua-kali artisans are earning their living. It would be impractical to prioritize the urban development in the district development programme. The resources of the district mainly lie in the rural area. Therefore, emphasis should be put on agriculture and rural sector development. But as the scenario of Case 1 shows, solely targeting increase of agriculture productivity would face the limit to development. Therefore, quality development (value adding activities) together with productivity increase would have to be prioritized. As a result of the examination, socio-economic framework for formulating development programme is set based on Case 2.

Table A1.8 below is a form for preconditioning (setting target growth) of the projection. As the table shows, increase of crop area for cereals are projected 1.35 by year 2019 and cotton is projected to grow 5 times in terms of crop area. Combining various target growths in items such as area, yield, income ratio, etc., various scenarios to achieve the target income are examined.

**Table A1.8 Target Growth Setting by Item**

Item		Target Growth	2004	2019	Remark			
Basic Crop	Area(ha)	Cereal	1.35	13,726	18,530	Equevalent to population growth		
		Legume	1.35	5,059	6,830	-do-		
		Root crops	1.35	1,109	1,497	-do-		
		Vegetables	1.35	1,306	1,763	-do-		
		Fruits	1.5	1,590	2,385	aim to be cash crop		
	Yield (t/ha)	Cereal	1.3	1.24	1.61	by increase of inputs and technical improvement		
		Legume	1.3	0.49	0.63	-do-		
		Root crops	1.3	10.73	13.95	-do-		
		Vegetables	1.3	12.83	16.68	-do-		
		Fruits	1.5	18.99	28.49	-do-		
Cash Crop	Area(ha)	Paddy Rice	1.2	1,322	1,586	utilize potential		
		GroundNuts	2.0	622	1,244	-do-		
		Cotton	5.0	324	1,620	Strategic crop (revitalization)		
		Sugarcane	1.0	22,529	22,529	Maintain present (severe market condition)		
	Yield(t/ha)	Paddy Rice	1.3	3.10	4.03	by increase of inputs and technical improvement		
		GroundNuts	1.3	0.76	0.98	-do-		
		Cotton	1.3	1.36	1.77	-do-		
		Sugarcane	1.5	22.19	33.29	introduction of early matured variety		
		Cereal	78.0	85.0	78.0	increase of inputs to augment yield		
		Legume	78.0	85.0	78.0	-do-		
Crop	Income ratio (%)	Root crops	83.0	90.0	83.0	-do-		
		Vegetables	67.0	70.0	67.0	-do-		
		Fruits	87.0	90.0	87.0	-do-		
		Paddy Rice	75.0	80.0	75.0	-do-		
		GroundNuts	80.0	85.0	80.0	-do-		
		Cotton	75.0	80.0	75.0	-do-		
		Sugarcane	80.0	85.0	80.0	-do-		
		Milk (mill. Liter)	1.35	18	24	Increase by number / Equevalent to population growth		
		Beef (t)	1.35	1,410	1,904	-do-		
		Sheep (t)	1.35	243	328	-do-		
Livestock	Production (t)	Goats (t)	1.35	256	346	-do-		
		Honey (t)	1.35	94	127	-do-		
		Wax (t)	1.35	3	3	-do-		
		Eggs (mill.)	1.35	11	14	-do-		
		Poultry meat (t)	1.35	92	124	-do-		
		Hide/Skin (no.)	1.35	33,749	45,561	-do-		
		Milk	75.0	75.0	75.0	Maintain present level		
		Beef	90.0	90.0	90.0	-do-		
		Sheep	90.0	90.0	90.0	-do-		
		Goats	90.0	90.0	90.0	-do-		
Livestock	Income ratio (%)	Honey	80.0	80.0	80.0	-do-		
		Wax	80.0	80.0	80.0	-do-		
		Eggs	70.0	70.0	70.0	-do-		
		Poultry meat	70.0	70.0	70.0	-do-		
		Hide/Skin	95.0	95.0	95.0	-do-		
		Fishery	Production(t) Fish	1.0	1,496	1.0	-do-	
		Income ratio (%) Fish	70.0	70.0	70.0	-do-		
		Household Income Share (%)	Share(%)	Agriculture	44.0	52	44.0	Share of rural-self employment 8% Share of rural / urban: same
				Rural-self employment	18.0	10	18.0	
				Wage	25.0	25	25.0	
Urban self employment	10.0			10	10.0			
Other	3.0			3	3.0			
Growth Agr=1	Agriculture		1.00	1.00	1.00	Growth of sectors (Agr.=1)		
	Rural-self employment		0.41	0.19	0.41	213%		
	Wage		0.57	0.48	0.57	118%		
	Urban self employment		0.23	0.19	0.23	118%		
	Other		0.07	0.06	0.07	118%		
Population	Rural population	0.75	0.75	0.75	No structural change			
	Urban population	0.25	0.25	0.25				
Monthly gross Income (Ksh/capita/month)	Total District		1,105	1,496	135%			
	Rural population		913	1,237	135%			
	Urban population		1,680	2,274	135%			

Following Table A1.9 are the complete calculation sheets of food self-sufficiency and household income. Please follow from the top line to bottom in order to get the structure of the calculation!

Table A1.9 Socio-economic Framework: Nyando District: Scenario of Case 2 (1/3)

Year		2004	2005	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
District	Population	349,419	357,393	380,279	388,002	395,767	403,687	411,766	420,007	428,412	436,986	445,731	454,652	463,751	473,032	482,498
	Density	299	306	325	332	339	346	352	359	367	374	381	389	397	405	413
	Annual growth rate	1.00	2.28	6.40	2.03	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
	Increment ag/2004	1.00	1.02	1.09	1.11	1.13	1.16	1.18	1.20	1.23	1.25	1.28	1.30	1.33	1.35	1.38
Required Food (t)																
	Cereal	63,944	65,403	69,591	71,004	72,425	73,875	75,353	76,861	78,399	79,968	81,569	83,201	84,866	86,565	88,297
	Legume	21,315	21,801	23,197	23,668	24,142	24,625	25,118	25,620	26,133	26,656	27,190	27,734	28,289	28,855	29,432
	Root crops	21,315	21,801	23,197	23,668	24,142	24,625	25,118	25,620	26,133	26,656	27,190	27,734	28,289	28,855	29,432
	Vegetables	19,218	19,657	20,915	21,340	21,767	22,203	22,647	23,100	23,563	24,034	24,515	25,006	25,506	26,017	26,537
	Fruits	25,508	26,090	27,760	28,324	28,891	29,469	30,059	30,661	31,274	31,900	32,538	33,190	33,854	34,531	35,222
Crop Production (Area) (ha)																
	Cereal	13,726	14,039	14,938	15,242	15,547	15,858	16,175	16,499	16,829	17,166	17,509	17,860	18,217	18,582	18,954
	Legume	5,059	5,174	5,506	5,618	5,730	5,845	5,962	6,081	6,203	6,327	6,453	6,583	6,714	6,849	6,986
	Root crops	1,109	1,134	1,207	1,231	1,256	1,281	1,307	1,333	1,360	1,387	1,415	1,443	1,472	1,501	1,531
	Vegetables	1,306	1,336	1,421	1,450	1,479	1,509	1,539	1,570	1,601	1,633	1,666	1,699	1,733	1,768	1,803
	Fruits	1,590	1,641	1,788	1,838	1,888	1,939	1,991	2,044	2,098	2,153	2,209	2,267	2,325	2,385	2,446
(Production) (t)																
	Cereal	17,020	17,810	19,378	20,209	21,058	21,933	22,834	23,764	24,721	25,707	26,722	27,769	28,845	29,955	31,097
	Legume	2,463	2,577	2,804	2,924	3,047	3,174	3,304	3,438	3,577	3,720	3,866	4,018	4,173	4,334	4,499
	Root crops	11,900	12,449	13,549	14,124	14,721	15,332	15,966	16,614	17,287	17,974	18,687	19,414	20,169	20,938	21,736
	Vegetables	16,758	17,539	19,075	19,894	20,730	21,597	22,482	23,400	24,336	25,306	26,311	27,335	28,395	29,492	30,610
	Fruits	30,195	32,368	36,577	38,935	41,372	43,904	46,535	49,267	52,102	55,044	58,096	61,260	64,540	67,939	71,460
(Yield) (t/ha)																
	Cereal	1.24	1.27	1.30	1.33	1.35	1.38	1.41	1.44	1.47	1.50	1.53	1.55	1.58	1.61	1.64
	Legume	0.49	0.50	0.51	0.52	0.53	0.54	0.55	0.57	0.58	0.59	0.60	0.61	0.62	0.63	0.64
	Root crops	10.73	10.98	11.23	11.47	11.72	11.97	12.22	12.46	12.71	12.96	13.21	13.45	13.70	13.95	14.20
	Vegetables	12.83	13.13	13.42	13.72	14.02	14.31	14.61	14.90	15.20	15.50	15.79	16.09	16.38	16.68	16.98
	Fruits	18.99	19.72	20.45	21.18	21.91	22.64	23.37	24.10	24.83	25.56	26.29	27.03	27.76	28.49	29.22
(Balance of Production (t))																
	Cereal	-46,924	-47,593	-50,213	-50,795	-51,367	-51,942	-52,519	-53,097	-53,678	-54,261	-54,847	-55,432	-56,021	-56,610	-57,200
	Legume	-18,852	-19,224	-20,393	-20,744	-21,095	-21,451	-21,814	-22,182	-22,556	-22,936	-23,324	-23,716	-24,116	-24,521	-24,933
	Root crops	-9,415	-9,352	-9,648	-9,544	-9,421	-9,293	-9,152	-9,006	-8,846	-8,682	-8,503	-8,320	-8,120	-7,917	-7,696
	Vegetables	-2,460	-2,118	-1,840	-1,446	-1,037	-606	300	773	1,272	1,796	2,329	2,889	3,475	4,073	4,733
	Fruits	4,687	6,278	8,817	10,611	12,481	14,435	16,476	18,606	20,828	23,144	25,558	28,070	30,686	33,408	36,238
Unit Farmgate Price (ksh/kg)																
	Cereal	15	15	15	15	15	15	15	15	15	15	15	15	15	15	15
	Legume	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30
	Root crops	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7
	Vegetables	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	Fruits	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
Unit Retail Price (Ksh/kg)																
	Cereal	19	19	19	19	19	19	19	19	19	19	19	19	19	19	19
	Legume	50	50	50	50	50	50	50	50	50	50	50	50	50	50	50
	Root crops	12	12	12	12	12	12	12	12	12	12	12	12	12	12	12
	Vegetables	23	23	23	23	23	23	23	23	23	23	23	23	23	23	23
	Fruits	17	17	17	17	17	17	17	17	17	17	17	17	17	17	17
Required value (Ksh 000) (if deficit, production*farmgate price+amount of deficit*retail price)																
	Cereal	1,146,854	1,171,416	1,244,716	1,268,241	1,291,843	1,315,893	1,340,369	1,365,303	1,390,698	1,416,564	1,442,924	1,469,745	1,497,075	1,524,917	1,553,257
	Legume	1,016,497	1,038,515	1,103,771	1,124,918	1,146,164	1,167,778	1,189,818	1,212,233	1,235,110	1,258,408	1,282,177	1,306,340	1,330,982	1,356,065	1,381,612
	Root crops	196,280	199,367	210,617	213,398	216,097	218,842	221,584	224,369	227,159	230,001	232,843	235,736	238,622	241,569	244,505
	Vegetables	391,740	399,495	423,819	431,139	438,452	445,878	453,435	462,000	471,260	480,680	490,300	500,120	510,120	520,340	530,740
	Fruits	255,080	260,900	277,600	283,240	288,910	294,690	300,590	306,610	312,740	319,000	325,380	331,900	338,540	345,310	352,220
	Total	3,006,451	3,069,693	3,260,523	3,320,936	3,381,466	3,443,081	3,505,796	3,570,515	3,636,967	3,704,653	3,773,624	3,843,841	3,915,339	3,988,201	4,062,334
Production Value (Ksh000)																
	Cereal	255,307	267,155	290,674	303,132	315,871	328,996	342,516	356,459	370,812	385,606	400,826	416,528	432,673	449,318	466,449
	Legume	73,880	77,303	84,119	87,724	91,403	95,208	99,123	103,151	107,310	111,588	115,985	120,540	125,201	130,027	134,982
	Root crops	83,300	87,143	94,845	98,865	103,050	107,322	111,765	116,299	121,012	125,819	130,812	135,901	141,184	146,567	152,151
	Vegetables	335,160	350,771	381,504	397,877	414,593	431,939	449,641	467,966	486,718	506,118	526,212	546,697	567,901	589,841	612,595
	Fruits	301,950	323,677	365,767	389,351	413,720	439,405	465,352	492,668	521,023	550,443	580,959	612,601	645,400	679,388	714,196
	Total	1,049,587	1,108,049	1,216,909	1,276,949	1,338,637	1,402,510	1,468,397	1,536,573	1,606,875	1,679,574	1,754,794	1,832,267	1,912,359	1,995,141	2,080,373
Production (Cash crop) (ha)																
	Paddy Rice	1,322	1,339	1,388	1,404	1,421	1,438	1,455	1,473	1,491	1,509	1,528	1,547	1,566	1,586	1,606
	GroundNuts	622	662	777	816	855	895	936	977	1,019	1,063	1,107	1,152	1,197	1,244	1,292
	Cotton	324	408	648	729	810	893	978	1,064	1,152	1,242	1,334	1,427	1,523	1,620	1,719
	Sugarcane	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529	22,529
Production (Cash crop) (t)																
	Paddy Rice	4,098	4,247	4,501	4,655	4,812	4,972	5,136	5,303	5,474	5,650	5,829	6,012	6,200	6,392	6,588
	GroundNuts	471	513	616	661	708	756	807	860	915	972	1,032	1,094	1,158	1,225	1,295
	Cotton	440	566	920	1,058	1,201	1,353	1,512	1,678	1,854	2,037	2,229	2,430	2,640	2,860	3,089
	Sugarcane	500,000	519,231	538,462	557,692	576,923	596,154	615,385	634,615	653,846	673,077	692,308	711,538	730,769		

Nyando and Homa Bay Development Programmes

Table A1.9 Socio-economic Framework: Nyando District: Scenario of Case 2 (2/3)

Year		2004	2005	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
District	Population	349,419	357,393	380,279	388,002	395,767	403,687	411,766	420,007	428,412	436,986	445,731	454,652	463,751	473,032	482,498
	Density	299	306	325	332	339	346	352	359	367	374	381	389	397	405	413
	Annual growth rate	1.00	2.28	6.40	2.03	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00
	Increment ag/2004	1.00	1.02	1.09	1.11	1.13	1.16	1.18	1.20	1.23	1.25	1.28	1.30	1.33	1.35	1.38
Livestock Production																
	Milk (mill. Liter)	17.5	17.9	19.0	19.4	19.8	20.2	20.6	21.0	21.5	21.9	22.3	22.8	23.2	23.7	24.2
	Beef (t)	1,410	1,442	1,535	1,566	1,597	1,629	1,662	1,695	1,729	1,763	1,799	1,835	1,871	1,909	1,947
	Sheep (t)	243	249	264	270	275	281	286	292	298	304	310	316	323	329	336
	Goats (t)	256	262	279	284	290	296	302	308	314	320	327	333	340	347	353
	Honey (t)	94	96	102	104	106	109	111	113	115	118	120	122	125	127	130
	Wax (t)	2.5	2.6	2.7	2.8	2.8	2.9	2.9	3.0	3.1	3.1	3.2	3.3	3.3	3.4	3.5
	Eggs (mill.)	10.5	10.7	11.4	11.7	11.9	12.1	12.4	12.6	12.9	13.1	13.4	13.7	13.9	14.2	14.5
	Poultry meat (t)	92	94	100	102	104	106	108	111	113	115	117	120	122	125	127
	Hide/Skin (no.)	33,749	34,519	36,730	37,476	38,226	38,991	39,771	40,567	41,379	42,207	43,051	43,913	44,792	45,688	46,603
Livestock Farmgate Price																
	Milk (Ksh/liter)	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20
	Beef (Ksh/kg)	120	120	120	120	120	120	120	120	120	120	120	120	120	120	120
	Sheep (Ksh/kg)	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100
	Goats (Ksh/kg)	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100
	Honey (Ksh/kg)	202	202	202	202	202	202	202	202	202	202	202	202	202	202	202
	Wax (Ksh/kg)	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100
	Eggs (Ksh/piece)	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
	Poultry meat (Ksh/kg)	259	259	259	259	259	259	259	259	259	259	259	259	259	259	259
	Hide/Skin (Ksh/product)	59	59	59	59	59	59	59	59	59	59	59	59	59	59	59
Livestock Value (Ksh000)																
	Milk	349,580	357,558	380,454	388,181	395,949	403,873	411,956	420,200	428,610	437,187	445,937	454,861	463,964	473,250	482,721
	Beef	169,000	172,857	183,926	187,661	191,417	195,247	199,155	203,141	207,206	211,353	215,582	219,897	224,298	228,786	233,365
	Sheep	24,300	24,855	26,446	26,983	27,523	28,074	28,636	29,209	29,794	30,390	30,998	31,618	32,251	32,897	33,555
	Goats	25,600	26,184	27,861	28,427	28,996	29,576	30,168	30,772	31,387	32,016	32,656	33,310	33,976	34,656	35,350
	Honey	19,000	19,434	20,678	21,098	21,520	21,951	22,390	22,838	23,295	23,762	24,237	24,722	25,217	25,722	26,236
	Wax	250	256	272	278	283	289	295	301	307	313	319	325	332	338	345
	Eggs	63,000	64,438	68,564	69,956	71,357	72,785	74,241	75,727	77,242	78,788	80,365	81,973	83,614	85,287	86,994
	Poultry meat	23,800	24,343	25,902	26,428	26,957	27,496	28,047	28,608	29,180	29,764	30,360	30,968	31,587	32,220	32,864
	Hide/Skin	2,000	2,046	2,177	2,221	2,265	2,311	2,357	2,404	2,452	2,501	2,551	2,602	2,654	2,708	2,762
	<b>Total</b>	<b>676,530</b>	<b>691,971</b>	<b>736,280</b>	<b>751,233</b>	<b>766,267</b>	<b>781,602</b>	<b>797,245</b>	<b>813,200</b>	<b>829,473</b>	<b>846,074</b>	<b>863,005</b>	<b>880,276</b>	<b>897,893</b>	<b>915,864</b>	<b>934,192</b>
Fishery																
	Fish catch (t)	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496	1,496
	Ave. Value (Ksh/kg)	56	56	56	56	56	56	56	56	56	56	56	56	56	56	56
	Value (Ksh000)	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540
Total Agriculture Value																
	Crops	2,176,497	2,278,784	2,444,177	2,550,494	2,658,678	2,769,337	2,882,306	2,997,872	3,115,875	3,236,599	3,360,174	3,486,341	3,615,475	3,747,659	3,882,658
	Livestock	676,530	691,971	736,280	751,233	766,267	781,602	797,245	813,200	829,473	846,074	863,005	880,276	897,893	915,864	934,192
	Fishery	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540	83,540
	<b>Total</b>	<b>2,936,567</b>	<b>3,054,295</b>	<b>3,263,997</b>	<b>3,385,267</b>	<b>3,508,485</b>	<b>3,634,479</b>	<b>3,763,091</b>	<b>3,894,612</b>	<b>4,028,888</b>	<b>4,166,213</b>	<b>4,306,719</b>	<b>4,450,157</b>	<b>4,596,908</b>	<b>4,747,063</b>	<b>4,900,390</b>
	<b>Balance</b>	<b>-69,884</b>	<b>-15,398</b>	<b>3,474</b>	<b>64,331</b>	<b>127,019</b>	<b>191,398</b>	<b>257,295</b>	<b>324,097</b>	<b>391,921</b>	<b>461,560</b>	<b>533,095</b>	<b>606,316</b>	<b>681,569</b>	<b>758,862</b>	<b>838,056</b>
Agriculture Income (Income ratio %) (Estimate)																
	Cereal	85.0	84.5	83.9	83.4	82.8	82.3	81.8	81.2	80.7	80.2	79.6	79.1	78.5	78.0	77.5
	Legume	85.0	84.5	83.9	83.4	82.8	82.3	81.8	81.2	80.7	80.2	79.6	79.1	78.5	78.0	77.5
	Root crops	90.0	89.5	88.9	88.4	87.8	87.3	86.8	86.2	85.7	85.2	84.6	84.1	83.5	83.0	82.5
	Vegetables	70.0	69.8	69.5	69.3	69.1	68.8	68.6	68.4	68.2	67.9	67.7	67.5	67.2	67.0	66.8
	Fruits	90.0	89.8	89.5	89.3	89.1	88.8	88.6	88.4	88.2	87.9	87.7	87.5	87.2	87.0	86.8
	Paddy Rice	80.0	79.6	79.2	78.8	78.5	78.1	77.7	77.3	76.9	76.5	76.2	75.8	75.4	75.0	74.6
	GroundNuts	85.0	84.6	84.2	83.8	83.5	83.1	82.7	82.3	81.9	81.5	81.2	80.8	80.4	80.0	79.6
	Cotton	80.0	79.6	79.2	78.8	78.5	78.1	77.7	77.3	76.9	76.5	76.2	75.8	75.4	75.0	74.6
	Sugarcane	85.0	84.6	84.2	83.8	83.5	83.1	82.7	82.3	81.9	81.5	81.2	80.8	80.4	80.0	79.6
	Milk	75	75	75	75	75	75	75	75	75	75	75	75	75	75	75
	Beef	90	90	90	90	90	90	90	90	90	90	90	90	90	90	90
	Sheep	90	90	90	90	90	90	90	90	90	90	90	90	90	90	90
	Goats	90	90	90	90	90	90	90	90	90	90	90	90	90	90	90
	Honey	80	80	80	80	80	80	80	80	80	80	80	80	80	80	80
	Wax	80	80	80	80	80	80	80	80	80	80	80	80	80	80	80
	Eggs	70	70	70	70	70	70	70	70	70	70	70	70	70	70	70
	Poultry meat	70	70	70	70	70	70	70	70	70	70	70	70	70	70	70
	Hide/Skin	95	95	95	95	95	95	95	95	95	95	95	95	95	95	95
	Fish	70	70	70	70	70	70	70	70	70	70	70	70	70	70	70



## Annex-2: Participatory Analytical & Planning Workshop at Community Level

This Annex describes some exercises to be conducted at the participatory analytical & planning workshop at community level. Introduced here are six major exercises. We can save time by doing the first five exercises by sub-group. Problem Analysis, however, needs to be done as one group because we need a consensus on prioritization of major issues, which is already a part of planning. The order of doing those exercises is arbitrary except Problem Analysis, which must be done at the end. Apart from these ones, you can use whatever tools you think appropriate.

- History of the Community
- Trend Analysis of the Community
- Mapping of the Community
- Rich-Poor Profile of the Community
- Success Stories (Appreciative Inquiry) of the Community
- Problem Analysis of the Community

### 1. History of the Community

As a situation analysis, history of the community can be looked at and shared among the workshop participants who would be from elders to youths. History of the community is good background information to assess where we are now. The history can be described from the time of settlement to date with some important events happened in the community. For this exercise, elders of the community can contribute a lot.

**Step 1:** Describe who and when people settled in the area first.

**Step 2:** Describe the chronology of major events in the community.

**Table A.2.1 An Example of Community History (Oriang Village, Kobama Division, Homa Bay District)**

<p>1) Our grandfathers came to this area in 1818 from Got Ramogi in Imbo. They found there a plenty of thorn trees called Oriang so they named the area Oriang. When they started to live there, they were with cows, sheep, goats and chicken.</p> <p>2) People used to live together because there were many enemies. There are five different clans (anyuolas) namely Nyamnyama, Makiri, Miguambo, Kawuor and Nyandega in the village, but they had a common great grand father called Chuth.</p> <p>3) Sleeping sickness caused by tsetse fly killed people and livestock until 1848 when people finally decided to move out of the area to better places elsewhere.</p> <p>4) They came back slowly by slowly in 1914. Then they started clearing bushes and live there until now.</p> <p>5) Water was scarce so MSF dug a shallow well for us. As of now, it is silted and there is less water in the well. As a result, diseases have increased. Later parts omitted</p>
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### 2. Trend Analysis of the Community

This exercise analyzes the trend of some indicators, which are important factors to affect the livelihood security of the people in the community. The indicators could be population, crop production, livestock population, fish catch, water supply, diseases etc. From the analysis, the participants could recognize the negative issues as well as positive issues affecting the community and discuss the causes of the trend. The trend analysis can be conducted from the past, which the participants could fairly remember such as 10 years ago or 20 years ago and the analysis does not require any particular data in each year but the participants can look at the degree of difference from year to year, e.g. how much crop production increased or decreased this year compared to 5 years ago.



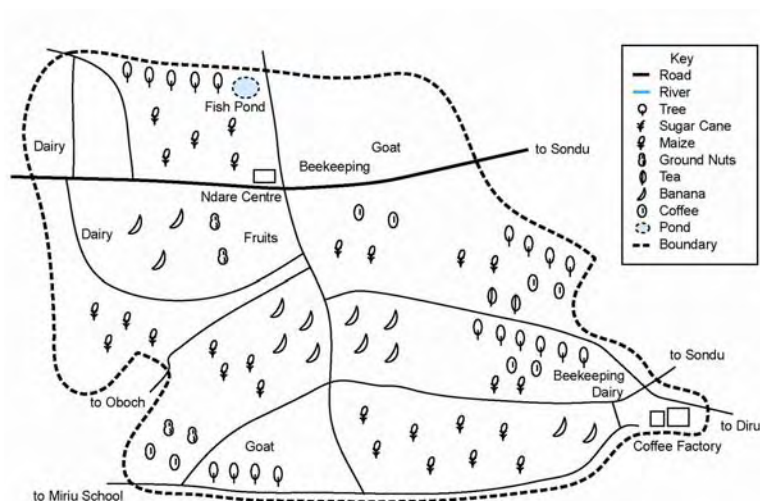
- Step 1:** Choose the resources and issues to analyze.
- Step 2:** Decide the intervals to analyze such as 10 years ago, 6 years ago, 3 years ago and now.
- Step 3:** Assess the trend of each resource, issue or indicator over the intervals using symbols or figures.
- Step 4:** Analyze the reasons why it changes that way.

**Table A.2.2 Trend Analysis of the Community**  
**(Example of Kakola Village, Nyando Division, Nyando District on 12 August 2005)**

Indicator	10 yrs ago	6 yrs ago	3 yrs ago	1 yr ago	Now (2005)	Reasons
1. Flood	X	XXX	XXXXX	XX	XXXXXX	Poor drainage
2. Harvest	XXXXX	XXXX	X	XXXXXX	-	Floods
3. Population	X	XX	XXX	XXXX	XXXXXX	High birth rate
4. Farm tools	Jembe	Jembe	Ox-plough	Tractor ox-plough	-	New technology
5. Livestock	XXXXX	XXXX	XXX	XX	X	A lot of water, diseases and little farm
6. Fishing	XXXXXX	XXXXX	XXX	XX	X	Fishermen became farmers
7. Diseases	X	XX	XXX	XXXX	XXXXX	Malaria and HIV

### 3. Mapping of the Community

To visually capture the situation of the community, mapping exercise is useful. The workshop participants can draw map by handwriting and indicate the location of resources they have in their area, location of infrastructures and their status (rough road or tarmac road, well maintained well or dried well etc.), community centers, market centers, churches, etc. This mapping helps the participants for spatial planning of the community.



**Figure A.2.1 Mapping of the Community**  
**(Example of Bwanga Village, Nyando District on 26 August 2005)**

- Step 1:** Draw an outline map of the community with major rivers, ponds, roads, railways etc.
- Step 2:** Put the symbols of major produces, products, etc.
- Step 3:** Identify major programmes, projects and any other development activities of the community on the map.
- Step 4:** Identify major issues of the community on the map.

#### 4. Rich-Poor Profile of the Community

This is a kind of participatory poverty assessment. The workshop participants themselves define the meaning of being rich or poor in their context. They could define the rich or poor person from housing, number of cattle, size of farmland etc. Then according to their own criteria to define rich and poor, they can estimate how many percent in the community is rich or poor. From this exercise, the workshop participants can estimate the prevalence of poverty in the community and what will be the target to get out of the poverty. The outputs of the exercise could also imply the degree of impacts of the development intervention to the community.

- Step 1:** Decide the classes in the community such as rich, middle and poor.
- Step 2:** Decide the criteria such as type of housing, number of cattle and size of farmland to define the classes.
- Step 3:** Describe each class using the criteria.
- Step 4:** Estimate the ratio of the classes by percentage.

**Table A.2.3 Rich-Poor Profile of the Community**  
(Example of Otange Village, Nyarongi Division, Homa Bay District on 23 September 2005)

A rich person (10%)	A middle class person (50%)	A poor person (40%)
1. Who has big land of about five acres or more.	- Who has small piece of land (2 acres).	- Who cannot do things on his / her own.
2. Who has got food education and whose children can learn up to university / abroad and who drives a vehicle.	- Who has little education like class eight or form four.	- Who cannot go to school nor send children to school. - Who cannot even afford uniform for whose children, fees for nursery.
3. Who keeps more than 10 livestock.	- Who has few livestock – two oxen for cultivation.	
4. Who lives in a good house and keeps on good living.	- Who lives in a medium house (semi permanent).	- Who has a grass thatched house.
5. Who has money and a bank account.	- Who can do things half way but not in full.	
6. Who employs people in their compound.	- Whose lifestyle is medium i.e. who can take whose children to hospital.	- Who cannot go to hospital and pay the bill.
	- Who eats lunch and supper etc.	- Who eats very poor food and probably once a day, mostly vegetables daily.

#### 5. Success Stories (Appreciative Inquiry) of the Community

Problem solving approach including problem analysis has several disadvantages: 1) searching for what they don't have, not what they have, which very often results in a wish list, 2) limiting our vision within existing situation, and 3) concentrating more on lack of inputs rather than organizational and human related issues. To overcome those disadvantages, Appreciative Inquiry (AI) and its simplified process are to be introduced to identify what we can do for a better future of the district with what we have. This exercise has following three steps, and an example is given in Table A.2.4 below.

- Step 1:** Chose the development organizations in the community which have success stories.
- Step 2:** Describe the success stories. (Name of the programme / project, what did they do? who and why did they start the programme / project?, how were the decisions made?, leadership etc.)
- Step 3:** Discuss the lessons learned, especially human and organizational factors, which lead to success.

**Table A.2.4 Success Stories of the Community**  
**(Example of Otange Village, Nyarongi Division, Homa Bay District on 23 September 2005)**

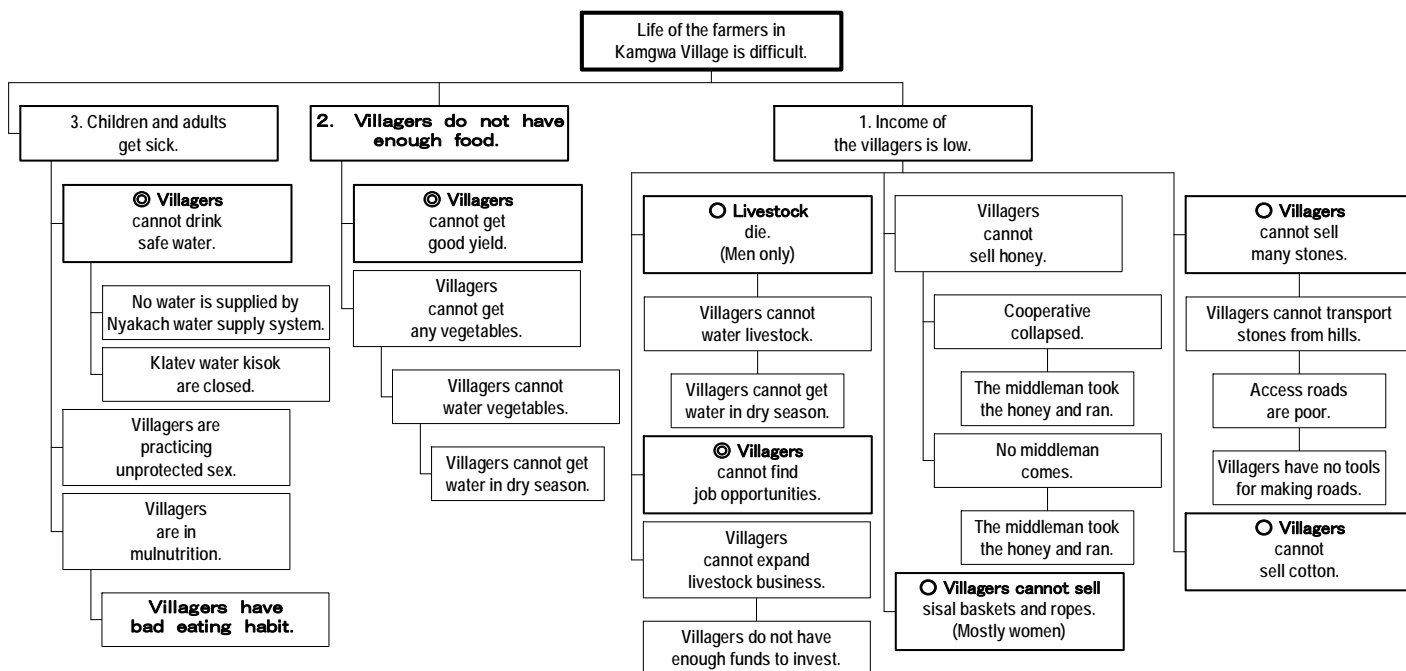
<p><u>Otange Widows and Orphanas / AIDs Care Center</u></p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• It started in the year 2002 by widows who had low income.</li> <li>• We started it in order to improve our life and the life of orphanas.</li> <li>• We operate a nursery school and cultivate vegetables and do beekeeping, poultry keeping and broom making.</li> <li>• Each member brought one hen to the group to start poultry keeping.</li> <li>• We bought one bee hive and we received the next bee hive from an external donor.</li> <li>• It helps orphanas and vulnerable children (OVCs).</li> <li>• The orphanas now can go to school just the same way as other children who have parents go.</li> </ul> <p><b>External funding:</b></p> <ul style="list-style-type: none"> <li>• CARE Kenya gives us food like maize floor and cooking oil.</li> <li>• MECO gave us one bee hive.</li> <li>• CLEAR PROJECT has trained three members on HIV/AIDS.</li> </ul> <p><b>Reasons for success:</b></p> <ul style="list-style-type: none"> <li>• Good leadership.</li> <li>• Good understanding among the members.</li> <li>• We cultivate vegetables ourselves. We also make brooms ourselves and do poultry keeping all by ourselves.</li> <li>• We also do home based care (HBC).</li> </ul> <p><b>Lessons learned:</b></p> <ul style="list-style-type: none"> <li>• Group work brings about good understanding between members and other NGOs / Government.</li> <li>• Hard work has made orphanas now go to school.</li> <li>• Hard work has made the living standard of the members to go up.</li> <li>• Malaria has gone down due to provision of nets.</li> </ul>
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## 6. Problem Analysis of the Community

Use of the Problem Analysis for the community level workshop is also the same as for formulating a development plan explained in the Chapter 3 of this Guideline since it is a part of the district developing planning process. We need to find out all the major issues in the community and prioritize them as alternatives. Hence, the same exercise of developing problem tree as the analytical workshops at District and Divisional levels is conducted at the community level.

- Step 1:** Identify several major problems of the community.
- Step 2:** Choose one of the major problems as the core problem.
- Step 3:** Write the direct causes which are the first row under the core problem.
- Step 4:** Develop a problem tree using cause-effect relations.
- Step 5:** Prioritize the direct causes by simple voting or by ten seeds etc.

**Figure A.2.2 Problem Analysis of the Community**  
 (Example of Kamgwa Village, Lower Nyakach Division, Nyando District on 16 August 2005)



Note: "3. Children and adults get sick" is the top priority direct cause, and then "2. Villagers do not have enough food" and "1. Income of the villagers is low". Also © means one of the three top priority issues in the second row, and ○ means one of the three second priority issues in the second row.