

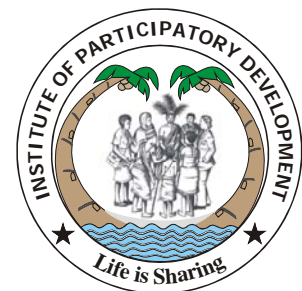
# Participation in Partnership

**MRF**  
Malindi Residents Forum

**MCM**  
Municipal Council Malindi



## Manual to implement and strengthen Civil Participation in Local Authorities



# From the Authors

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This Manual describes the experiences made with the implementation of PiP - Participation in Partnership a project to strengthen Civil Participation in Municipal Governance within Malindi Municipality.

We hope it offers any Local Authority planning to introduce or improve Civil Participation some support in following a systematic approach and might help to avoid mistakes we inevitably made.

The Manual also provides some tools on how to empower the rural population and develop structures for a broad based civil participation including the marginalized.

## Participation in Partnership - Manual

This Manual is a joint effort from the Municipal Council of Malindi, the German Development Service (DED) and the Institute for Participatory Development (IPD)

Editing, Design and Layout by Reimer Hamann  
Printed by Digital Edge Ltd. Mombasa

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# List of Acronyms and Abbreviations

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<b>PiP</b>	-	Participation in Partnership
<b>PLA</b>	-	Participatory Learning Action
<b>CFP</b>	-	Community Focal Person
<b>CORP</b>	-	Community Resource Person
<b>FGDs</b>	-	Focused Group Discussions
<b>CBOs</b>	-	Community Based Organizations
<b>MDGs</b>	-	Millennium Development Goals
<b>GJLOs</b>	-	Governance Justice Law and Order Sectors
<b>MOU</b>	-	Memorandum of Understanding
<b>MRF</b>	-	Malindi Residents Forum
<b>WRF</b>	-	Ward Residents Forum
<b>VRF</b>	-	Village Residents Forum
<b>FBOs</b>	-	Faith Based Organizations
<b>DED</b>	-	German Development Service
<b>MCM</b>	-	Municipal Council of Malindi
<b>IPD</b>	-	Institute for Participatory Development
<b>CAP</b>	-	Community Action Plan

## From the Mayor's Desk, Honorable Patterson Kafulo

I wish to welcome you to the Manual documenting the Participation in Partnership (PiP) process in Malindi.

The rationale and justification of the noble idea to cooperate in partnership with the civil society was to create an environment for an all inclusive and transparent running by and of the Council. This was achieved by developing structures allowing stakeholders to make inputs towards the running of the Council and improve transparency and accountability.

PiP achieved for example to sensitize the community on how to participate in planning, implementing, monitoring and evaluating projects funded by various devolved funds. Civic society structures with the Malindi Residents Forum (MRF) as an umbrella organisation and Residents organisations down to the ward and village level guarantee a broad based participation.

A citizen's office in Town Hall has been set up to ensure that information is distributed and stakeholder communication and networking is possible.

Transparency and accountability has improved remarkably as regular meetings with stakeholders on

budget development are part of the new structures.

I can assure that the Council is fully committed to ensure that the process becomes an exemplary model.

This Manual documents how PIP was rolled out. It might encourage and inspire other Local Authorities to initiate a similar process.

We also invite suggestions and recommendations from stakeholders and others to further improve citizen's participation in Malindi.

I want to thank the German Development Service (DED) for backing the effort with advice and financial support and assisting in making this Manual possible.

Patterson Kafulo



## From the Town Clerk's Desk, Geoffrey Katsolleh

PiP was born out of the need to create an environment to ensure an all inclusive planning and rolling out of projects run by the Council and from others devolved funds.

PiP embraces the spirit of partnerships, participatory approaches and transparency, in line with the Public service reforms programmes.

We are proud to have successfully rolled out this process and find it worthy to share our experiences with others. The objective of this Manual is to document the experiences and problems, to evaluate lessons learnt and challenges we have faced in rolling out the process.

Furthermore, the Manual might serve as a guideline for those who wish to replicate the process and it will be a benchmark for our future evaluation.

The rolling out of the process came with its own challenges. However, we are proud that we have been able to sensitize the community and built structures where information is shared. This has created an atmosphere of accountability and transparency.

We will not hesitate to recommend to other service providers especially local authorities to borrow a leaf from us and develop participatory in partnership processes in their areas of jurisdiction.

Cooperation between the Municipal Council of Malindi and the Civil society has significantly improved the relations between both players.

We have the aspiration to steer this process to greater heights because we have realized the benefit. We also welcome any suggestion and contribution to further improve the process further.

I therefore wish to sincerely thank all those who have contributed to this exercise.



# 1. Acknowledgements

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The Municipal Council of Malindi and the partners of Participation in Partnership (PiP) project are grateful to all those who, in one way or another, directly or indirectly contributed to the success of PiP and the development of this publication.

We wish to acknowledge the commitment and support of His Worship the Mayor, Councillor Patterson K. Kafulo, and Town Clerk, Mr. Geoffrey Katsolleh, for supporting the overall implementation of the Project.

The PiP project partners, the Malindi Municipal Council, the German Development Service (DED), and the Institute for Participatory Development (IPD) deserve to be specially mentioned for their efforts in ensuring that PiP was successfully carried out and implemented.

Thanks to the PiP project Administrative Officer, Mr. Kashero W. Chinyaka, and the DED Technical Advisor, Mrs. Karin Hagemann, for designing and supervising the project.

We would like to thank the team from the Institute of Participatory Development (IPD) and his Executive Director, Mr. Muzungu Ngoma, for carrying out the civic education programme and community participatory

planning trainings with the community in collaboration with the Ward Focal Persons and the Malindi Municipal staff.

DED Kenya has been providing assistance to the Participation in Partnership (PiP) project through a secondment of the Technical Advisor since 2003. DED Kenya has provided funds to facilitate the planning and implementation of the project activities. DED Kenya has supported the publication of this Manual.

Special thanks go to documentation team members who, among others, the Municipal Council of Malindi Parks Supervisor and also Chairman of the Workers' Union, Mr. Macrenson Malingi, and the Public Health Officer, Mr. Erasto Mwanganyi, who took their time to collect information to compile this publication.

Special thanks go to the Malindi Residents Forum Members, Ward Focal Persons, and other stakeholders and community members for their commitment to the Participation in Partnership project process. Their voluntary activities made the success of PiP possible and ensure the sustainability of PiP.



Malindi New Market

## 2. Local Government Reforms in Kenya

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The Kenya Local Government Reform Programme originated from an evaluation on Local Authorities performance and service delivery undertaken by the Omamo Commission and the World Bank. The evaluation resulted in the Local Authority Transfer Fund (LATF) Act number 8 of 1998 and the Local Authority Service Delivery Action Plan (LASDAP) Act 2000.

The Ministry of Local Government implements the Local Authority Transfer Fund (LATF) and the Local Authority Service Delivery Action Plan (LASDAP) Act in all 171 Local Authorities countrywide to support the Local Authorities to improve services and development and meet their obligations to pay their debts following a Debts Reduction Plan.

The Ministry requires the annual participation of the local communities in the process of defining the LATF projects and in the development of the LASDAP. The Ministry's intent is to improve people's living standards through participatory governance in several Government departments including Local Authorities and for that reason designed the Governance, Justice Law and Order Sector (GJLOS) Reform program.

In 2003, the Government launched the Economic Strategy for Wealth and Employment Creation (ERS). ERS initiative reflected the Government of Kenya's commitment to collaborate with a wide cross-section of Kenyans on ways to reverse the declining economic growth path.

In 2004 the Government introduced Result Based Management (RBM). RBM enables Local Authorities to focus on results and to act as a service provider, gives space to choose methods

and means of service delivery and requires Officers being enabler and facilitator what demands a participatory and team based approach to achieve defined and clearly observable results with efficient use of resources.

Tools of the RBM are Rapid Results Initiatives performance contracts and Local Authorities Integrated Financial Operations Management Systems.

The performance contracts define objectives the respective Local Authority has to meet in a given and agreed time; the results are evaluated and documented.

It is required for all Local Authorities to have a sound strategic plan, departmental work plans and a customer service charter as performance guides. A Service Charter is designed to help the public to measure service and improve on its services delivery process with set criteria. These are aimed at establishing citizens "rights".

With this reform the rules and operations of Local Authorities can now be seen with the following description given by the Reform Group of the Ministry of Local Government:

"Local authorities exist for political governance and provision of services. The purpose of local authorities can be defined as: Provider of services, community governing itself, builder of diversity, arena for voice and focus, builder of community pride, promoter of choice, avenue for learning and basis for citizenship."

Malindi meets the requirements of the Government and through local means even extended participation in the Municipality. The Municipal Council of Malindi has been able to cooperate and capture the citizens' views in its governance through the broad based Participation in Partnership process.

### 3. Problem Statement

2003 Malindi was in a situation of agony. Public services came to a stand still when the municipal employees decided to go on strike after their salary was not paid for 6 months. Stakeholders expressed their disappointment and criticized the poor service delivery of the council. They explained their mistrust with the Council and the Councillors and that they are tired of unfulfilled promises and the widespread corruption.

The stakeholder expressed their unwillingness to cooperate with the council. The relationship between employees and councillors was full of mistrust; both sides blamed each other to be the cause of the standstill. The frequent transfer of the Town Clerk as the head of administration did not help much to improve the situation; instead continuity was missing and projects were not followed up.

In this situation a small core group started to analyse the problems and discussed opportunities to find a way out. With the assistance of a DED Technical Advisor it was decided to restart the process of developing a Strategic Plan for Malindi as a road map for the Municipality to decide on project priorities and the main and most important duties and to improve service delivery.

A SWOT analysis and a list of actions had already been discussed in several workshops between a few stakeholders, Councillors and some Senior Officers and the results were publicised. But the list was long and without any prioritization, many projects were unrealistic and expensive, nobody was in charge for implementation and consequently, no ownership was developed.

In the first step workshops were organized for the staff of each of the four departments to ensure their participation in the creation of the Strategic Plan. For the first time ever the officers discussed the effects (positive and negative) of their activities for the population, and furthermore, they realized that their experience and ideas are an important input towards the development of the Municipality.

Taking into account the scarce resources, they worked on a priority list for short, middle and long-term projects for their respective departments including a work plan and a time schedule for the realization of the projects.

The results were discussed and harmonized into an overall priority list in a workshop with all chief officers, the councillors and stakeholders. Furthermore, they developed task outlines and time schedules and appointed officers to take



Officers of the Council in group work, discussing the Strategic Plan



charge of the implementation. An implementation group comprising officers from all departments was formed and a monitoring and implementation system, including stakeholders, was set up.

The work was finished successfully and the Strategic Plan was adopted by the full Council and became a policy. Main issues of the Plan focus on a transparent and accountable financial management system and Good Governance.

Obviously, the next step was to concentrate towards the stakeholder community. The several active stakeholders mainly came from Malindi Town but there was no reliable communication structure between the different actors.

The rural areas with their needs had no voice or influence on the decision-making process. The non existing communication structures between the active stakeholders allowed the municipal to select the stakeholders at will, thus formally ensuring that the requirements of the e Kenyan Government policy on participation and information of the citizens was followed.

That was the reason PIP was designed as a pilot project to develop an example about the necessary organizational framework for citizen's participation to monitor the use of governmental funds and local revenue, to enhance the service delivery of the local authorities, to promote good governance, and locally support to reach the Millennium Development Goals.

This was the starting point of Participation in Partnership (PiP) with the aim to bring together all the civil society organizations working in Malindi to enhance their participation in local governance, to promote consultations in the municipality, open dialogue between the council and the communities, and effective participation in decision-making on prioritization and implementation of development projects.



A basketdealer at the old market in Malindi



# 4. Concepts and Principles of Partnership

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## 4.1 What is Partnership?

A partnership is a concept of engagement. It can be a collaboration among local institutions or efforts to bring together diverse groups of neighbourhood residents.

In broad terms, which include State - Civil societies - Private sector, partnerships can be defined as 'multi-actor' interactions whose purpose is to achieve convergent objectives through combined efforts of the partners, but where the respective roles and responsibilities of the actors involved remain distinct.

In partnerships, the responsibilities, authority and decision-making are shared more evenly than in other forms of participation. There is often a formal agreement between the parties, who work together for a common goal, and share the risks and benefits.

A partnership can be defined as a joint working relationship where the parties

- are otherwise independent bodies.
- agree to co-operate to achieve common goal
- create a process to achieve this goal
- plan and implement a joint programme
- share relevant information, risks and rewards

The development of a partnership is best seen as a process of relationship-building, where there is an expression of shared values and principles in practice and a practical approach to work, which is essential in order to increase efforts to have greater impact and influence.

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## 4.2 Who are Stakeholders?

Generally spoken, all people in a community or municipality are stakeholder, as they will be affected by a service and potentially can influence it but are not directly involved in doing the work.

People who are (or might be) affected by any action taken by a local council e.g parents, children, customers, owners, employees, associates, partners etc., all these are individuals and could try to influence and modify actions taken by their governing body.

Furthermore, there are those stakeholders organized or representing a professional group,

an association a union; in other words members of organized interest groups representing particular segments of society. School board members, environmental organizations, elected officials, chamber of commerce representatives, resident association members, workers union representatives, and religious leaders are all examples of local stakeholders. Their possibilities to influence in what affairs and with which measures for example a Council is taking action are better as for an individual, as they have organized groups backing them and capable of putting pressure on the Council.

**The voices and opinions of the poor, people from the rural areas, and women are often not heard or they have no opportunity to express themselves. Broad based citizen's participation has to consider that and to look for methods and measures to involve everybody. You have to go the people, do not wait until the people come to you - you will wait forever!**

### 4.3 Why do we need to build Partnerships?

- They help to achieve a long lasting social impact and promote a culture of change.
- For pooling resources, building power, strengthening the democratic process, and achieving meaningful neighbourhood change.
- They can help solve complex or difficult problems and find broad based and accepted solutions.
- Partnerships help to increase local commitment.
- Partnerships can make best use of community knowledge and resources.
- They can provide better delivery of services to the community; can lead to greater operational efficiencies.
- They can build skills, leadership capacity and institutional development.
- Partnerships help to create confidence between Council, Civic Wing, and population

### 4.4 How to build Partnerships?

- Prioritize the need
- Build political support at all levels
- Combine ‘top-down’ and ‘bottom-up’ approaches
- Accommodate changing political circumstances among others

### 4.5 Which Skills required in building Partnerships?

- Mediation and negotiation skills
- Relationship-building and maintaining skills
- Communication skills
- Advisory/consultancy skills
- Training skills.

### 4.6 What are the Principles of sustaining Partnerships?

- Speak from your own experience.
- Avoid blames, judgments, put-downs or unsolicited advice.
- Encourage participation from all
- Equal time for all
- Decision should be by consensus

## 4.7 What are the Essentials of good Partnerships?

- Clearly defined membership-members must sign a formal statement pledging their support for certain key principles and agreeing to fulfil a specific set of commitments.
- Resource sharing
- Linked service provision
- Elimination of service duplication
- Mutual accountability

## 4.8 What are the Challenges in implementing and fostering Partnerships?

- Conflict among key interest groups
- Lack of clear purpose
- Unrealistic goals and expectations
- Different philosophy and ways of working
- Poor or lack of communication
- Unequal and unacceptable balance of power
- Key interests missing from the partnership
- Hidden agendas

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## 4.9 What are the key Features for Sustainability?

- Being in agreement that a partnership is necessary
- Respect and trust between different interests
- A shared vision
- Compatible ways of working
- Effective communication
- Collaborative decision-making
- Effective organizational management

**The challenges are many. It is very important to give all participants equal access and opportunities. If the differences in education and economic powers are very high, diversify. Give the less educated and poorer a chance to pick up. Start where the people are - not where you want them to be.**

**Consensus is crucial. Divergent and conflicting interests are usual. Concentrate on common interest and look for agreements. Conflicts can be solved when mutual trust and confidence have grown.**

## 5. Participation in Partnership - Overview

Participation in Partnership (PiP) was introduced in the Municipal Council of Malindi in June 2005. This project is a joint effort between the Municipal Council of Malindi, the Institute of Participatory Development and German Development Services (DED). The three partners are implementing a programme on good governance known as strengthening civil participation in Municipal Governance.

The project overall goal is to promote good governance for poverty reduction through broad based consultation and gender mainstreaming in all development initiatives within the Municipal council of Malindi.

The purpose is to build a working relationship and trust between the local authority and citizens so that they jointly address social and economic challenges for sustainable development. The promotion of good governance practices in all aspects of human life will eventually lead to community economic empowerment within the municipality.

The implementation of PiP activities resulted in the formation of the Malindi Residents Forum (MRF). The Forum is a space provided for Civil Societies to actively engage with the Council and other development actors with a view to forging partnership to promote quality service delivery, accountability and responsive citizenry through enhanced implementation of viable community projects. The Forum also will offer space for all actors to share information on the functions of the local authority, the roles of the management and the civic wing of the council as well as creating awareness on civil rights and obligations of the residents within the Municipality.

PiP will also enhance the capacity of the council on matters of citizen's participation and the need to become receptive to people's opinion and consensus building for economic and social growth.



Meeting in a village



## 5.1 Participation in Partnership - Objectives

- Institutionalize civil participation in the Municipal
- Institutional strengthening of both the Council and Civil Society Organizations within Malindi Municipality
- Facilitate community involvement and participation in the use, monitoring and evaluation of projects funded by devolved funds
- Support the implementation of good governance issues in relation to the Municipal Strategic Plan and promote a joint approach for Local Economic Development Strategies
- Support a transparent financial report system
- Promote good practice examples towards neighbouring LA's and the Reform Group of the Ministry of Local Government
- Launch a vigorous campaign to disseminate information on the Strategic Plan and urban governance issues in the municipality.
- Formation of residents associations and broaden the participation of civic actors in the network or forum.

## 5.2 Participation in Partnership - Principles

In order to achieve the specific objectives and working towards the overall goal, aim and purpose, (PiP) developed general working principles which might look simple and easy but are not easy always to comply with in the day-to-day work. These principles are:

- Inclusiveness. Including marginalized and vulnerable groups
- Continuous Process (“not an end in itself”)
- Demand Driven
- Bottom-up process
- Co-operation not confrontation
- Conflict resolution
- Flexibility

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## 5.3 Participation in Partnership - Human Rights Approach

Access to rights is very often difficult, especially for the poor, as they do not have sufficient resources to follow the legal procedures to get their right. One of the most sensitive areas are issues of land grabbing - land defined to be used for community purposes (schools, nurseries, health centres) overnight changes hand and ends up in the possession of private investors. Therefore, from the very beginning, PiP incorporated the access to human rights in its activities guided by the following principles:

- Put people first and promote people driven development
- Stress liberty, equality and empowerment
- Recognize the inherent dignity of every human being without distinction.
- Recognize and promote equality between women and men, between minority and majority.
- Promote equal opportunities and choices for all so that everyone can develop their unique potential and have a chance to contribute to development and society.
- Promote national and international systems based on economic equity, equitable access to public resources, and social justice.
- Promote mutual respect as a basis for justice and conflict prevention and resolution.

## 5.4 Participation in Partnership - Voluntarism

The PiP process, as any other participatory project, cannot work without the willingness and commitment of residents to volunteer in tackling community problems. Starting to pay money or other goodies to get people attending meetings, workshops or take over a responsibility in a committee or a board would soon end up in the collapse of any broader based participatory project for economic reasons (not enough resources to distribute money) and because the participants would quickly develop a money driven attitude instead of ownership.

The decision not to pay any allowances at was disputed at the beginning but the further the project progressed the more voluntarism was embraced.

This was possible because PiP approached individuals and local organizations to learn about the local problems. Quickly the civil society organisations local to the area realized that PiP provides space and opportunities to promote their issues and volunteered to be part of the process instead of locking on. As expected, PiP turned out to be a basically community driven initiative.

The formation of the MRF, the drafting of its constitution, the participation in focal person's trainings, the ward mapping workshops and many other activities were all based on voluntarism. This was possible because the

people were always involved in the preparation of any given activity, they decided on convenient dates for workshops and their inputs were always respected.

The process turned fascinating when it came to the elections of ward officials and representatives for the consensus meetings. Again, no material reward was to be gained but respect and recognition.

The empowerment process gained momentum on the way and when community members came out in large numbers and asked questions to the LASDAP team of the Council, they felt satisfied and part of the decision making process.

Where the geographical area was large, rather than organizing an entire ward together, some were divided to two or three segments, this made work easier however, this meant more work but this gave impetus to the team and the community.

Voluntarism is basically a cornerstone of PiP; as exercises had been concluded, community members who did not participate wanted the process restarted while visitors from outside the Council area wanted this to be introduced to their respective wards.

## 5.5 Participation in Partnership - Activities so far

### 5.5.1 Project Activities

- A network system between citizens, Associations and the Municipal Council of Malindi is built up.
- A Liaison office and resource centre is established in the Town Hall and a coordinator who is an administrative officer is in charge
- A great variety of groups in urban and rural areas participate in PiP
- The Malindi Residents Forum (MRF) is set-up and Ward Residents Committees are working including Women- HIV/ Aids- and Youth Groups
- A MRF Management Board is elected and works as a link between the MCM and the Ward Residents Committees
- A Memorandum of Understanding between the MRF and MCM has been developed defining the cooperation and the obligations of the partnership.

### 5.5.2 Activities with the Civil Society

- Several “Training of Trainers” workshops for the ward representatives and Municipal staff from the respective Departments were organized
- Ward mappings have been concluded in all wards
- Stakeholder meetings have been organized to share information and experiences, networking and cooperation
- Several newsletters have been produced and published to disseminate information
- Linkages between the Ward Residents Committees and other development partners were facilitated
- Communities were enabled for enhanced monitoring of projects supported by devolved funds

### 5.5.3 Activities with the Municipal

- Workshops for Council staff on Tender and Procurement law and Council By-Laws were organized
- The Strategic Plan 2004-2008 was evaluated and the reviewed Strategic Plan now includes the Work plans of all departments including the duties from the MCM Performance Contract
- A Strategic plan implementation group monitors the activities of the departments and reports to the TC about the progress and identified barriers
- A booklet with all Municipal By Laws is published and available
- The LASDP consultation process was organized in a bottom up process and participative manner

**It is very important to define principles of the participatory process right from the beginning. These principles are an important factor in developing the spirit of the cooperation - an all inclusive, demand driven, bottom-up and consensus driven approach is essential to succeed.**

**A human rights approach is not just a theoretical idea - in strengthening the institutional capacities of the civil society in forming an association like the Malindi Residents Forum as an umbrella organization, based on Ward Residents Committees, citizen's have a structured network to get support if need be.**

**Voluntarism is essential. Indeed, some professionals are required for running the liaison office, managing the project and facilitating workshops. But crucial to any participatory process are the participants, if they are committed and ready to volunteer projects like PiP have a lasting future. Institutional strengthening of both the Council and Civil Society Organizations is crucial. Partnership involves both - Society and Council. Officers and civic wing are important partners and they have to be sensitized for participatory processes and to understand that nobody threatens their authority.**

**Concentrate on the middle management - the stable factor in the Council, as they are not transferred - their support secures the sustainability of participatory achievements.**



## 6. Implementation of PiP

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### Phase One: Stakeholders consultations

#### Step I: Initiation of PiP

As the concept of PiP was developed by a few people it had to undergo the reality test.

Two workshops were organized to present and discuss the project. All known organizations and individuals of the civil society as well as community based groups, the private sector and representatives of the Council were invited. The suggestions and ideas provided by the participants helped to adjust the program and the workshops also delivered the opportunity to initiate the creation of an information network.

Furthermore, on realizing the potential, participants decided to form an umbrella organization and an interim committee emerged from the meetings. This committee was given the task to represent the citizen's forum for the transition period, to develop a proposal for a constitution (how and under which rules and regulations is the forum going to work and how will controversial issues be decided?) and to propose an appropriate name for the forum.

#### Step II: Constitution of a Residents Forum

During phase one a concerted effort is made for stakeholders to come together to discuss the situation at hand and resolve to find a workable solution to existing problems.

The working committee drafted a constitution for the citizen's forum. The constitution defines the principles of cooperation and a catalogue of values (concentration on issues important for all, unanimous decision making, equal representation of the different groups and interests). The committee defined criteria for the ward representatives (equal representation of sexes, consideration of groups marginalized in the society). Furthermore it was proposed to name the citizens forum **Malindi Residents Forum (MRF)**. The participants approved all proposals.

Taking into consideration the obvious

differences in education, economic power, and social infrastructure between urban and rural areas, meetings to disseminate information were organized for each of the ten Wards to present the project. These meetings also provided the chance to elect 3 - 5 ward representatives as Resource Persons (Focal Persons) backed and trusted by the population and according to the criteria.

As a result women are equally represented as well as people active in projects on HIV/AIDS Youth activists and handicapped people were also included. The resource persons were to play a crucial role in the setting up of ward committees at a later stage. Although it was important to secure the presence of the area councillors, they were not eligible to be ward representatives.

**The starting phase of any participatory process is very important, sensitive and requires time.**

**Listen carefully, for sure the participants will come up with ideas worth to be incorporated in the project.**

**Try to involve the Civic Wing from the beginning - if they feel excluded they could soon develop resistance fearing their decision making power is threatened. But they should not takeover any official function, as any Participation in Partnership project has to stay strictly impartial.**

## Phase Two: Training of Community Focal Persons

With a clear focus on the project sustainability the Focal Persons (Ward Representatives) are trained as Trainers with skills on participatory development. As such people will come from the stakeholders, it is aimed at empowering the stakeholder organizations and individuals for the continuity of the project activities.

The overall objective of training the focal persons were to equip community resources persons with participatory development skills, to sustainably continue facilitate communities in the process of development through Government planning systems and strengthen the civil participation in the Municipal Governance for emancipation.

### Specific objectives

- To introduce participants to the historical over view of the development perspective in Kenya – DPSRD.
- To expose participants to the Government planning systems (annual planning cycle), the Devolved Government funds and the role of the community.
- To introduce participants to the Genesis of participatory Development and its evolution in the world.
- To introduce and give hands on practical

experience of the basic participatory planning tools for the purpose of community mobilization and planning exercise.

- To facilitate participants to come up with realistic participatory ward consultation process work plans.

The focal persons were trained covering the following contents:

- Icebreakers and energizers
- Historical overview of development in Kenya
- Kenya Government planning Process annual cycle
- Genesis and principles of participatory Development
- Introduction to participatory Development planning tools
  - SSI
  - Resource map
  - Social Map
  - Visioning tool – realistic dreams
  - Obstacles/problem tree
  - Chapati diagram
  - Solution tree
  - Committee formation
  - Community action planning (CAP)

**The tools are very essential for motivating the community to participate in the planning process; participatory planning is dynamic and if well facilitated makes people enjoy the process.**

**The tools will be explained and described later on and in the Appendix.**

## Phase Three: Community Workshop - Preparation

### Step I: Forming planning Facilitation Teams

Following a successful training of the community resource persons, the participants can pair up depending on the area/ward and their ability and availability. A team should consist of a minimum of six members, the best is a mix of the newly trained resource persons and professional facilitators able to monitor the exercise, helpful in analyzing gathered information and able to give further advice on the job. Six persons are required as they will easily be able to handle the three main groups, in which the par-

ticipants will be divided in certain periods of the workshop: men, women and youth, comprising a facilitator and a note taker for each group in the community.

The involvement and participation of the local resource persons has two advantages: they are further trained for future challenges and, as they are known and well respected, help in building confidence. Most communities mistrust outsiders because they fear to be cheated.

### Step II: Community Consultation

As a participatory process, community members must be consulted to agree on the preferred dates for the Community planning workshop. Consultations make people feel respected and lays the ground for motivation and commitment. Consultation increases people's confidence and self-worthiness.

The first meeting with the community should be used to consult with the community on the appropriate dates for the workshop. These meetings should be held with the assistance of the area chief. Meetings scheduled by the administration are ideal to communicate

with the participants and agree on date and venue. The community members present, delighted of having been consulted, inform their fellow citizens and urge them to participate and the people realize the different approach immediately. Besides, this is a far better method to spread information for a community workshop than notices pinned on notice boards. Here people agree on venue too.

When this was done people already noticed the difference as such meeting; dates were given to the Chief or Council chambers and people were never consulted.

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### Step III: Preparation

Upon the confirmed dates, preparation for the planning starts. Teams agree on who will facilitate which tool. All members should practice both, facilitating and note taking. The team must ensure that sufficient office material is supplied. Note: at least two mark pens with different colours per group are required. Transport arrangements may also be necessary.

Furthermore, the PiP team should discuss and prepare key questions to be used in the workshop and should clarify the objectives of

the community workshop.

The teams should always be in time, to signify, that they are taking the community seriously and that appointments have to be kept. Communities are used to wait for a long time, when whatever officials are announced. Participation in partnership is different!

Besides, the venue could be a school compound, classroom, church or even under a tree, so don't keep people waiting.

# Phase Four: Community Workshop - Process

The team should arrive early at the planning venue to ascertain the technical conditions, for example where to put up brown papers/newsprints. The area community resource persons should be on time as well, thus having the curtesy by greeting the participants

at their arrival, share a joke and make them feel relaxed and welcome. With adequate representation from men, women, and youth, community based organizations and focal community groups the process can take off.

## Step I: Creating Rapport

Participants should introduce themselves by names, organization, and some individual information. All participants should be equipped with a pen. The facilitation team should avoid to be seated on high chairs while participants are seated on the ground. According to their responsibility the facilitators should clarify the sitting arrangement (we are all equal), arrival and departure time and the planned schedule of the

planning meeting.

The lead facilitator has to provoke participants to come up with their expectations and then the workshop objectives are rolled out for sharing and matching. When people realize that the event has some relation with the LASDAP process, they will open up and give illustration on past experiences and disappointments.

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**Allow the participants to air their views and disappointments, usually people flare-up and accuse others, blame council staff especially the LASDAP team for not allowing previous plans. Councillors and the council are blamed; if area Councillor is available he/she should hold the horse as people openly criticize. Upon pressure coming down, reassure participants, Councillors, Council staff if around; that though something could have been done wrongly, it is up to the community to induce the necessary changes.**



Training of Focal Persons

## Step II: Start ups

Here a variety of methods are available to start up the process. The use of semi-structured interviews (SSI) Historical profiles proved useful to learn from the community how planning is conducted within the Councils, LASDAP and CDF staff.

This is provocative as some community members might not have participated in any of the community planning processes, while some will be able to remember what transpired the previous years. Listen carefully to capture the response of the people.

The use of the river code is an alternative to break the ice, use the river code where three people are to cross a flooded river, one is a helper ready to carry them across the river, while one accepts to be carried across the other refuses but is ready to be led across. The question, why or why not carried will arise. This opens the eyes of participants that to be carried is not good for sustainable development.

## Step III: Participatory Planning

Participatory planning is not easy to learn and many tools are necessary to provide sufficient knowledge for the community to be able to take part in participatory planning processes as a respected and confident partner. However, their usage largely depends on the facilitators' exposure and training.

The usage of the Semi Structured Interview (SSI) tool is a must for any facilitator to be able to apply all the other tools. The primary

The history of development evolution in Kenya from independence to today and how planning processes were conducted and the change from the top down to the bottom up approach should be explained. Nowadays, the focus is on the district as a strategy for rural development planning, but there is a lack of people's involvement and participation in the process.

Be careful, as people will get angry and start blaming leaders including the current ones and that the community is not informed. Refer to the LASDAP process where the law defines the procedure and that this workshop is to assist the participants to learn about the Government planning circle and to learn how to intervene successfully.

This is the right time to divide participants into the various groups for the exercise to start in earnest. Groups of men, women, Youth are formed for the exercise.

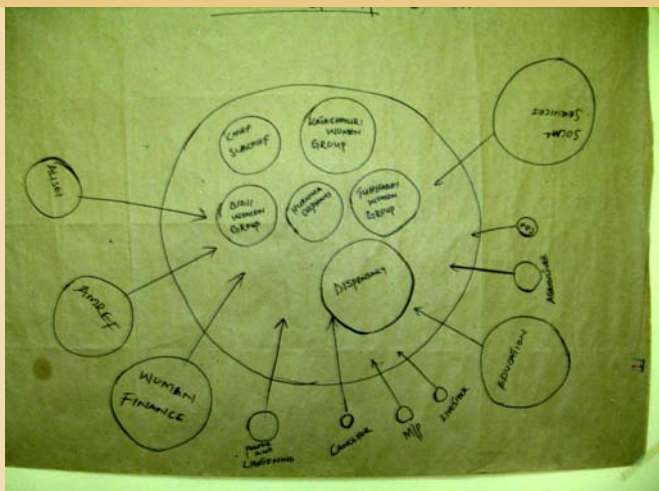
tool for most participatory planning workshops is the resource map.

The facilitator opens up the discussion by asking the participants where they come from. Depending on the area, it will be focused either on a ward, a constituency, or a village.

Here we will give a review of how the participatory planning was organized and which tools were used during the Malindi experience.



Chapati Diagram



## Tool 1: Resource and Social Maps

The facilitators introduce the use of social and resource maps. Choose a convenient and open place for the group to sit in a circle. Ask them to give you a general view of the place they come from, the name of the area, its boundaries, ask them to identify what kind of resources are available in their community; these include natural, man made, human etc.

The social resources are easily identified by asking where children go to school, people get water, go for medication and more. Ask them to use available resources to mark the boundaries of their locality and use symbols to locate the available resources in the community. This helps people to start discussion and familiarize themselves with the map.

When it is time to locate homes, all want their homes to be reflected on the map hence maximum attention is guaranteed.

When it is difficult to make the process move, the use of a “secret box” is useful. Three people are identified representing the first is the most educated and therefore an expert, the

second is a moderate, not highly exposed but known, and the last is the common man, who has never travelled neither gone to school.

A sealed box containing an assorted set of items is at first given to the most learned to tell what is in the box after having shaken it and whatever he names is recorded. The second is allowed to put his/her hand in the box to feel the items without seeing them and whatever he names is recorded. The local person is allowed to look at and name the things in the secret box one by one and this is as well recorded.

Obviously, among the three, the local will give the correct names of the items in the secret box. This affirms that the local person knows better his/her problems, contrary to the common notion that experts know what we need. Hence, it is important for people to participate in planning their own development. After the map is drawn on the ground, it is later transferred to paper and a news print with a clear direction and key to the symbols given.

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## Tool 2: Venn Diagram/Chapati

The diagram is a tool used to identify the existing organizations in and out of the community boundaries, organizations whose presence is felt and whose activities are of benefit to the community. There might be other organizations seen as having the potential to assist in development.

However, organizations are often not recognized as institutions which could partner

with the community.

This tool exposes the community members to institutions or individuals of importance within their reach. In identifying them, the group members mark them with circles on the ground. A big circle represents the area, organizations with officers in the area will be located within the circle and the size of their circle symbolizes their relevance. Those located out-



Mulolonge Village Social Map

side the location will be indicated outside and their circle their size also symbolizing the relevance. The results are later transferred to paper.

The organizations are named on their respective Chapatis. But care has to be taken as

the size of the Chapati might raise resentments from representatives of the organizations. Allow participants to discuss to reach a consensus. A Venn diagram is a tool to increase awareness on the available resources within the community.

### Tool 3: Visioning

Visioning is the process of enabling the participants to allow to dream of a village/community they would like to live in.

Talking of practical and realistic dreams based on the ability of the community and considering the resources available, the groups then plans what to achieve in a five year time frame. They look back on the resource map, the Venn diagram, and the available facilities and add new structures.

As people's development is guided by their respective visions, the visioning exercise assists

to develop a common vision and define a direction for their community. Enough time should be allowed for the community members to consult, discuss, argue, and to agree on the future of their respective communities. It is the people who should shape their respective future.

Participants should however be cautioned for coming up with unrealistic plans. This exercise is supporting to confront the Government with the people's aspirations, as the LASDAP and CDF resources are available for the communities to initiate change from within.

### Tool 4: Problem Analysis

The groups engage in serious discussions based on the elaborated community vision and future map. The major subject is what could hinder the community from reaching the desired changes? What problems have stopped or could stop the community from reaching the visions?

Allow time for thorough analysis on the problems and obstacles; as usual people may state that lack of money is the main problem. However, examine further what might be the reason not having the needed resources available in the community. Mention the institutions existing in the area, pay reference to the resource

and social maps, the Venn diagrams and the visions portrayed. Then ask the participants to discuss the problems and obstacles differently in starting with possible solutions. Use the problem tree tool to focus on roots, causes, and effects to address the real problem rather than symptoms.

There are several probable solutions. It is essential to consider the costs involved in implementing or undertaking projects as is the time-frame. The use of ranking and preference ranking might also be helpful in resolving the identified problems and finding solutions.



Woman explains Social Map



## Tool 5: Community Action Plan

On concluding the problem analysis and turning problems to solutions, a Ward committee is elected to spearhead the community visions to its fulfilment.

People's commitment in solving community problems is crucial and therefore it is important to form committees at this stage. The committees will engage in project planning and budgeting, later bring such plans to the community for approval. The elected Ward committee will also have the mandate to spearhead the planning process for presentation to the LASDAP and CDF teams.

A Community Action Planning popularly referred to as CAP, is a summary of a project, this briefly highlights the problem statement, proposed solutions, activities to be carried out, timeframe, outputs, responsible persons, resources required and a budget where necessary. The calculation of projects costs is elaborated in consultation with the Town Engineer or specialists in given fields. This approach assures that the people enter into discussions with the LASDP and CDF teams based on facts and with realistic cost calculations, thus being serious and confident negotiators.

**The Community Planning workshop requires time, patience and flexibility.**

**Calculate a minimum of three days for one workshop and look for venues convenient to the participants, not to you.**

**Be ready to organize one workshop at least in each Ward. Do not make it difficult for the people to take part.**

Summary: Tools used in the Community Planning Workshops

### Tools in Step II

Historical profiles  
Semi structured interviews (SSI)  
Government Planning Cycle (GPC)  
River code  
Local Council Resource Envelop

### Tool in Step III

Resource and Social maps  
Venn diagram / Chapati  
Visioning matrix  
Focused group discussions on obstacles and possible solutions  
Training of committee on leadership roles project, management and CAP formation.

**The tools will be described in detail in the Appendix, the last chapter of this Manual.**



## Phase Five: Follow Up

Following the election of a Ward committee the prioritized solutions on projects has to be planned for presentation to the LASDAP team and the Constituency Development Fund (CDF) and any other Donors including fund-raising.

Hence, the consultation process continues and the committee takes lead in guiding the community with minimum support from outsiders. The Ward committee takes charge to inform the people to participate in the Community Action Plans (CAPS) and the committee is empowered to present the needs of the Ward to the Council, CDF and other Donors. The local civil societies could be mandated to look for support from donors on behalf of the

community thus strengthening the civil society organizations. The committee continues to bring feedback to the community on the progress made on the agreed projects and continuously urges the Council and other potential donors to support the community initiative.

Training of the Ward committee is crucial to make it work effectively and efficiently without engaging in unlawful activities such as stopping a contractor and demanding to replace the councillors' decisions.

Projects are presented to the LASDAP team after reviewing the previous years' activities. The community members are guided to present projects aimed at reducing poverty to avoid duplication efforts of the central Government.

## Phase Six: Community Presentation of Projects

Following a successful community planning communities are well prepared for the community consultation process of the Councils' LASDAP team.

The Chairman of the Ward committee is ready to chair the consultation rather than leaving it to the Council officials as it was usual in the past.

A Ward committee member chairing the

discussion is a further step in the empowerment process of the community and definitely encourages participants to actively take part instead of just consuming the deliberations of the Council officers. They are ready to reason and defend their project proposals based on facts and realistic calculations of costs.

Definitely, the new leaders needs guidance to run the process efficiently.

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## Phase Seven: Monitoring and Evaluation

The Ward Committees represent the community at various meetings and forums.

The results of consensus meetings, full Council and MRF Board meetings have to be communicated. The committees ensure information flow. The committees engage in project monitoring and evaluation and follow up.

Council and Constituency Development Fund projects and any project funded through public funds. They observe if Ward officials and the LASDAP team decide on any project modification without communication.

However, the Ward committee is not replacing any established committee of the Councillor or MP.

**The Ward committee members have to be trained further. Capacity building in organization of the committee work, in communication and moderation skills, and in monitoring and evaluation methods are essential to secure success.**

**The Focal Persons, already trained before, should not be sidelined, their knowledge is important for the Ward Committees.**

## 7. Formation of an Umbrella Body

As mentioned, the Malindi Residents Forum (MRF) had already been formed at an earlier stage of the PiP process. An interim committee had since led the MRF and in general meetings the participants had agreed on the name and a constitution for the umbrella body.

Now, after the Ward Committees were formed, it was just the right time to put the final touch on the MRF.

In a general meeting the stakeholder's elected board comprising representatives from each ward and an additional representative from the European community in Malindi.

After its election the MRF board was trained in their duties, responsibilities and regulations how to run their board.

The board manages the activities and is the mouthpiece on behalf of all members.

MRF is a non-organic, non-religious, strictly impartial umbrella organization comprised of civic society organizations, Vulnerable groups, Private Companies, Residents Associations, Media groups, Religious Organizations, Development Agencies, Councillors, Government officials, other special interest groups and individuals within the Municipal Council of Malindi.

The Forum is a space provided for Civil Society Organizations to actively engage with the Council to promote quality service delivery, accountability and responsive citizenry.

The Forum will also provide for facilitation of community participatory project planning,

advocacy and lobbying proper use of Government devolved funds and other resources from development funding partners.

Malindi Residents Forum has three levels of operations. These include the Village level, Ward level and Municipality level where the Board of MRF meets.

In the meantime several MRF stakeholder meetings have been organized. The MRF meetings also served to inform about other activities in Malindi. Kenya Medical Research Institute presented its anti malaria campaign and the coordinator of the Constituency Development Fund explained the activities and structure of the Fund and clarified the requirements to get support for a project.

The MRF board entered into discussions with the Municipal Council to sign a Memorandum of Understanding, to formalize the partnership. In a series of meetings involving Councillors, Mayor, Town Clerk, and MRF board a Memorandum was developed and signed, describing and defining the rights, duties and responsibilities of the partners. A very important step to forge a sustainable PiP future. For example, in the MoU is assured, that the financial meetings with the stakeholder will continue and that the Citizen's office in Town Hall will be maintained and sufficient money for its activities will be supplied in the budget. The MoU is also of important symbolic value, as the MRF activists recognize that their voluntary commitment is respected and not in vain.



MRF Board Members

A stakeholder umbrella organization provides the much needed networking for civil society organisations and committed individuals. A umbrella organisation also provides the adequate infrastructure to address injustices.

It is crucial to maintain strict political impartiality - the politicians have to decide their stand on citizen's participation, and the Residents Forum has to stay away from partisan politics.

It has to be stressed that a stakeholder umbrella organization has to be non-religious and non-organic to open it up for everybody without any cultural barriers.

It is a must to train the members of the board of the umbrella organization in their duties and responsibilities to assist them to do their job as professional and effective as possible.

The umbrella organisation needs logistical support - at best from a citizen's office.

A MoU between the local authority and the umbrella organization is very important, as it describes the cooperation and guarantees the sustainability of a participation in partnership.



MRF Activists



## 8. Results and Impacts

1. The Partnership in participation project implementation has changed the management system of the Municipal Council of Malindi from a closed to at least partly open, including the participation of stakeholders in the management of the Council.

Local revenue collection has tremendously improved, approximately doubled from 44 million to over eighty (80) million in the two years of the project implementation.

2. Public revenue enhancement meetings are held every Wednesday to track the resource base, monitor income and expenditure and discuss important issues of the Municipality. These meetings comprise the senior officers from the departments of the Council, the Town Clerk, and stakeholders.

This monitoring and questioning of the expenditure proved to be an efficient tool to minimize corruption.

3. PiP has enhanced people's participation through stakeholder meetings with repre-

sentatives from the business community; self help groups, NGOs and other stakeholders, for information sharing.

4. The performance of the Council has improved.

5. The establishment of MRF structures from the village up to the Municipality provides information and strengthened participation

6. The LASDAP process of the financial year 2006/07 was conducted in a participatory process with the result that project proposals from the community get financial support through LATEF.

7. The LASDAP process was also used for Budget inputs by the communities.

8. The Master Budget was for the first time presented and discussed in Stakeholder meetings

9. Citizens are aware of their civil rights and use them.



TA (right) with IPD coordinator (left), PiP coordinator (to her left) and Council officers

## 9. Challenges

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Participation in Partnership project has been implemented in a favourable political environment, as participatory planning is part of the reform program of the Government of Kenya. However, being a new concept for the council staff, Councillors and other stakeholders, PiP was received both enthusiastically and at certain corners negatively.

PiP had effect on Council rules, regulations and procedures, in other words, on the political and governing culture as a whole. It is unavoidable that intervening in a routine, in place for a long time, will create resistance, as it is well known that “change is disturbing when done to us but exhilarating when done by us.”

1. Political resistance was and is a permanent challenge, which has to be dealt with all the way. Although PiP was approved by a full Council meeting, many councillors were suspicious to loose their privilege and autonomy in decision-making. Furthermore, they regarded PiP as a political project and assumed it might support opponents in future elections.

PiP indeed promotes a new decision making culture. Therefore, the civic wing has to be involved from the very beginning and any effort has to be made to contain the fears of the councillors. Additionally, any participatory project has to maintain impartial. Even if some MRF members develop ambitions political they should never be allowed to use MRF as a campaign stage.

2. Resistance from chief officers has to be considered. Many of the them regarded the participatory process as too demanding and time consuming for the executive. To answer questions, being confronted with uncomfortable questions about performance and

expenditure behaviour each Wednesday and in meetings with the communities was new and not welcomed by many of the senior staff.

The staff has to be involved. A participatory culture is not implemented over night. Hence, capacity building within the Council and officers taking part in focal persons trainings and community planning workshops is a must to promote and induce changes from within.

3. Participatory Development/ Governance is also a learning process for the civil society. As people are used to the top down approach, they need time to gain confidence, trust in their strength and a belief that participation matters, because intervention can be successful. More time needed for the project.

4. As long as the sustainability of a Participation in Partnership is not secured and therefore not predictable, many of the actors in the Council and in the civil society will show only restricted commitment.

A MoU between MRF and Council, defining the cooperation and assuring the future of the participatory process was the solution to counter that challenge.

5. The frequent transfer of Town Clerks has to be taken into account. The new one has to be updated and quickly involved in the project. The MoU will definitely help to reduce any problems caused by the transfers of Town Clerks.

6. It was not easy to establish voluntarism as an important principle during the implementation period of the PiP. It takes time to convince people to be committed. Evidence of being rewarded with growing confidence, treated with respect, and being successful are the best helpers to promote voluntarism.

## 10. Lessons learnt

1. The levels of education between the rural and urban communities demand diversified approaches to avoid frustrations.

Stakeholders from the urban setting like the Chamber of Commerce and the Resident Associations are quite self confident and used to articulate their views and demands in public as they are able and used to address their recommendations towards the officers of the Municipal Council. They articulated the need for an open space to share information and elaborate public agreements for a more effective development.

Other Stakeholders mostly from the rural areas are concentrated on their projects but have not much been involved in the decision making process at the level of the Municipality.

To bring all at the same level and avoid frustration it is necessary to separate temporarily the stakeholder community to meet the needs of the marginalized. But it is crucial to bring them together in a way that “cooperation and respect “ can grow.

2. Participatory management and Governance development are new terms not known and practiced before by the officers of the local authority; it is a learning process needing time and goodwill from all - the Council, civic wing and the civil society.

3. A participatory culture has to be adopted and later internalized by the officers, civic wing but also by the civil society. Hence, every effort is required made to ensure everybody is brought on board for an all-inclusive approach.

4. It is essential that the umbrella organization comes to a Memorandum of Understanding with the Local Authority on roles and responsibility between the two to sustain the voluntary commitment.

5. A project /program of this nature will only be effective if adopting a Right Based Approach. Therefore, the organizational structure has to be open for everybody and allowing to address injustices or incorrect decisions affecting a community or an individual.

6. Information sharing is a must for effective citizen’s participation; poor reading culture and illiteracy are the major challenges to address to secure that all are informed and not excluded from participation. Therefore multiple methods for information sharing are required such as letters, newsletters, billboards, meetings, workshops, seminars and more to make sure that information reaches the people.

7. Participation in Partnership is a dynamic process. Hence the need to adjust to new developments, to be flexible, to allow for changes and corrections to permanently improve the process.

8. Citizen’s, Council and Civic Wing have to develop Ownership of the process to make participation sustainable and continuously used for the good of the people.

9. The commitment of the citizens must be recognized by the Municipal even if it hurts when the officers try to do their best and still are confronted with complaints.



Public notice board

**Any Participation in Partnership project targets the traditional political and governing culture. Therefore, resistance is unavoidable. Incorporate and involve the potential opponents like Councillors and Senior Officers from the very beginning. Let them taste the advantage to partner up with the citizen's.**

**Capacity building within the Council and officers taking part in focal persons trainings and community planning workshops is a must to promote and induce changes from within.**

**Any participatory project is dynamic. Be flexible and allow for changes to permanently improve the process.**

**Participatory management and governance development are new and not practiced before, it is a learning process and needs time and goodwill from all - Council, Civic Wing, Civil Society.**



Women football team against AIDS



# Appendix - PiP Tool Kit

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## Tool 1: Semi Structured Interviewing

Semi structures interviewing (SSI) is:

- a dialogue where important information develops out of casual conversation
- guided interviewing, where only some of the questions are predetermined and new questions come up during the interview
- The core of PLA. It is a tool in the special form of an interview, but it is also the base in terms of manners and acting with community members

The characteristics of a SSI should be considered while conducting any other tool. This will contribute to a relaxed and informative dialogue.

SSI can be done with:

- Individuals for representative information
- Key informants for specialized information
- Groups for general community-level information
- Focus groups to discuss a specific topic in detail

### Activities

- \* Use a checklist
- \* If possible, use the local language to

reduce barriers

- \* Be sensitive and respectful mind your body language, e.g. during an interview, take a seat at the same level as the respondents
- \* Make questions short and easy to understand; aim at consistently finding out more details. Avoid ambiguous questions
- \* Do not ask more than one question at a time
- \* Questions should always be phrased in such a way that they require explanation (open-ended questions) rather than allowing an answer “yes” or “no”. “Yes-no” questions make further probing for details more difficult and subsequently answers less reliable
- \* For open-ended questions use the “six helpers”: What? When? Where? Who? Why? How?
- \* Use “why” questions rather carefully, because they may force the informants into a defensive position and stop the flow of information
- \* Probe answers carefully with Suppose..., But why ...?. Please tell me more..., Anything else...?
- \* Judge responses. Is it a fact, an opinion, a rumour?

## Tool 2: Resource Map

### Objectives of the tool

- A dialogue between the different groups of the community is established
- A picture of different perceptions of the local environment is constructed
- Access and control over resources are documented
- A baseline reference for use in further discussions is created
- A process of dialogue has started, as maps are usually non-sensitive and relatively easy to facilitate
- Problems, resources and potential have been identified in relation to the key questions

The resource map is often the first tool or the first event during the village workshop. It starts immediately after the introduction and group selection



## Activity

### Before the event

- \* Let the community choose a suitable place for the mapping. It should be large and open for more people to become involved and suitable for drawing on the ground (sand etc.). The map should be visible to everybody.

### Starting the event

- \* Begin discussing on general issues within the community and about available resources.
- \* Help people to get started. Encourage them to point out something visibly. Let them mark it on the ground. Then stand back and keep a low profile in accordance with the role descriptions of the facilitator/note-taker.

- \* Let them carry on. Be patient. They will develop their own map.

### During the event

- \* Let them use any available local material as symbols to represent any important issue as to present trees, houses, wells, rivers, pans, roads
- \* Make sure that every group member is able to participate and to follow the process.
- \* Try to integrate dominating as well as shy people in the process.
- \* Interview/probe the map according to the checklist.
- \* Keep your checklist in mind as a guideline.

## Tool 3: Chapati/Venn diagram

### Objectives of the tool

- \* Key institutions and individuals responsible for decisions in a community are identified
- \* The local perception and knowledge of existing institutions/organizations/DAs and their institutional support and contact to the community are visualized
- \* The different types of agencies are identified and their functions and importance in the community are understood by the PRA team

### Activities

- \* Ask the sub-group which organizations are important to them and which ones are working in their community. Probe different types of groups (formal/informal/traditional/internal/external).
- \* Encourage him or her to draw circles on the ground to represent each organization or individual. Make a boundary for the community and put internal community institutions and individuals inside the boundary and external institutions outside.
- \* Ask the sub-group to indicate the organizations operating in their community in the form of circles, with the size of the circles varying according to the importance of the organization
- Let them use smaller circles to represent

less important organizations or those failing in their work

- Let them use large circles to represent institutions/organizations/DAs important to them or known to be effective in their community

- \* Let the sub-group choose symbols for the different DAs to ensure that illiterate people can also follow the discussion

- \* Let the sub-group indicate the degree of linkage/closeness of the community to the organizations in the form of the distances between the circle representing the community and the circles representing the organizations. The most distant circles (organization's circle) to the community represent the organization with the least contact. The same applies to the distance of the organizations from each other.

- \* Let them indicate the degree of contact or cooperation between the community and the organizations and between the organizations in the form of touching or overlapping circles. Arrange them as follows:

- separate circles - no contact/less contact in the real situation
- touching circles - contact exist but no cooperation
- small overlap - some cooperation
- large overlap - considerable cooperation

# Visioning and Long-Term Goals

Visioning is a process through which community members examine their past, present and future. They look at trends and why things are proceeding in a certain manner. They also reach a consensus on what kind of future they would like to have as a community. This vision of the future, usually fairly long term (15-20) years) provides a framework for the upcoming planning process. These visions are articulated in the form of long-term goals, which the community is aiming to achieve. Planning then consists

of concrete actions which, the community takes to pursue the goals. After each planning cycle, the community can re-evaluate the goals to see how much closer they have come to achieving them.

There are four methods, which can be used for this process:

- The visioning matrix
- The future map
- Future discussions
- Long-term goals discussions

## Tool 4: Visioning Matrix

- Divide participants into groups according to age and gender
  - Explain that in this discussion we will be looking at the past, the present and the future of the community. The objective is to decide on what kind of future we want, considering the past and the present and ongoing trends.
  - Ask the participants to brainstorm on important aspects of life that they would like to analyse. These should be fairly broad, such as environment, agricultural production, education, health, social relations, gender relations, etc.
  - Help the group to set up the matrix outline of five columns (aspect of life, past, present, probable future, preferred future).

- Ask participants the reasons for trends; why have things changed? These can be important for identifying underlying causes and for planning strategies for improvement
  - Discuss linkages between rows in the matrix, how aspects are inter-related, e.g. the relationship between population growth, poverty and health problems
  - When the matrix is complete, the group should be asked to consider how it moves from the current situation to the preferred future. If the probable future is negative, then changes must be instituted to enable the preferred future to be achieved. If then probable future is positive, then it is important to discuss how the

Aspect of Life	Past	Present Probable Future	Preferred Future

- Ask the group to visualize the headings for each column (past, present, probable future, preferred future)
  - Ask participants to arrange the rows, each aspect of life occupying one row
  - Then proceed through the matrix, analyzing and visualizing each aspect of life as it was in the past, as it is in the present, as it will be in future if current trends continue (probable future), as participants would like it to be (preferred future)

positive trends can be continued and enhanced. The group should not decide on details at this point, but the idea of moving toward the preferred future should be introduced.

- Present, discuss and record matrices. The discussion should especially focus on commonalties and differences among the matrices. This is a prelude to agreeing on long-term goals.

## Tool 5: Future Map

A future map is used to integrate and locate the ideas generated during the planning meeting of the WRF and the sector(s) specialists. The Village Development committee members illustrate how they would like their community to look like many years into the future. Anything, which can be visualized, can be included in the map.

### Procedures

- Explain to the WRF that in this exercise, they will consider how their community will look in the future, putting into consideration the ideas they had discussed. They will show on the

map the type of things they would like to have in the future and how their resources will be. Anything that can be shown on the map can be included.

- Revisit the already developed community resource map and facilitate them to draw another one on the ground to assist them develop the future map
  - The ideas are plotted onto this map
  - The maps from sub-groups are triangulated (if small groups draw the maps)
  - Transfer the finished map to paper ready for presentation to the community

## Tool 6: Future Discussions

These group discussions supplement the future map and visioning matrix by focusing especially on the roles of various social groups in the future. By discussing with the people, there will be opportunities to fill in some gaps, which may have occurred in the mapping and matrix exercises.

### Procedures

- Ask to think about how they would like life to be like in the future

- \* For men?
- \* For women?
- \* For boys?
- \* For girls?
- Record the main points made by the group and ask probing questions, e.g. why certain changes from the current situation are desired and what the likely impacts of such changes would be
  - Prepare the WRF to present the results to the whole community and discuss implications

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## Tool 7: Prioritising of problems and solutions

### Objectives of the tool

- Ranking allows the main problems, needs, constraints, preferences of individuals or groups to be determined and enables the priorities of different people to be easily compared
  - Helps to clarify community members' preferences and constraints
  - Enables the community members to discuss, analyse and prioritise their problems, needs and possible solutions

### Activities to be done in general for each type of ranking

- \* First, ask a sub-group member to list the problems that have already been mentioned

before (e.g. during resource mapping, making a historical profile etc.)

- \* Ask the whole group if they have any additions to be made to the list
- \* Ask them to attribute some symbol (s) to each problem, to ensure that even the illiterate can understand the list
- \* Let them collect material for scoring (which they find suitable). For example stones or seeds
- \* Ask the group to rank their priority problems. This could be done by using either preference ranking or pair-wise ranking as well as with matrix scoring

## Tool 8: Preference ranking

### Activities

- Ask the community members to rank their listed problems by scoring using a certain number of stones. This could be done in three ways:
  - Give each person a certain number of stones. Ask them to place the stones to the problems they find most important. Tell them they are free to place the stones wherever they want. If somebody considers only one problem

to be important, he/she could put all stones against this specific one. If there are several pressing problems the amount of stones could be divided between them. Either put them in a special order or give some problems equal weight. For example, if 20 stones are to be allocated to six problems, one could find “lack of water” most pressing and put 9 stones. Two other problems have the same weight, expressed by 5 stones

## Tool 9: The Community Action Plan (CAP)

### Activities

- Introduce the CAP to a sub-group
- Ask the community members whether they have experience in organizing an activity or a project together. Ask for examples. This could be something simple, like a single event (a marriage, a baptism), or a bigger task, like building a schoolhouse, a dispensary, etc.
  - Take an event they mentioned
  - Ask them what they have done for this task and who had benefited from that project
  - Explain that this benefit was at that time (before they started the activity) their goal. For the school example it would be formulated like: “Having a better learning environment”. The beneficiaries in this example are the students.
  - Ask what activities had to be done for achieving the goal and write/symbolizes them on cards. Put the activities in a logical order (one step after the other).
  - Ask what intermediate outputs (results) had to be achieved to reach their goal. For example, to have a school building intermediate results would be: 1, the place is cleared, 2, the walls are constructed, 3, the roof is established.
  - Let the community members sort the

respective activities to the specific intermediate outputs (results).

- Ask them what material was needed for each activity and write their answers next to the activity on the card.

- Ask who was responsible for a certain activity and add this as well.

- Explain that this example shows how a CAP should be constructed and that the community should formulate a CAP for a development project derived from the priority ranking during the village workshop.

- Explain carefully that the elaboration of a CAP and keeping track of the follow-up will need good coordination within the community. Therefore a Village Committee could be a suitable organization to coordinate the activities that will start after the end of the village workshop.

- State that it is up to the community to decide on the election of a Village Committee. All sub-groups formed during the village workshop should be represented in this committee.

- Answer open questions.

# Contacts

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October 2007