

INFLUENCE OF COMMUNITY DRIVEN-DEVELOPMENT APPROACH ON
ACHIEVEMENT OF SUSTAINABLE COMMUNITY LIVELIHOODS: A CASE
OF WESTERN KENYA COMMUNITY DRIVEN-DEVELOPMENT AND FLOOD
MITIGATION PROJECT (WKCDD/FMP) IN BUSIA COUNTY, KENYA.

BY

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A Research Project Report Submitted in Partial Fulfilment of the Requirements for
the Award of the Degree of Masters of Arts in Project Planning and Management of
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DECLARATION

This research project report is my original work and has never been presented for a degree in any other University. The work herein has been undertaken by me and all the sources of information have been acknowledged by means of reference.

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DEDICATION

I wish to dedicate this work to my parents Samuel Irungu and Virginia Wanjiru for their endless support, inspiration and encourage during my pursuit of this Masters Degree.

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I acknowledge the Almighty God for the gift of life and endless blessings in my life and throughout this Degree. I also appreciate the support and assistance from the lecturers and staff at the College of Education and External Studies in providing me with valuable input and information for undertaking this work.

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LIST OF ABBREVIATIONS AND ACRONYMS

CAPs	Community Action Plans
CBOs	Community Based Organizations
CDD	Community Driven Development
CDDCs	Community Driven-Development Committees
CIGs	Community Interest Groups
FEWS	Flood Early Warning Systems
GAD	Gender and Development
GoK	Government of Kenya
HH	Household
IDA	International Development Assistance
KII	Key Informant Interviews
ODA	Overseas Development Assistance
OECD	Organization for Economic Cooperation and Development
PDO	Project Development Objective
PRA	Participatory Rural Appraisal
ToC	Theory of Change
USD	United States Dollar
WDI	World Development Indicators
WID	Women in Development
WKCDD/FMP	Western Kenya Community Driven Development and Flood Mitigation Project
YAPs	Youth Action Plans

ABSTRACT

The dependence on donors for investments on economic and social development work has been on the increase in developing countries due to the constraints in national budgets as a result of unsustainable increasing public expenditure. This has seen calls for effectiveness, sustainability and accountability to the public programmes and projects funded by donors. As a result, Community Driven Development (CDD) approach to community economic and social projects and programmes has grown rapidly in many countries as an effective mechanisms for channelling development to the public. Donor funded projects and programmes grounded on CDD approaches aim at improving the livelihoods of the communities sustainably through direct participation of the communities. However, until recently, there has been little rigorous evidence on the efficacy of this social development approach. Thus, given the large amounts of funds committed to CDD projects it becomes vital to determine whether this approach is viable, sustainable and worth supporting since it is expected that the projects will influence the sustainable livelihoods of the communities through enhancing their food security, health, social and economic status, gender equity, education status, access to water and shelter among others. This research therefore seeks to assess the influence of community driven development projects on the achievement of sustainable community livelihoods in the case of the Western Kenya Community Driven Development and Flood Mitigation Project (WKCDD/FMP) in Busia County. The study sought to answer the questions; to what extent does (i) prioritized community investments/projects, (ii) gender mainstreaming, (iii) capacity building and (iv) flood mitigation as CDD initiatives influence the achievement of sustainable community livelihoods? The research adopted a descriptive survey design which enabled the researcher to collect data from the large target population while correlating the variables to deduce how the states of affairs are at the time of the research. The research targeted the beneficiaries of the WKCDD/FMP project in Busia county targeting 200 households drawn by the Slovin's formula. The research utilized well-structured questionnaires for the households in collecting quantitative data; key informant interview guides and focus group guides for collecting qualitative data. Secondary data was collected from review of related studies, project reports and other related literature. Quantitative data was coded, entered, validated and analysed using the Statistical Package for Social Sciences (SPSS) version 18.0 through descriptive and inferential statistics and correlation of variables. Qualitative data on the other hand was categorized by themes for analysis and the categorization verified by independent experts. The Findings indicate that CDD projects in the County which were prioritized by the community had contributed to the improvement in welfare and living standards of the households and were rated by 74% of the respondents as very successful in improving their livelihoods. On gender mainstreaming, 70.5% of the women interviewed were members of community development groups and 96.8% had actively participated in meetings for decision making while 87.1% had participate in trainings for capacity building. Capacity building had improved the skills and knowledge levels of the communities in sustaining their livelihood activities with 98% of the respondents indicating they were indeed utilizing the gained skills and knowledge. Flood management had achieved its objective as only 23.7% of the households had been affected by floods and 46.65% confirmed they had increased crop production as there had been no crop loss by floods. In conclusion, it is evident that the CDD approach has significantly contributed to food security, economic security, gender equality, education and access to shelter as indicators of sustainable livelihoods as well as strengthening community cohesion, governance, accountability and ownership structures. The study recommends continued capacity building, gender mainstreaming efforts for the project; policy alignment to guide CDD approaches, and development of framework for rural governance structures for government and development partners; and further qualitative research on principles of CDD approach, documentation of successful CDD approaches and comparative study of the CDD approach and centralized approach to community development.

CHAPTER ONE

INTRODUCTION

1.1 Background of the Study

Most governments in developing countries have become more dependent on donors for investments on economic and social development work due to the constraints in national budgets as a result of unsustainable increasing public expenditure. This has seen Community Driven Development (CDD) grow rapidly in many of these countries as an effective mechanism for channelling development (Mansuri, & Rao, 2003).

By the year 2003, conservative calculations indicated that the World Bank's lending for CDD projects had gone up from \$325 million in 1996 to \$2 billion in 2003. A study by Wong (2012) indicates that the World Bank currently supports approximately 400 CDD projects in 94 countries which are valued at \$30 billion. The World Bank CDD lending over the past 10 years lies between 5 and 10 percent of the total lending portfolio. To date, approximately 105 International Bank for Reconstruction and Development (IBRD) and International Development Association (IDA) countries have undertaken projects with a CDD approach. Mansuri and Rao (2003) attribute this to the fact that CDD is now viewed and appreciated as a mechanism which: Enhances sustainability; improves efficiency and effectiveness; allows poverty reduction efforts to be taken to scale; makes development more inclusive; empowers poor people, builds social capital and strengthens governance; and complements market and public sector activities.

Community Driven Development (CDD) is an approach which emphasizes community control and participation in planning decisions and investment resources (Wong, 2012). Dongier and Van Domelen *et.al* (2002) define CDD as an approach that gives control of decisions and resources to community groups which then work in partnership with demand-responsive support organizations and service providers, including elected local governments, private sector, NGOs and the central government agencies. International World for Reconstruction and/Development Bank describes CDD approach as an approach that seeks to empower communities, reduce poverty, improve the economic and social conditions of the poor typically in rural and remote areas. The United Nations define community-Driven Development as the processes by which efforts of the communities are united with those of the governmental authorities with the aim of improving the economic, social and cultural conditions of communities, to integrate these communities into the life of the nation and to enable them contribute fully to national progress (Kishindo, 2000).

Globally, there is growing evidence that CDD is an effective means of ensuring public finances are utilized efficiently, the financing requirements to improve vulnerable groups and poor people's access to basic service far outstrip the availability of the public funds. Thus, countries have been leveraging on local and private financing sources in implementing the CDD programs (The World Bank, 2011).

A Voices of the Poor Study conducted in 60 countries based on 60,000 interviews indicated that poor people want a development process driven by their communities. This they justified by stating that the community driven development programs: allow them to do their own organizations which enable them to negotiate with the government, traders and NGOs; the programs provide direct assistance which enables them shape their own destinies; and it creates accountability through local ownership of funds in a way that makes the NGOs and the governments accountable to them (Narayan *et. al*, 2000).

Past CDD project evaluation reports have indicated more positive impacts on poverty reduction and improve access to services for the target communities. Wong (2012) in a study on the impacts of community-driven development programs outlines the critical success factors for CDD programs as: the establishment of a more participatory and inclusive model of service delivery which allows communities to identify the poorest and their own development needs; provision of high quality and adequate facilitation and technical assistance; capacity building for communities; proper utilization of poverty maps to target resources to poor areas; and flexibility in project design and implementation with an approach of "growth in learning" over both medium and long term.

However, even with the increased uptake of such programs and their success, they are facing both design and implementation challenges (Wong, 2012). The design challenges include: the lack of clear articulation of governance and social transformation pathways; limitations in community mobilizations and in reaching marginalized groups. Implementation of such programs has also faced challenges in the form of: delays in financial disbursements; conflict-affected situations; natural disasters; coordination challenges with other government ministries; operations and maintenance challenges and poor monitoring and evaluation systems.

Africa has been a beneficiary of social funds more than any other region in the world in the past (Chases & Sherburne-Benz, 2001). However, data limitation has made it difficult to conduct quantitative impact analysis of Africa's Social Funds. Among the biggest supporters

of social funds in Africa has been the World Bank. In the quest to establish effective sustainable development for the social funds, Community Driven Development has been one of the most successful approaches. In Africa, CDD has taken the centre stage in donor-funded development projects with the main intent being to help empower communities in Africa to shape their future by giving them more resources and the authority to use these resources to improve their living standards (World Bank, 2000).

However, even in light of the above, community development and integrated rural development are ideas that have been tried in the past in Africa with disappointing results. Research done in the past has attributed this to the inability of the central government agencies and donors to respond to local priorities or take advantage of the local skills (World Bank, 2000). This has further necessitated the need to change the approaches in community development to CDD.

Donors have funded projects with CDD approaches across a range of countries in the quest to support a variety of needs including: Water supply and sewer rehabilitation, education, health, nutrition programs for mothers and infants, building of rural access roads, and support for micro-enterprises among others. A case in hand being GoBiFo CDD project in Sierra Leone which commenced in 2005 as a result of the armed conflicts which ended in 2002. This exposed that over 26% of the country's population were living in extreme poverty with a life expectancy of 42 years, a second lowest in the world at the time. Another example is Senegal's National Rural Infrastructure Program (PNIR) which began in 2000.

Donor aid to developing countries Kenya included has been on the rise in recent past with no reduction in poverty levels (Oduor, & Khainga, 2009). A study done by Oduor and Khainga (2009) on the effectiveness of foreign aid on poverty reduction in Kenya indicated that there has been a significant reduction in poverty in Kenya due to the Overseas Development Assistance (ODA) channelled through ODA funded-projects and programs in rural areas. Kenya is a low-income country with approximately 20% (Over 8 million) of the population living under the 1.25 dollar-a-day income poverty line (WDI, 2011). According to OECD (2011a), the ODA to Kenya totalled USD 1778 million with the top five donors contributing to 62% of Kenya's core ODA.

To enhance sustainability and accountability, CDD has also been utilized in most donor-funded projects in Kenya in the past as one of the requirements from the funding donors. An

example is the World Bank/GoK funded Western Kenya Community Driven Development and Flood Mitigation Project (WKCDD/FMP).

The Western Kenya Community Driven Development and Flood Mitigation Project (WKCDD/FMP) is a 10 year project being implemented through the Office of the President, Under the Ministry of Devolution and Planning, Directorate of Special Programmes. The project is being implemented with funds availed by a credit of USD 86 million from the International Development Association (IDA) of the World Bank and USD 14 million from the Government of Kenya and community contributions. The project is being implemented in Vihiga County, Kakamega County, Bungoma County, Siaya County and Busia County. The implementation started in 2007, and the project is in its seventh year of implementation.

WKCDD/FMP seeks to empower the local communities to engage in wealth creation activities, lower the incidences of poverty and reduce the vulnerability of the poor to adverse outcomes that are associated with the recurrent flooding. The project also engages in poverty eradication activities by promoting and supporting communities in alternative sources of livelihoods through community-driven activities.

The project is implemented in three components namely:

Community Driven Development (CDD): Supporting community-prioritised investment projects to improve livelihoods and building demand and capacity for development at community and district levels; Flood Management: Addressing the root causes of flooding in the region by investing in the protection of the fragile upper catchments of the Nzoia, exploring opportunities for flood management structures with multipurpose use in the middle catchment, and improving Flood management structures in the lower catchment – also establishing an effective, community-based flood early warning system, linking international and national information systems with local communities; Implementation Support: supporting research, market assessments and advocacy work to identify and develop new opportunities for economic growth in the region and establishing and running key coordination mechanisms in the Office of the President (OP), Special Programmes.

The community driven development is the major component of the project from which the other components are anchored on. The CDD enjoys the largest financial allocation of the project amounting to USD38.9 million followed by flood mitigation at USD 31.3 million.

1.1.1 WKCDD/FMP Project objective and outcomes

The objective of WKCDD/FMP is to empower the local communities of men and women to engage in sustainable and wealth creating livelihood activities and reduce their vulnerability to flooding.

The project works with communities through decentralized structures of the local government and the provincial administration to enhance the capacity to identify, plan, manage, mobilize resources and prioritize interventions aimed at poverty reduction. Ultimately, the project is expected to promote sustainable development anchored in good governance, accountable leadership, and results-based approach to delivery of services.

Achievement of the project development objective (PDO) is monitored through a set of indicators which include: Number of men and women actively participating in decision making at community and sub-county levels; Percentage of community and youth investment projects rated satisfactory or better by participating communities; Percentage increase in real income of households in project intervention areas; Percentage reduction of financial cost induced by average annual flooding in the Budalangi flood plain (property damages, agricultural damages and resettlement costs)

Approaches utilized by the project include:

1.1.1.1 Participatory Integrated Community Development

The Project utilises the Participatory Integrated Community Development (PICD) approach refined in the Arid Lands Resource Management Programme (ALRMP), the second phase of which ended in December 2010 and was being implemented in the arid and semi-arid lands of Kenya with the support Of the World Bank. PICD is a combination of different participatory methodologies for starting and sustaining ‘community conversations’ that enable community groups to reflect on their development needs, to prioritise those needs, to draw up community action plans(CAPs),to design, implement and monitor their own projects. So it is a data collecting, resource mapping, and action planning process.

Participatory Rural Appraisal (PRA) needs assessment techniques are central to the approach – but PICD uses additional diagnostic and decision-making techniques For supporting community groups in organising themselves for planning and managing development programmes.

1.1.1.2 Community involvement

The project has intensive community involvement. The community-driven development (CDD) approach through which community needs and priorities are elicited, prioritized and implemented, draws key design features from ALRMP, including institutional mechanisms for working with communities, facilitating their engagement, building institutions and capacity, and ensuring coordination at the district level.

1.1.1.3 Micro-catchment focus

Project design lessons from other successful Bank projects indicate that, while river basins/watersheds may be selected as entry points, the design should use micro-catchments as the primary operational unit. Decentralizing to this level can lead to optimal community involvement, showing the interdependence of all farm units and contributing to an approach that treats all stakeholders/producers as complementary elements of the larger system. Thus, the WKCDD/FM Project activities are focused at district and micro-catchment levels.

1.1.1.4 Communication strategy

For the Project's objectives to be achieved, it is vital that many different stakeholders come to understand and accept the Project's strategy. The WKCDD/FM Project has comprehensive, widespread media publicity campaign information, awareness, and education campaign) in national (Kiswahili) and local languages (Luhya, Luo). This involves targeted public education initiatives, using relevant information and awareness materials.

The communication strategy targets communities, sub-county government officials, political leaders, civil society organisations (women's groups, youth groups and faith-based organisations) and the private sector. It provides information on Project activities and their potential benefits, the adverse impact of particular human activities on natural resources, the potentials of more conserving and sustainable economic activities, and the possibilities for improving service delivery at local levels.

1.2 Statement of the Problem

The World Bank and other donors have dedicated sizeable portions of their lending portfolios to CDD projects. Their main objective is usually to help improve the livelihoods of the communities through direct participation or through providing funding to supplement governments' budgetary allocation for poverty alleviation. But until recently, there has been little rigorous evidence on the efficacy of this social development approach.

Given the large amount of funds committed and that CDD projects are designed to optimize on the use of community actors while reaching a very large number of poor people, it then becomes very vital to determine where this approach is worth supporting. This is through assessing the influence of the CDD projects on the community livelihoods of the target beneficiaries. It is usually expected that the interventions in any community driven development project will influence the community livelihoods through enhancing their food security, social and economic status, gender equity, health and education status, access to shelter or water and hygiene among others. This is through implementation of various components among them community capacity building and participation, gender mainstreaming, prioritized community investments, and flood mitigation among other components.

It is in the light of this that this research seeks to assess the influence of the Community Driven Development (CDD) projects on the community livelihoods of the beneficiary communities with the case of Busia County in Western Kenya Community Driven Development and Flood Mitigation Project (WKCDD/FMP) which is funded by World Bank and Government of Kenya and being implemented under the Ministry of Devolution and Planning, the Directorate of Special Programmes in Western Kenya. This assessment is expected to draw recommendations on how to strengthen CDD projects' ability to deliver results especially with this approach becoming more and more common.

1.3 Purpose of the Study

The purpose of this study was to assess how the Community Driven Development approach influences achievement of sustainable community livelihoods in Busia County, Western Kenya Region.

1.4 Objectives of the Study

The objectives of this study were:

- 1) To establish the extent to which community prioritized investment as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County;
- 2) To determine how gender mainstreaming as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County;

- 3) To determine the extent to which capacity building as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County;
- 4) To examine how floods management as a community driven development initiative influences achievement of sustainable community livelihoods in Busia county; and
- 5) To establish the moderating influence of the combined community driven development initiatives on achievement of sustainable community livelihoods in Busia County

1.5 Research Questions

This study sought to answer the following research questions:

1. How does community prioritized investment as a community driven development initiative influence achievement of sustainable community livelihoods in Busia County?
2. How does gender mainstreaming as a community driven development initiative influence achievement of sustainable community livelihoods in Busia County?
3. To what extent does capacity building as a community driven development initiative influence achievement of sustainable community livelihoods in Busia County?
4. How does flood management as a community driven development initiative influence achievement of sustainable community livelihoods in Busia County?
5. What is the moderating influence of government policy on the relationship between the combined community driven development initiatives and achievement of sustainable community livelihoods in Busia County

1.6 Significance of the Study

This study is important to various project stakeholders among them the Government of Kenya. The GoK implements various projects and especially with the new approach being CDD. This study will be assessing the influence of Western Kenya Community Driven Development and Flood Mitigation Project on the sustainable livelihoods of the target communities. Thus from this study, we hope the GoK will be able to assess how effective and efficient the CDD project are; how sustainable they are and what are the different ways of improving on the implementation of such projects to ensure success.

This study is also expected to be useful to donors as it hoped that it will provide vital data on the critical success factors to community driven development approach; the influence of

community driven development projects to the communities as well as the recommendations on how to strengthen community driven development projects.

The beneficiaries of community driven development projects are also expected to benefit in that they might be able to appreciate this approach in helping them achieve sustainable livelihoods. The study will also give them a platform for them to learn and give recommendations on how well the CDD approach can address the challenges faced in this approach for future improvements.

The policy makers are also expected to benefit from the data and information on CDD projects which may assist them in development of future policy frameworks that will guide the funding and implementation of projects with similar approaches.

1.7 Basic Assumptions of the Study

The study assumed that the target respondents would be cooperative and honest enough to provide accurate and reliable data.

1.8 Delimitations of the Study

The study focused on the CDD project; Western Kenya Community Driven Development and Flood Mitigation Project which is being implemented in five counties namely: Vihiga, Kakamega, Siaya, Busia, and Bungoma. However, the study was confined to Busia County since this was the county where the project interventions have been implemented for a longer period.

The study sample was drawn from Busia County only. This is because the project has been implementing the interventions in this county for the longest time as compared to the other 4 counties.

The study was limited to the beneficiaries of the project who were the target population. This is because they are the recipients of the project interventions. The beneficiaries were only drawn from the Busia County.

1.9 Limitations of the Study

The study was limited to beneficiaries who have been in the project as at June 2014. This is because for a project to influence the livelihoods of a community, the beneficiaries must have been in the project for at least 3 years. Thus, only beneficiaries registered to the project between 2008 when the project was incepted and June 2014 were considered.

1.10 Definition of Significant Terms Used in the Study

Below are the definitions of the major terminologies used in this study.

Capacity Building: In this study, capacity building will be used to refer to strengthening the institutional and organizational capacity of organizations and community groups through human resource development, improved infrastructure and economic systems.

Community Driven Development: World Bank defines CDD as an approach that gives control of development decision making and resources to community groups with the aim of empowering communities, delivering cost-effective infrastructure, enhancing livelihoods and improving community dynamics.

Community Livelihoods: Concern Worldwide defined livelihoods as the ability of the community members to earn a living as well as everything else that makes an impact on a person's life (education, health, food, shelter, water e.t.c).IFRC defines livelihoods as a means of making a living encompassing their capabilities, assets, income and activities that are required to secure the necessities of life.

Flood Management: In this study, flood management will be used to refer to the interventions and activities that are implemented with the aim of reducing the human and socio-economic losses caused by recurrent flooding.

Gender Mainstreaming: This is a concept that is geared towards ensuring gender equality is attained. The United Nations Economic and Social Council (ECOSOC) in 1997 defined gender mainstreaming as a process in which concerns of both men and women are integrated into the design, implementation, monitoring and evaluation of policies, programmes in all the political, economic and societal spheres so that men and women are able to benefit equally.

Prioritized Investments: In this study, prioritized investments will be used to refer to projects, activities or programs selected in a participatory manner by the communities for implementation based on their priority needs at the time of implementation.

1.11 Organization of the Study

This study report is organized in five key chapters namely: Introduction; Literature Review; Research Methodology; Data Analysis, presentation and interpretation; and Findings, Conclusion and Recommendations.

The Introduction chapter gives the background of the study, describes the research problem and the purpose and significance of the study, and outlines the objectives of the study, the

limitations and delimitations of the study, the assumptions and definition of significant terms of the study. This will serve as the introductory chapter that clearly defines the study.

The second chapter is the Literature Review. This chapter will critically analyse what has previously been done on the same topic of study and the gaps identified in these works. It will also seek to show the relationship between works done by different researchers on this topic, the similarities, differences and gaps and their impact on this study.

Chapter three is the Research Methodology. This is the chapter that defines and outlines the research design, the target population for the study, how the sampling will be done, the sampling design, how data collection and data analysis will be done as well as the ethical consideration when undertaking the study.

Chapter four is on data analysis, presentation, interpretation and discussion. This chapter will give the analysis results presented in different forms with the interpretation of the diagrams or charts given in details as well as the respective discussion. This chapter will be informed by all the other chapters describing the results of the study and the implication of the findings.

Chapter five on summary of findings, conclusion and recommendations is the final chapter of the study. This will detail the brief summary of the findings from the previous chapter, the conclusions drawn from the findings and the recommendations.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter examines the various past studies and theories that are related to community driven development. It highlights what has already been done on the various themes under CDD, the lessons learnt, and the existing critical gaps for more research.

The chapter is divided into ten sections. The first section examines the growth in foreign aid in relation to the concept of community driven development projects. The second section assesses in details the concept of community driven development and how it is related to sustainable community livelihoods. The third section reviews past literature that show how capacity building as a component of CDD projects influences sustainable community livelihoods. The fourth section looks at studies and reports on community prioritized investments as a component under CDD project and how they influence sustainable community livelihoods. The fifth section further looks at literature and reports that are related to how gender mainstreaming as a component of CDD projects, impacts on the sustainable community livelihoods. Section six then examines the flood management component in CDD projects and its influence on the sustainable community livelihoods. Section seven details the combined influence of CDD projects interventions on the sustainable community livelihoods while section eight and nine detail the theoretical framework and conceptual framework respectively. The last section in this chapter summarizes the whole chapter in a matrix while also drawing the gaps in the various literature reviewed that call for further research.

2.2 Foreign Aid and the Concept of CDD Projects

While the idea and practice of community development existed within the colonial period, voluntary bodies however did not present themselves or their work in terms of development until very much later when the United States Government and other international agencies began to distinguish half the World as “underdeveloped” while describing development as a universal goal (Easterly, 2006). This later saw the emergence of UN agencies like UNESCO and UNICEF and organizations such as Oxfam and Save the Children in the 1960s and 1970s as development focuses NGOs.

The last five decades has seen foreign aid increase significantly with an estimated 2.3 trillion spent by the West. A typical African country received more than 15% of its income from

foreign donors in the 1990s (Easterly, 2006). In addition, there has been an increase in official donor aid to NGOs as a result of the Washington Consensus that focussed on good governance and democratisation and donors uncritically embracing anything calling itself Civil Society, NGOs inclusive (ODI, 1996). It is estimated that over 100 billion dollars are spent by the donor community to help the world's poorest people. However, most of this aid goes to countries with poor accountability mechanisms and thus do not have any impact on the livelihoods of the communities (Easterly & Pfitze, 2008). With this increase in development assistance globally, there has been concerns that it lacks the ability to reach out to the poor and impact on their livelihoods.

The donor community has had a growing concern with aid effectiveness globally. This has seen a shift from the earlier project mode to Sector Wide Approaches, Structural Adjustment measures to Poverty Reduction Strategy Papers, Programmes-based Approaches, Direct Budget Support, and Medium Term Expenditure Frameworks. These reflect this concern for reducing the fragmentation of development systems and change the way aid is delivered by shifting the balance of power.

In light of this concern Community Driven Development (CDD) has been one of the fastest growing mechanisms for channelling development (Mansuri, & Rao, 2003). Wong (2012) further emphasizes that Community Driven Development has become a key operational Strategy for many national Governments as well as numerous international Agencies in delivering services. This is because past experience demonstrates that by directly relying on the poor communities to drive development activities, CDD has the potential to make poverty reduction efforts more responsive to demands, more inclusive, more sustainable and more cost-effective than traditional centrally led programs. It fills a critical gap in poverty reduction efforts, achieving immediate and lasting results at the grassroots level and complementing market economy and government-run programs (Dongier, Van Domelen, et. al, 2003).

The Government of Kenya and the World Bank have funded a CDD project in Kenya namely the Western Kenya Community Driven Development and Flood Mitigation Project (WKCCD/FMP) which is a 10 year project being implemented in the Western Region under the Ministry of Devolution and Planning, Directorate of Special Programmes.

2.3 Concept of CDD Projects and Sustainable Community Livelihoods

With the resilience and determination of communities in many countries continuing to inspire, Community Driven Development (CDD) has become an important part of the

emerging architecture for development support. The intent of CDD is usually to empower local communities to shape their future by giving them more resources and the authority to use these resources to improve their standards of living (World Bank, 2000).

The World Bank defines Community Driven Development as an approach to development which gives control of decisions and resources to community groups which work in partnership with demand-responsive support organizations and service providers including elected local governments, the private sector, NGOs and central government agencies (Dongier, *et. al*, 2003). In practice, donors often provide the direct funds to village development associations, for them to distribute among projects suggested and managed by community members. Wong (2012) further describes CDD as an approach that emphasizes community control over planning, decisions and investment resources. CDD is strongly supported by the World Bank and much of the literature comes from the World Bank's reports and publications.

A livelihood comprises the capabilities, assets and activities required for a means of living (Chambers, & Conway, 1992). Thus, a livelihood is said to be sustainable if it can be able to cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future while not undermining the natural resource base. The more the asset base a community has, the more sustainable its livelihoods (Carney, 1998). Carney (1998) further states that the five forms of livelihood assets include natural, social-political, human, physical and financial capital. According to IISD (2003), livelihood assets are the means of production available to a given community that can be used to generate material resources sufficient for the community's survival.

Therefore, achieving sustainable livelihoods requires the integration of local knowledge and community strengths with contemporary science, appropriate technology, enabling policies, effective and transparent governance structures, education and training, and credit and investment (IISD, 1999).

2.3.1 The Rationale behind Community Driven Development

Past studies and experience has shown that CDD is an effective mechanism for poverty reduction, complementing market and state run activities by achieving immediate and lasting results at the grassroots level. CDD is a proven approach in enhancing sustainability and making poverty reduction efforts more responsive to demand. Due to the fact that it works at local level, CDD has the potential to occur simultaneously in a very large number of

communities thus, achieving far-reaching poverty impact. Some of the benefits of the CDD approach include:

2.3.1.1 Complementing Market and Public Sector Activities

Past experience at national level has shown that policies aimed at promoting national economic competitiveness and state-run public investment programs are essential but they are not sufficient to reduce poverty (Dongier, et.al, 2003). CDD approach comes in to fill this critical gap by achieving immediate and lasting results at the grassroots level.

Market provides sufficient public goods (roads, education, and health e.t.c) but cannot provide all essential services and goods for poverty reduction. Market and state-run activities can be effectively complemented by community-driven solutions that engage CBOs, local governments, NGOs, and the private sector. The use of CDD approaches and local actors to provide key goods and services can ensure governments are supporting immediate poverty reduction by efficiently building human and physical assets at the local level (Rao, & Mansuri, 2003).

2.3.1.2 Enhancing Sustainability

Few studies have attempted to assess whether CDD programs enhance the sustainability through participation. CDD has been proven to enhance sustainability as a result of making services responsive to demand expressed by the poor men and women. Community developed facilities such as health centres, schools, water supply systems among others tend to have a higher utilization rates and are better maintained when decisions are made by actions outside community.

A study on water supply carried out in 1,875 households in rural communities in six countries (Benin, Bolivia, Honduras, Indonesia, Pakistan and Uganda) showed that water systems sustainability is significantly higher when communities control key investment decisions and when they pay part of the investment costs, ensuring that they get what they want and are willing to pay (Sara & Katz, 1997).

Another example is Khwaja's (2001) study on projects implemented under the AKSPR. He deduced that since community managed projects are better maintained they are also more sustainable than those managed by local governments.

The studies also reveal that the lack of institutional support affects the sustainability of CDD Projects. Hence, unless the communities are able to lobby for more support from relevant institutions, they may suffer from limited ability to sustain the projects or programs.

2.3.1.3 Improving Efficiency and Effectiveness

Studies and experience suggest that CDD improves the effectiveness and efficiency of services in many sectors and context. A study in South Africa showed that when CBOs are responsible for all aspects of the community projects (design, management and monitoring), costs per beneficiary are less than half when the CBOs are not decision makers. It is important to note that CDD programs are vehicles of public service delivery as most of them aim at improving the access to public services. The fact that most of the CDD programs are aimed at enhancing the communities' capacity to obtain public goods and services through social mobilization activities that enhance the capacity to act collectively in their own interest acts as a way of ensuring the services are delivered in an efficient and effective manner (Rao, & Mansuri, 2003)

A paper by Khwaja (2001) which evaluates community driven projects funded by the Agha Khan Rural Support Program (AKRSP) in Northern Pakistan by comparing AKRSP projects with those build without any community participation revealed that, community participation in planning, design and implementation of the projects improved on the quality and maintenance of the projects. This is consistent with Finsterbusch and Van Wincklin (1989) who had evaluated 52 USAID projects and the findings revealed that the participatory projects in more developed countries were more effective than projects in less developed countries. Overall, this is an indication that facilities constructed with community involvement tend to be quite effective in improving access to public services.

2.2.1.4 Empowerment of communities, building of social capital and strengthening governance

The main objective of development is not only to improve community livelihoods but also to expand people's real freedoms. This analysis is reflected in the World Development Report 2000/2001 (Wold Bank, 2000b) which identifies empowerment as one of the three elements of poverty reduction. Community-driven approaches will devolve control and decision making to poor men and women which empowers them immediately and directly.

Control over decisions and resources also give communities the opportunity to build social capital (the ability of individuals to secure benefits as a result of membership in social networks) by expanding the depth and range of their networks (Dongier, *et.al*, 2003). Several studies conducted in Bolivia, Burkina Faso, Indonesia and Tanzania found that social capital has a positive effect on household welfare.

Strengthening of local associations enhances the poor people's voice in local political processes and governance. A case in example being Bangladesh where leaders of community groups formed and strengthened with the help of NGOs are increasingly being elected to leadership roles in local government bodies (Dongier, *et.al*, 2003).

2.3.1.5 Making development more inclusive of the interests of poor people and the marginalized groups

Groups that are typically excluded from the development process can get representation from CBOs who also provide voice and empowerment to such groups. The interest of women, indigenous groups, ethnic minorities, the disabled and people living with AIDS might not be effectively expressed through standard political and economic structures. However, CDD ensures the minority groups are actively involved in the development process as they are well represented into the various groups.

Most CDD programs usually invest in public goods such as infrastructure and services (roads, bridges, schools and health centres) which benefit the broader community. That is, they benefit both poor and non-poor (Wong, 2012). An impact evaluation of CDD programs undertaken by Wong (2012) on CDD programs in Senegal (PNIR), Tanzania's Social Action Fund II (TASAF2), Zambia's Social Recovery Project II, Philippines' (KALAHI-CIDSS) and India's Andhra Pradesh revealed that the poor accounted for a greater share of beneficiaries than the non-poor. The findings indicated that the poorest of the poor were well represented among the project beneficiaries for all the programs evaluated.

2.4 Capacity Building and Achievement of Sustainable Community Livelihoods

Capacity building is a very important component of CDD. The effectiveness and sustainability of CDD programs is dependent on the capacity of the various groups to provide services and goods. Thus, capacity building of the various groups and strengthening of linkages with formal institutions should be invested in implementing CDDs (Dongier, *et.al*, 2003). Capacity building is not only a stand-alone training intervention but rather a

strategically coordinated set of activities aimed at improving the abilities of individuals for a better performance (Gibson, 2013). Kirsten (1998) emphasizes that capacity development and skills training are key determinants of successful developments.

The groups' capacities should be developed and mentored in both governance as well as community management of resources. The village facilitators in CDD programs are essential in mobilizing communities and marginalized groups while raising the level of awareness and participation by communities in the development process (Wong, 2012). In most CDD programs, training of community groups on procurement, contracting, reporting and or business development as a means of empowering them and improving transparency and cost effectiveness is usually emphasized.

Since the communities are the owners of the projects, the CDD programs develop the community's inherent capacity for problem-solving through learning by doing. This is usually through technical assistance from the project staff and central government. Dongier, *et.al* (2003) further emphasizes that training and capacity building of Community Based Organizations (CBOs) through "learning by doing" should be built on existing community strengths, including local organizations, traditional knowledge, and culture-based skills, so that existing capacity is strengthened rather than undermined. A study by OECD (2009) found that community capacity building plays a critical role in local development as it enables the community members including the poorest and most disadvantaged to develop skills and competencies so as to take greater control of their own lives thus contributing to inclusive local development. The study also noted that community capacity building fosters a bottom-up approach to local development especially when governments, agencies and non-governmental as well as individuals in a program embrace it.

Building functional capacities at the community level remains important in global approaches to participatory development. Studies conducted in Cambodia (Asia) have shown that local capacity remains particularly important. A World Bank Assessment (2006) shows that in an attempt to provide a sustainable form for Cambodia's future growth, development agencies have adopted an interlinked approach that provides a critical role for local level capacity building.

Capacity building of partners and project staff is also an important component of CDD. These are key implementers and thus, continuous trainings and capacity building is vital for them to be able to technically capacitate the communities. According to Wong (2012), well-qualified

and technically capable project staff with strong commitment is seen as a key to making many of the CDD programs successful. The local governments and partners also play a very important role in CCDD programs and thus, their capacities also require to be developed as the program progresses.

The main envisaged results in prioritising investments in a CDD program is usually: Enhanced communities' ability to plan, manage and implement prioritized investments at the community level with the key indicators being the community Action Plans and Youth Action Plans developed and the investment projects rated satisfactory by the participatory communities (WCDD/FMP Project Implementation Plan, 2012).

2.5 Community Prioritized Investments and Achievement of Sustainable Community Livelihoods

CDD programs are designed to ensure that all the development is driven by the local communities. The programs trust poor communities to drive development after being given appropriate information, support, clear rules and continuous facilitation for their active and on-going role in rolling out poverty reduction efforts (Dongier, *et.al*, 2003). Past studies have shown that CDD programs usually improve service relevance, responsiveness and delivery by matching provision to the articulated demand (World Bank, 2006). These programs assume that communities are in the best position to voice their own interest in order of priority.

Community prioritized investments/sub-projects are usually determined based on the Participatory Rural Appraisals (PRAs) undertaken at the project/program design stage which assesses the community members' needs, ideas on projects, resources that the communities are able to and willing to mobilize for the project implementation and prioritization of the projects into concrete action plans (IFAD, 2009). Thus, according to IFAD (2009), for a CDD project to be implement community prioritized investments as a component, the communities are expected to have the following ingredients for there to be direct democracy: A Village Development Committee (VDC); A Village Assembly (VA) where all resident households have a voice about their development ideas; Regulations that govern decisions of the VA; and Procedures to be followed in identifying and prioritizing the projects of interest to the VA.

This principle of prioritized investments or rather community priority setting emphasizes the importance of engaging the communities in discussions and decisions making including formulation and implementation of projects and other interventions to address problems that communities feel are a priority to them (Asian Development Bank, 2012). This is what

creates sustainability and accountability in the long run. The KALAHI CIDSS program is a good example of a CDD program which after capacitating the communities, they are then involved in selection of subprojects prioritized for funding by inter-village committees selected by the participating villages or communities (Asian Development Bank, 2012). The communities are able to prioritize their own needs and problems, designing their own subprojects, making decisions on how resources are utilized. This has made the outcomes of such projects better and more sustainable than in normal development projects. A study conducted by Li (2011) for the World Bank on the Kecamatan Development Program (KDP) in Indonesia indicates that through community prioritized sub-projects, there has been an effective infrastructure delivery system producing high quality and cost effective village level infrastructure; enhanced household welfare and access to services; enhanced participation of women and the poor as well as improved sustainability of the projects.

2.6 Gender Mainstreaming and Achievement of Sustainable Community Livelihoods

CDD programs not only seek to empower communities, reduce poverty, and improve economic and social conditions of poor communities, but they also seek to address two persistent gender gaps; lack of women's voice in public decision making, and poor access to services and markets for women (World Bank, 2011). Women are considered as important drivers of sustainable development and their increased involvement in these programs has the potential to promote equality of opportunity for the communities. According to United Nations Development Fund for Women, UNIFEM (2008) emphasizes that gender equality has several dimensions namely: access to resources, opportunities and capabilities related to health and education. Access entails participation and representation in decision making process as well as equality of opportunities to use one's capabilities to access economic assets including income and employment.

According to a report by World Bank (2011a), CDD programs can produce excellent empowerment opportunities for women but they are usually bypassed due to untargeted projects. Mansuri and Rao (2012), in their report which reviewed nearly 500 studies on participatory development reported that participants in community development projects tend to be male, more wealthy and educated and hence most likely to benefit from development.

The biggest challenge in normal development programs when it comes to gender empowerment according to DFID review of twenty years of development programmes in Pakistan has been the choice between Women in Development (WID) and Gender and

Development (GAD) in operations. That is, between women's practical needs and their strategic needs (Ahmed, *et.al*, 2009). Normal development programmes will thus struggle in improving women political and social empowerment while successfully improving their immediate livelihoods.

This notwithstanding, CDD programs have been able to integrate women in development by including women quotas or other mandates for women inclusion (Browne, 2014). For example, The World Bank in LAO PDR mandates that women must comprise 25 to 50 per cent of the village, community and national level representatives (World Bank, 2011b). Other CDD programs will have a strategy in implementing women-only groups to discuss, propose and manage CDD projects (Ahmed, *et. al*, 2009). In the World Bank supported programme in LAO PDR, it is a requirement that two of three accepted infrastructure projects and one of two training projects must come from women-only groups which ensures that women's concerns are heard and met (World Bank, 2011b). A study by Jayasinghe, and Lakshman (2011) also recommended that to achieve gender equality in community driven development, there should be well defined targets in terms of increasing the percentage of female who are not only engaged in income earning activities but also in participation in skills development programmes within the program or project period.

2.7 Floods Management and Achievement of Sustainable Community Livelihoods

Floods are considered to be the most costly and wide reaching of all the natural hazards as they are responsible for deaths of approximately 50,000 people and affect the livelihoods of over 75 million on average worldwide yearly (Nott, 2006). Nott (2006) further emphasizes that floods will cause damage to goods and possessions, loss of income or services, and increase the levels of physical, emotional and psychological health problems.

Sinclair and Pegram (2003) stated that floods cannot be prevented from occurring but their devastating effects can be minimized if advance warning is available. People living in informal settlements which are usually on flood plains are most at risk of floods not only because of the geography but also because they do not have financial resources to recover from the damage caused by flooding.

A report by UNEP (2006) indicated that the African Continent is more vulnerable to floods than any other continent due to the climate change. Heavy rains destroy homes and crops leaving communities vulnerable. Parker (2000) further observed that in many other African countries, floods create great natural threats to life, health and population. Parker notes that

floods frequently destroy crops and livestock leading to food shortages. For example, the Sudanese floods in 1988 led to food shortage in that country affecting the livelihoods of the communities. Majority of the African countries were affected by floods according to Theron (2007). These included Algeria, Burkina Faso, Cote d'Ivoire, Ethiopia, Gambia, Ghana, Guinea, Kenya, Liberia, Mali, Mauritania, Nigeria, Rwanda, Senegal, Sierra Leon, Sudan, Togo and Uganda. It is estimated that approximately 300 people in these 20 countries had died in floods during a period of two (2) months affecting livelihoods of the communities largely.

It is therefore evident that addressing the issue of floods requires both political will and public support including the marginalized rural communities themselves. This then calls for design and implementation of flood and disaster mitigation measures in the affected communities. However, their effectiveness would then have to be measured in terms of how they persuade vulnerable communities to adopt self-protective behaviours before the onset of floods (Gwimbi, 2009). Brooks (2003) further emphasizes that the role of the public needs to be recognized in resilience building for flood prone areas because, while the technical aspects of mitigation measures are important, their acceptance by the public should not be underestimated. For a community to be resilient to floods, its members must have the capacity to bounce back if a disaster strikes (Walker, & Dolan, 2004). Alvarez (2006) further emphasizes that the participation of people is important in designing and planning the process of flood risk management particularly to policy measures. Without such participation, livelihoods living with flood risk may have little option but to suffer the consequences of flooding again and again. When community leaders encourage active involvement by their members, there is more participation as they believe their contributions and ideas are valued and they can see the benefits of being involved for them, their children and entire community.

2.8 Combined CDD Initiatives and Achievement of Sustainable Community Livelihoods

CDD is built on principle of participation by the community members. For CDD project initiatives, the question then is always on whether they are able to enhance sustainable community livelihoods. There is limited evidence on this but it's instructive. A study undertaken by Khwaja (2001) suggests that due to the fact that community managed projects are better maintained, they are also more sustainable than those implemented and managed by the local governments and other agencies. Studies by Katz and Sara (1997), Isham and Kahkohnen (1991a) and (1999b) also found strong associations between community participation and sustainability.

In the long term, the collective impact of the combined CDD initiatives is expected to be reduced poverty and improved economic outcomes through local public goods, improved governance and well-built social cohesion.

2.9 Theoretical Framework

The concept of Community Driven Development is grounded on many theories which attempt to unravel its origin, how it works as well as its impacts. To be able to understand the concept of donor aid in relation to community driven development two theories have been discussed in details: The Theory of Change (ToC) and the Theory of Participation.

2.9.1 The Theory Behind Community Driven Development Interventions

CDDs are believed to have grown out of situations of crises (financial, disaster, conflict) or when governments usually newly installed administrations, sought a different mode of service delivery. This is due to the fact that existing systems were considered ineffective in engaging citizens or delivering services in an effective manner (Wong, 2012).

The CDD program designs usually entail communities undertaking a village-level participatory planning process with the help of project facilitators or local government officials. The communities are allowed to identify their priority needs and the plans or proposals are sent to an inter-village forum or village representatives or higher level forums at the district or provincial levels for decision making. There is however, a large variation across different programs and even between earlier and later phases of the same project. In some programs, the decision making bodies are completely elected by communities (for example in Indonesia, Philippines and Afghanistan) while in other projects, higher level government bodies or the social fund play a greater role in deciding on the selection of proposals (for example in Bolivia, Honduras, Nicaragua and Zambia) (Wong, 2012).

Unlike many development projects, CDD programs do not pre-determine the nature of the interventions. Some programs have a range of investments across sectors; others use an “open menu” with a negative list. The multi-sectoral nature of many of these CDD programs can be seen as one of its strengths, since the flexible use of investments can help meet self-identified community needs. The project will normally train and provide technical assistance to communities to plan, implement, and manage these activities. Investments are meant to be community demand-driven. The figure below demonstrates a results chain for CDD programs.

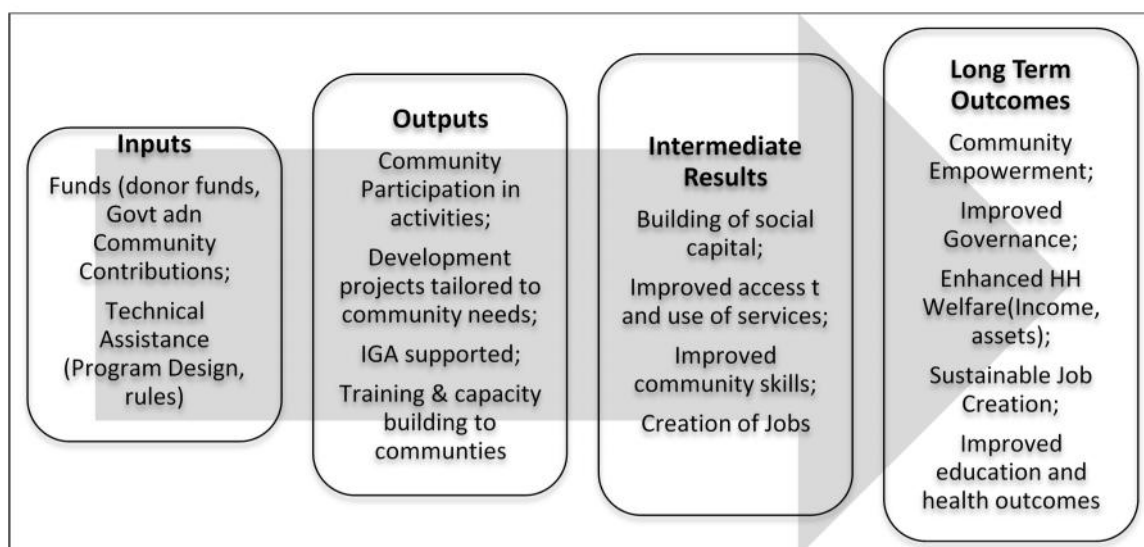


Figure 1: Community Driven Development Program's Results Chain

Communities or local institutions take lead in identifying and managing community level investments be they rural infrastructure, social services, or income generating activities. CDD projects have a design that has many assumptions and risks involved. For example, there are risks that the technical assistance and capacity building may not be sufficient at the local level to facilitate community involvement and effective management of resources; or that decision making can be done in a participatory manner that allows community representation and voice rather than elite capture or further reinforcement when designing and implementing a CDD program (Wong, 2012).

2.9.2 The Change Theory

CDDs are believed to be anchored on the Theory of Change which was popularized in the 1990s to capture complex initiatives. Community initiatives are sometimes planned without an understanding of the early and immediate steps required for long-term changes to occur. Anderson (2005) argues that a Theory of Change (ToC) is a tool meant for developing solutions to complex social problems. International Development through not-for-profit and government sectors utilizes the ToC for planning, participation and evaluation so as to promote Social Change. The Theory of Change links outcomes and activities to explain how and why the desired change is expected to come about.

In a CDD Program or project, the success of the program or project is based on ToC. The Program or project will offer the financial and technical assistance to the communities; the communities are then capacitated to undertake participatory selection of the projects. They are offered technical assistance where they learn by doing and thus are able to produce and manage public goods for example schools, roads, and health centres etc. When the communities have the capacities to produce such, their social cohesion is enhanced and since they are in-charge of decision making and management, their ability for governance is improved as well. The public goods produce are then able to improve the economic outcomes at community and household levels while also improving the education, health, security, and food outcomes among others as shown in the diagram below.

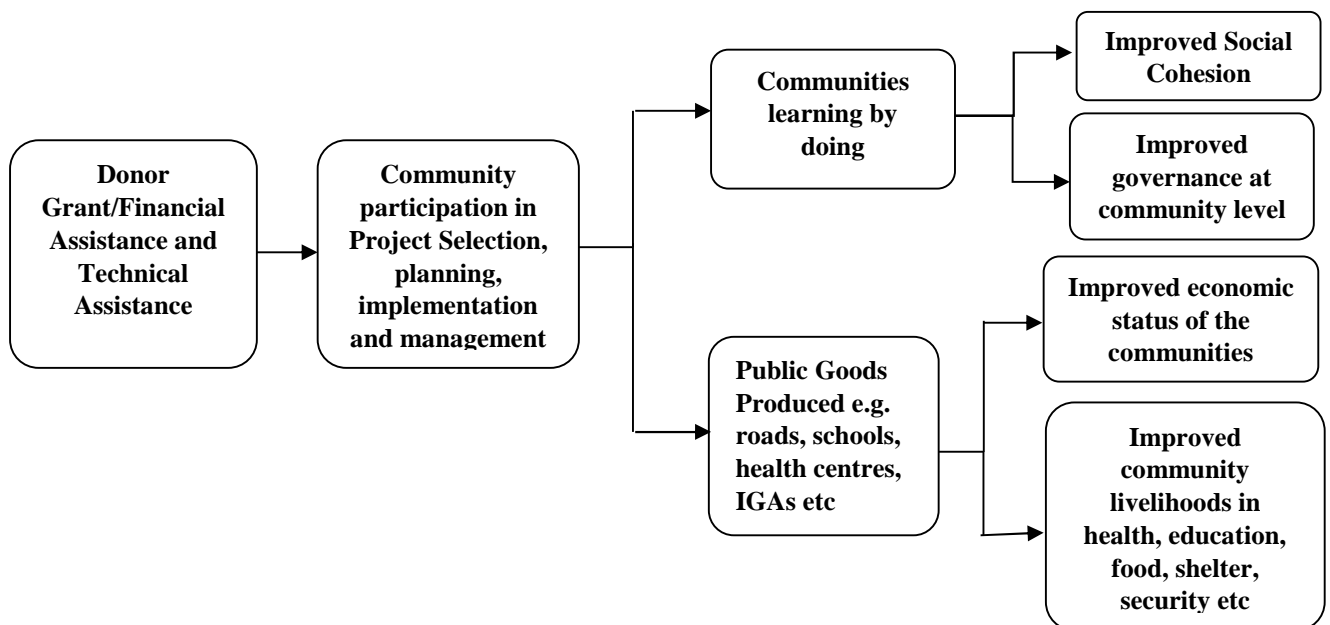


Figure 2: Borrowed from a Presentation by Radhika Menon, 3ieImpact

In the theory of change for community development, the communities become part of implementing the critical component of lasting and durable community change founded on the principle that a community's members come together to effect change and help in transforming their own livelihoods together. Effective CDD programs and projects ensure that the communities have skills, capacity and networks to accomplish significant community change transforming a community's and thereafter the households' vision and aspirations into tangible projects and results (MACDC, 2015).

2.9.3 The Participation Theory

According to Buchy, Ross, *et al* (2000), participation is not a new concept. It represents a move from the global, a spatial, top-down strategies that dominated early development initiatives to more locally sensitive methodologies (Storey, 1999). The participation theory is believed to have originated from political sciences and development theory and its importance is believed to have grown from the realization that the world's poor have actually suffered as a result of development, and that everyone needs to be involved in development decisions, implementation and benefits.

There has been differing opinions as to the origins of participation theory. Buchy, Ross *et al* (2000) suggested that the literature on participation and participatory processes stems broadly from two main areas: Political sciences and development theory. Lane (1995) added to this view suggesting that participation is heavily influenced by theories of development and is thus highly varied and complex due to different theoretical positions. Lane (1995) further emphasizes that the emergence of top-down approaches to development was largely as a result of modernization theory which was dominant in 1960s. From the modernization point of view, participation meant involving the communities in the selection, designing and implementation of the project with the purpose to increasing the acceptance and efficiency of use (Lane, 1995).

Community participation has undergone notable evolutionary trends from the 1960s as analysed by Kelly (2001). The table below gives a detailed account of the trends.

Table 0.1: Trends in development of community participatory process (Borrowed from Kelly, 2001)

ERA	TRENDS IN COMMUNITY PARTICIPATORY PROCESSES
1950s and 1960s	<ul style="list-style-type: none"> • Rapid industrialization and growing influence of technological expertise; • Supremacy of scientific knowledge with extension agents involved in teaching farmers and in technology transfer
1970s-Need for Alternatives	<ul style="list-style-type: none"> • There was concern about ‘giving voice to the voiceless’ in poor developing countries (Friere, 1972); • Early experimentation of participatory approaches in development; • Frustration over the ineffectiveness of externally imposed and expert oriented forms (Chambers, 1992); Participatory Rural Appraisal (PRA) grew out of Rapid Rural Appraisal (RRA)
1980s-The participation Boom	<ul style="list-style-type: none"> • Change from top-down to bottom-up; acknowledgement of the value of local indigenous knowledge • Flourishing of activity, especially among NGOs seeking alternative top-down outsider driven development with emphasis on participatory appraisal and analysis in rural communities; • Proliferation of participatory methodologies, including PAR and tools such as rich pictures and venn diagrams
1990s-The participation Imperative	<ul style="list-style-type: none"> • Fervour about participation continued in early 1990s with participation becoming synonymous with good or sustainable in development; • Funding bodies began demanding participatory processes as a condition for funding; • Push for participation stimulated proliferation of guidebooks and course; • There was a growing interest in natural resource monitoring and evaluation has led to community involvement in these activities

The principle of community participation has grown in popularity since the 1970s and has become a catchword in development studies and practice (Hjortso, 2004; Lane 1995; Nelson and Wright, 1995). Chambers (1995) further credits the new popularity of participation to several origins:

- i) The recognition that many development failures originate in attempts to impose standard top-down programs and projects on diverse local realities where they do not fit or meet needs;
- ii) Concern for cost-effectiveness, recognizing that the more local people do, the less capital costs are likely to be;
- iii) Pre-occupation with sustainability, and the insight that if local people themselves design and construct they are more likely to meet running costs and undertake maintenance;
- iv) Ideologically for some development professionals, the belief that it is right that poor people should be empowered and should have more command of their lives (Chambers, 1995).

Popularity of participation is evident from the diverse application and acceptance of the needs for participation. In fact, some authors see participation’s biggest application being poverty

alleviation (Holcombe, 1995) while other applications include health, education, housing, social work and urban and rural development (Midgley, Hall *et al*, 1986).

Community Participation theory has been applied in a variety of situations especially in development projects. According to Chamala (1995), community participation has actually been the hallmark of many successful development projects around the world. Chambers (1995) further argues that community participation has been vital in as a co-opting practice to mobilize local labour and reduce costs in development projects; and has been an empowering process enabling local people to do their own analysis, to take command, to gain in confidence and to make their own decisions.

2.10 Conceptual Framework

Mugenda and Mugenda (2003) describe a conceptual framework as a hypothesized model identifying the concepts under study and their relationships in a diagrammatic form. It simply describes the relationship between the independent variable and the dependent variable as well as the confounding variables.

This section provides a diagrammatic description of the relation between the variables and the moderating variable. It is an illustration of the underlying influence of WKCDD/FMP on the community livelihoods in Western Kenya. The Independent variables are grouped on the left while the dependent variables on the right. The moderating variable is at the bottom, indicating its moderating influence on the variables.

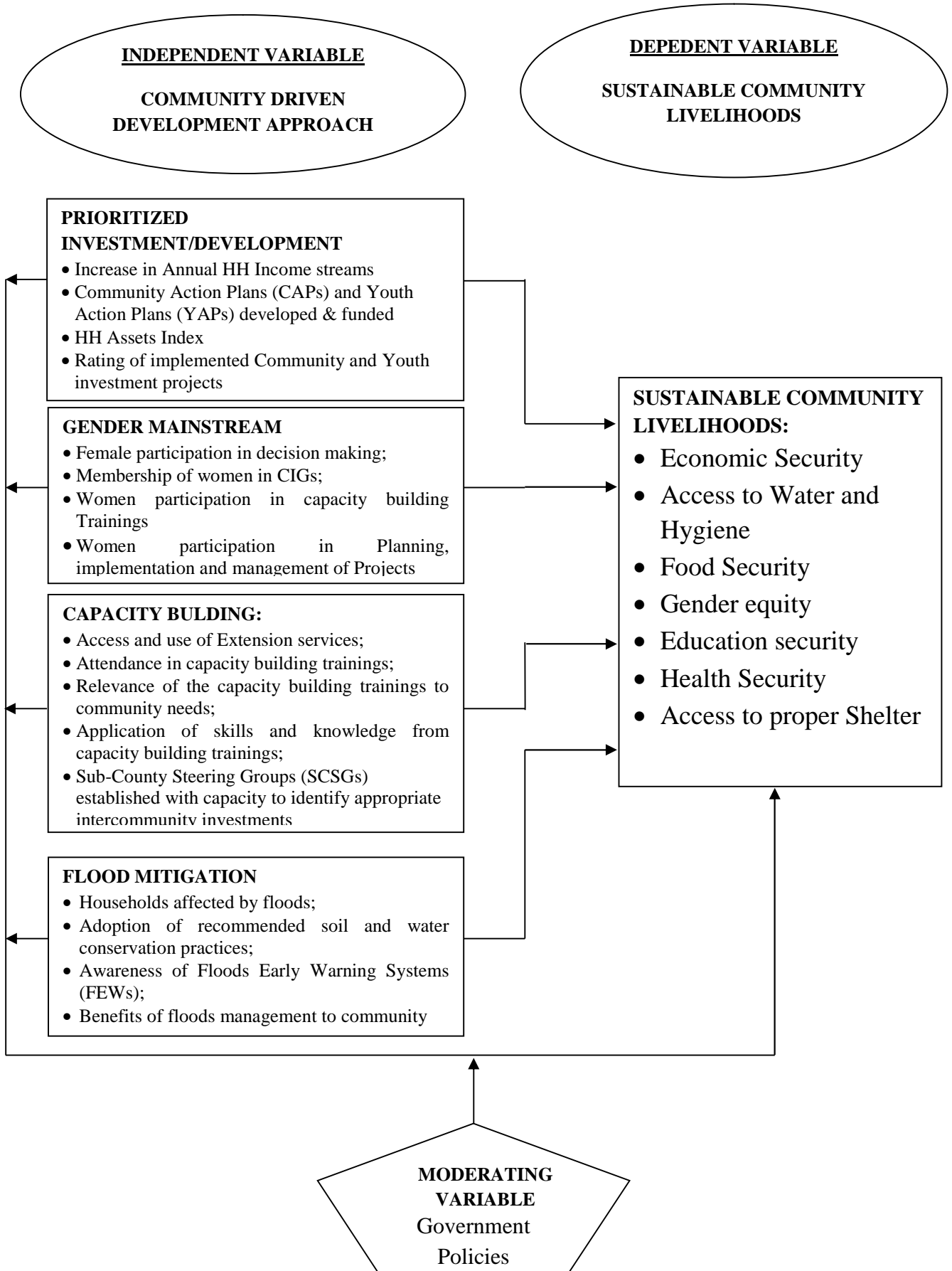


Figure 3: Conceptual Framework

2.11 Summary of Literature Review

The Literature review done indicates that community development has evolved from the previously common donor-defined development to community-driven development. This has been necessitated by the concerns raised on the influence and impacts such programs and projects have on the communities where they are implemented. Community-Driven Development is an approach that has particularly been emphasized by World Bank, who is the biggest lenders and supporters on this approach.

The principles under which the CDD programs operate make them more sustainable and the preferred approach to development. These principles include local empowerment, participatory governance, demand-responsiveness, administrative autonomy, greater downward accountability and enhanced local capacity. With these principles, CDD programs have been found to enhance sustainability, improve efficiency and effectiveness, complement market and public sector activities, and make development all inclusive while building on social capital and strengthening governance.

It is evident from the past studies undertaken that documentation and evaluation of decentralization and CDD on building accountability is extremely limited. Investment of large sums of money in development projects increases the calls for rigorous assessment of the influence and impact that the projects have on the communities. There is a lack of evidence on the actual record of CDD initiatives considering the speed with which this approach is being implemented (Mansuri, & Rao, 2003). World Bank, Food and Agriculture Organization, and the International Fund for Agriculture Development also agree that “little progress has been made in measuring the outcomes of CDD initiatives”.

In the wake of this, the researcher finds a gap and thereby seeks to explore the influence of such programs on the sustainable community livelihoods with the case of the Western Kenya Community Driven Development and Flood Mitigation Project (WKCDD/FMP), a World Bank funded project in Western Kenya.

Table 0.2: Summary of the Literature Review

Variable	Author, Year	Title of Study	Findings	Knowledge Gap
Capacity Building	Wong, (2012)	Impacts of the World Bank Community Driven Development Programs: CDD Impact Evaluation Review and Operation and Research Implications	Study of different CDD projects showed that capacity building of community groups on procurement, contracting, reporting and business development empowered the communities and improved transparency and cost effectiveness	The study did not assess whether capacity building in the various projects had any correlation with the sustainability of community livelihoods as well as the sustainability of the projects
Capacity Building	Ahmed, Z <i>et al</i> , (2009)	Assessing the Impact of Community-Driven Development: Twenty Six Years of Pakistan's Rural Support Programmes	Capacity building for development of skills was a critical success factor in improving the livelihoods of the community members as it ensured they improved their economic status	The study did not assess the direct impact of skills development with regards to community livelihoods at household level
Capacity Building	Noya, A, Clarence, E., & Craig, G., (2009)	Community Capacity Building : Creating a Better Future Together	Community Capacity Building enables community members to develop skills and competencies to take control of their own livelihoods	The study did not bring out the aspect of sustainability of livelihoods in relation to community capacity building
Capacity Building	World Bank, (2006)	Cambodia-Halving Poverty by 2015-Poverty Assessment 2006	The Study indicated that to accelerate poverty reduction, human development and human capital development must be effected	The report does not bring out the impact of improving human capital to the livelihoods at community level
Community Prioritized Investments	Wong, (2012)	Impacts of the World Bank Community Driven Development Programs: CDD Impact Evaluation Review and Operation and Research Implications	From the projects evaluated, communities lead and participate in planning, decision making and management of local public resources to meet their self-identified needs (prioritized investments)	Involvement of marginalized groups in decision making; Views of community power holders on the CDD programs and their mechanism for decision making
Community Prioritized	Asian Development	The KALAHI-CIDSS Project in the Philippines: Sharing	Study indicated that there is significant participation of community members in	The study did not effectively assesses the level of participation of the

Variable	Author, Year	Title of Study	Findings	Knowledge Gap
Investments	Bank, (2012)	Knowledge on Community Driven Development	prioritization of community projects which was key in ensuring sustainable livelihoods:	community members in selection and prioritization of the projects
Community Prioritized Investments	Li, G, (2011)	Local and Community Driven Development (LCDD): Theory and Best Practices	Community prioritized projects are of high quality and cost-effective; they lead to increase household welfare; they improve access to vital services; and they enhance the social capital and governance through participation, transparency and accountability	The poor and marginalized groups (i.e. female-headed households, households with low levels of education e.t.c) did not see significant benefits in the community prioritized projects
Gender Mainstreaming	Asian Development Bank, (2012)	The KALAH-CIDSS Project in the Philippines: Sharing Knowledge on Community Driven Development	Study noted that the significant participation of women, ethnic minorities and the poor in prioritization of projects and implementation was key in ensuring sustainable livelihoods	Lack of proper documentation; valuation and recognition of women contributions to community development
Gender Mainstreaming	The International Bank for Reconstruction and Development, (2011)	Measuring the Impact of Community-Driven Development Projects on Gender: A Toolkit for the Poverty Reduction Fund, Lao PDR	There was active participation of women in community driven development projects indicated by participation in decision making and in voting	Study did not assess the level of women's participation relative to the men's participation in the two aspects
Gender Mainstreaming	Ahmed, Z <i>et al</i> , (2009)	Assessing the Impact of Community-Driven Development: Twenty Six Years of Pakistan's Rural Support Programmes	Rural women participation in Rural Support Programmes have improved their livelihoods and status within the community, more WID than GAD	The study noted limited effect in increasing women role as decision-makers in community affairs
Gender Mainstreaming	Jayasinghe,M., & Lakshman, R.W.D., (2011)	Gender Mainstreaming and Sustainable Livelihoods Approach: Case Study from Sri Lanka in Longitudinal Lens	Community Driven Rural Development interventions increases Financial Capital Ownership, Social Capital Ownership and Human Capital Ownership of the Community	There is a persistence in gender disparity in community livelihoods and hence, their income levels
Floods Management	Yande, P, (2009)	An Impact of Floods on the Socio-Economic Livelihoods of People:	Floods have adverse impact on a community's socio-economic livelihoods and	The government and the other stakeholders need to engage the

Variable	Author, Year	Title of Study	Findings	Knowledge Gap
		A Case Study of Sikaunzwe Community in Kazungula District of Zambia	critical aspects such as agriculture, health, education, housing, water and sanitation, property and assets	communities in their flood management strategies to enhance sustainability
Floods Management	Musah, B.A.N., & Akai, C.Y., (2014)	Effects of Flood Disasters on Livelihoods Coping Mechanism in Tolon/Kumbungu District of Northern Region of Ghana	Floods have adverse impact on the livelihoods of communities through loss of food stuff, loss of human life and loss of other property	Lack of community participation in flood coping mechanism in the floods stricken areas
Floods Management	Theron, M., (2007)	Climate Change and Increasing Floods in Africa: Implication for Africa's Development	Floods in Africa has caused not only socio-economic but also political implications; Displacement of people, destruction of infrastructure, damage to farms, crops, loss of cattle and livestock	The study did not bring out the ripple effect of the socio-economic and political implications of floods to the sustainability of livelihoods in African communities
Floods Management	UNEP, (2006)	Gathering Storm: The Humanitarian Impact of Climate Change	The study indicated that the African Continent is more vulnerable to floods than any other continent due to the climate change. Heavy rains destroy homes and crops leaving communities vulnerable	The study did not assess the various ways of ensuring the sustainability of the livelihoods of the vulnerable communities

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter details the methodological approaches and issues that were employed during this research. It details the research design that was adopted, target population, the sample size and sampling technique, Data collection and the research instruments, the ethical considerations as well as the operationalization of the variables used in this research.

3.2 Research Design

The research adopted a Descriptive Survey Design. This is because the target population was large and therefore, a descriptive survey design enabled the researcher to collect data from the large population so as to get the status of the project beneficiaries with respect to the research objectives. It also allowed for the assessment of how variables correlate.

According to Orodho (2002), descriptive survey designs allow the researcher to gather information, summarize, present and interpret for the purpose of clarification. Kombo and Tromp (2002) further emphasize that a descriptive survey design allows for the description of the state of affairs as they exist. A descriptive survey design was appropriate for this research as it entailed a detailed examination of the characteristics of an individual unit, a single subject, a clique or a community with similar events (Cohen, & Manion, 1989).

The design assisted in assessing the Busia County communities' current state with respect to their livelihoods. It also enabled the assessment of the characteristics of each household individually and overallly the characteristics of the communities with respect to the project.

3.3 Target Population

The target population was drawn from the beneficiaries of the Western Kenya Community Driven and Flood Mitigation Project initiatives in Busia County. These involved the households (drawn from the community interest groups), the project staff, the county administration and other partners and stakeholders. In total, 330 communities had been reached as at June 2013 in the project's 6th year of implementation in all the five counties of implementation. In Busia County, 50 communities had been reached as at June 2014 which translates to approximately 400 households in the county. The communities included women and men, people with disabilities as well as the youth groups. The project also has 14 project staff working permanently in the head office and the two targeted sub-counties

(WKCDD/FMP, 2014). Therefore, the total targeted population was therefore four hundred (400) households.

3.4 Sample Size and Sampling Procedures

The sample size was drawn from the total 400 households under the project and 14 project staff making a sampling frame of 414 respondents. These were the direct beneficiaries of the project and have been receiving the project interventions as at July 2014.

3.4.1 Sample Size

The study sample comprised of 200 respondents derived from the Slovin's formula which is important in drawing sample sizes from a population whose behaviour is not known (Yamane, 1967). The formula is as detailed below:

$$n = \frac{N}{1 + N(e)^2}$$

Where: n = Sample Size

N = Population size (in this case, 400)

e = Level of Precision (at 95% confidence level)

The 200 respondents were then distributed proportionately in the two sub counties/Constituencies selected from Busia County. Busia County had been selected purposively from the five counties due to the fact that the CDD project had been in operation in Busia County for a longer period than in other counties. This is also the only County where the flood mitigation component was being implemented. Thus, the influence of the project interventions on the beneficiaries' achievement of sustainable livelihoods would be expected to be high and the component on flood mitigation can be assessed.

3.4.2 Sampling Procedure

The researcher employed a multi-stage sampling procedure in selecting a representative sample for this research. Purposive sampling was used in selecting the county. Stratified sampling was then used to select the communities in each sub-county from which purposive sampling was employed to select households which have been receiving interventions from the project, and then simple random sampling was applied to select a household for an interview. Stratified sampling is most appropriate in selecting the communities because of the

heterogeneity of the communities in terms of their project interventions and also their environment and orientation in livelihoods. The use of simple random sampling in acquiring samples from the households is because it was ideal for statistical purposes; it did not require the researcher to have advance knowledge of the population and gave each member of the target population an equal chance of being selected.

The total sample as calculated using Slovin’s Formula (see above) was 200 respondents. This sample was distributed proportionately in the two sub-counties of Busia County as shown in Table 2.1.

Table 0.1: Sampling Distribution

County	Sub-County	Target Population (HHs)	Sample Size (HHs)
Busia	Teso	112	56
	Busia	288	144
TOTAL		400	200

3.5 Research Instruments

The research utilized two instruments to collect quantitative and qualitative data. For quantitative data, the researcher used a closed-ended structured questionnaire which was administered by the research assistants targeting the beneficiaries of WKCDD/FMP at household level. According to Mugenda and Mugenda (2003), structured questionnaires are easier to administer, analyse and allow for unambiguous responses.

An open-ended key informant guide was also used to collect qualitative data from the project staff, key administrative officers in the sub-counties as well as any other relevant stakeholder involved in the project implementation. This KII guide allowed the researcher to probe for additional information that would not have been captured using a close-ended structured questionnaire.

The household questionnaire contained six key sections. The first section identified the household in terms of the county and community names. The second section detailed the household profile questions which included the age, education and gender of the head of household; the number of people in the household; assets and income status of the household. The third section had questions assessing the prioritization of community projects as well as

the overall rating of success with the CDD projects that have already been implemented successfully in the County. The fourth section detailed questions assessing the community capacity building and participation through assessing the membership of household members in community interest groups; access and use of extension services in the households through the project; participation of men and women in project activities and decision making and the implementation of training for communities. The fifth section assessed floods and catchment management. The questions included vulnerability of household to floods and losses through floods; awareness and presence of Flood Early Warning Systems (FEWS); and practice of land management practices. Triangulation was utilized to enhance the validity and reliability of the research tools. This entailed use of focus group guide, a key informant interview guide and a household questionnaire to assess the same parameters in detail and discussion form.

3.5.1 Pre-testing of Instruments

To assess the validity and reliability of the instruments, pre-testing of the research instruments was undertaken. Due to limitation in time and resources, the pre-testing will be done with a sample of only 20 questionnaires and 1 key informant interviews drawn from 10% of the total sample size which is deemed sufficient (Mugenda, & Mugenda, 2003). The pre-test was undertaken on respondents who were drawn from the project areas or beneficiaries of WKCDD/FMP in Busia sub-county. Data collected was entered, cleaned, verified and analysed to assess the validity and reliability.

3.5.2 Validity of the Instruments

Validity is defined as the extent to which a given tool measures what it is intended to measure. Mugenda and Mugenda (2003) state that validity is the degree to which results obtained from analysis of the data accurately represents the phenomenon that is under study.

In this research, validity of the data collection tools was achieved by randomization of the extraneous variables; consulting experts to assess the content validity of the tools and undertaking a pre-test of the data collection tools

3.5.3 Reliability of the Instruments

Reliability of a research instrument is defined as the ability of the instrument to give constant results or responses under a similar methodology (Joppe, 2002). Reliability has to do with the quality of the instrument and thus can only be estimated. To enhance the reliability of the tools, the research utilized Cronbach's Alpha to measure the internal consistency of the tool

through computing the correlation of the items in the tool. The formula for the Cronbach's Alpha is:

$$KR_{20} = \frac{(K) (S^2 - s^2)}{(S^2) (K-1)}$$

Where:

KR_{20} = Reliability of coefficient of internal consistency

K = Number of items used to measure the concept

S^2 = Variance of the scores

s^2 = Variance of individual items

The Cronbach's Alpha method has extensively been used in research studies as it results in a conservative estimate of the reliability useful in avoiding erroneous conclusions. A high coefficient will imply correlation among the items and thus internal consistency of the tool which will also contribute to the validity of the tool (Mugenda & Mugenda, 2003). For this study a reliability coefficient equal or greater than 0.9 was acceptable.

3.6 Data Collection Methods

The study collected both primary and secondary data from primary and secondary sources. Primary data was collected from the primary sources which were the beneficiaries of WKCDD/FMP, the project staff, and key informants in the project sites. Secondary data on the other hand was collected from review of related studies by other researchers, the project reports and any other related literature. This research also utilized triangulation where several data collection instruments will be used to collect data. Triangulation enhanced validity.

3.7 Data Analysis Techniques

The study yielded both quantitative and qualitative data. Data collected was checked for completeness, systematically organized, data entry undertaken and verification done after coding. Data entry was done using Microsoft Excel for easy management and longevity for the quantitative data. For qualitative data from key informant interviews, the data was categorized by theme for analysis and the categorization was then verified by independent experts.

Statistical Package for Social Sciences (SPSS) version 18.0 was then used for quantitative analysis for quantitative data. Descriptive statistics such as frequencies and the measures of central tendencies were generated to describe the data. Data was further be analysed on the

basis of the relation to the project objectives and indicators with comparisons made along the sub-counties and as well as the gender.

Inferential statistics were also applied for quantitative data. The Pearson's Product Moment Correlation Coefficient was generated to correlate the data. It was used to assess the linear relationship between dependent variables and the independent variable and to assess overall, the influence of the dependent variables on the independent variable. The Chi Square tests were also generated to establish any existing relationships between the variables (for categorical variables).

Analysed data was then presented in frequency tables, charts and graphs for ease of comparison with the baseline data (from the baseline report undertaken by the project) so as to compare the status of the households in terms of the current economic, education, and food security status. Analysed qualitative data was presented using thematic areas and also in verbatim form.

3.8 Ethical Considerations

In this research, utmost caution was exercised especially during data collection to ensure that the rights and privacy of the respondents was upheld. The instruments contained an introduction on the aim and purpose of the study as well as a statement on upholding of the confidentiality of the respondents. This was read to the respondents prior to the actual administration of the data collection instruments.

Before administration of the data collection instruments, consent was sought from all the respondents through the researcher introducing himself and the purpose of the study while also supporting it with the research permit and letter of introduction from the department. The researcher then proceeded to request for permission to interview the respondent. Confidentiality was guaranteed by making giving out of the respondents' name optional while also giving assurance that those who give out their names would not be mentioned in the report.

During the research, no respondent was coerced into getting involved in the research at any level. The research findings were then analysed and presented without any manipulation or influence by the researcher or any other person in any way.

Authority was also sought from the School and department as well as the National Council for Science, Technology and Innovation (NACOSTI) who then issue a research permit.

3.9 Operationalization of Variables

Table 0.2: Summary of Operationalization of Variables

Objective	Variable	Indicators	Measurements	Scale of Measure	Data Collection	Types of Data Analysis
To determine the extent to which capacity building as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County	Capacity Building	<ul style="list-style-type: none"> • Access and use of Extension services; • Attendance in capacity building trainings; • Relevance of the capacity building trainings to community needs; • Application of skills and knowledge from capacity building trainings; 	% access and use Number of CIPs % attending trainings Functional Sub-County Steering Groups (SCSGs) established;	Nominal	<ul style="list-style-type: none"> • Household Questionnaires • Key Informant Interviews with Project staff • FGD with CIG 	Descriptive statistics and inferential statistics
To establish the extent to which community prioritized investment as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County	Community Prioritized Investments	<ul style="list-style-type: none"> • Increased annual HH income; • HH Assets Index; • Community Action Plans (CAPs) and Youth Action Plans (YAPs) developed; • Rating of implemented community and youth investment projects 	Average HH income Assets index Number of CAP/YAPs % rating	Ordinal	<ul style="list-style-type: none"> • Household Questionnaires; • Key Informant Interviews with Project staff • FGD with CIG 	Descriptive statistics and inferential statistics
To determine how gender mainstreaming as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County	Gender Mainstreaming	<ul style="list-style-type: none"> • Female participation in decision making; • Membership of women in CIGs; • Women participation in capacity building Trainings • Women participation in Planning, implementation and management of Projects 	% participation % membership % participation in trainings % participation in projects	Interval	<ul style="list-style-type: none"> • Household Questionnaires; • Key Informant Interviews with Project staff 	Descriptive statistics and inferential statistics
To assess the extent to which floods management as a community driven development initiative influences achievement of sustainable community livelihoods in Busia County	Floods Management	<ul style="list-style-type: none"> • Households affected by floods; • Adoption of recommended soil and water conservation practices; • Awareness of Floods Early Warning Systems (FEWs); • Benefits of floods management to community 	% HH affected % adoption % awareness and presence % benefits	Nominal	<ul style="list-style-type: none"> • Household Questionnaires • Key Informant Interviews with Project staff 	Descriptive statistics and inferential statistics
To assess the moderating influence of the combined community driven development initiatives on achievement of sustainable community livelihoods in Busia County	Government policy on Community Driven Projects	<ul style="list-style-type: none"> • Government policy on donor funding and community development projects 	Presence and influence on Project		<ul style="list-style-type: none"> • Key Informant Interviews with Project staff 	

CHAPTER FOUR

DATA ANALYSIS, PRESENTATION, INTERPRETATION AND DISCUSSION

4.1 Introduction

This chapter discusses and presents the findings of the study while interpreting the findings in relation to the objectives of the study. The study looked at the various CDD components or variables which influence achievement of sustainable community livelihoods. The variables assessed include community prioritisation of projects, gender mainstreaming, capacity building and flood management as the main variables. Data collected to the beneficiaries of WKCDD/FMP beneficiaries and project staff was entered, analysed and has been further discussed in the following sub-thematic areas.

4.2 Questionnaire Response Rate

The study issued 200 questionnaires to respondents, out of which 172 were correctly and completely filled and returned. This constituted to an 86% response rate. According to Mugenda (2003), a response rate of above 50% is acceptable and can be used to establish the research objectives as well as getting responses for the research questions. From the 172 questionnaires attained, 124 were from Busia Constituency while 48 were from Teso Constituency which amounts to 72% and 28% response rate respectively.

4.3 Demographic Characteristics of the Respondents

The study was interested in looking at the demographic characteristics of the respondents in areas such as age, education levels, and household size. These variables were important as they assist in determining whether the survey was reaching the targeted respondents, it enabled the researcher to differentiate between sub-groups through disaggregation of data in terms of gender, age or education levels.

4.3.1 Distribution of Respondents by Gender

The gender of the respondent was important as it would assist in determining the women involvement in decision making and project activities as a way of determining how gender mainstreaming has assisted in achieving sustainable community livelihoods. It was also used to assess the female headed households in the project area. The respondents were asked to state their gender as either male or female. Results from the responses are as indicated in table 4.1.

Table 0.1: Distribution of respondents by gender

Gender of respondents	Frequency (f)	Percent (%)
Male	128	74.4
Female	44	25.6
Total	172	100.0

Out of the 172 respondents who took part in the study, 128 (74.4%) of the households interviewed were male dominated as compared to only 44 (25.6%) of the households which were female dominated. This indicates that majority of the households in the project area are headed by men.

4.3.2 Distribution of the respondents by household size

Household size is associated with poverty levels as it is believed that high levels of poverty are associated with large families. The respondents were asked to state the number of people living in their homestead. The responses are as tabulated in table 4.2.

Table 0.2: Distribution of respondents by household size

No of HH Members	Frequency	Percent (%)
1 - 4	43	25.0
5 - 9	106	61.6
More than 10	23	13.4
Total	172	100.0

The results indicate that majority of the households (61.6%) have an average of between 5 and 9 household members and 25% have between 1 and 4 household members. This is an indication that most of the targeted households have large families which is normally characteristic of high poverty levels especially in rural areas.

4.3.3 Distribution of respondents by age

The age of the respondents was important in this study as it defines the socio-economic status of the households as well as the preferences, attitudes and behaviours. Respondents were asked to indicate their age as at the time of the study. Results from the respondents are as indicated in table 4.3.

Table 0.3: Distribution of respondents by age

Age categories	Frequency	Percent (%)
18 - 24 years	2	1.2
25 - 34 years	23	13.4
35 - 44 years	39	22.7
45 - 54 years	50	29.1
Over 55 years	58	33.7
Total	172	100.0

Majority of the respondents were over 55 years of age constituting 33.7% followed by those who were between 45-54 years old at 22.7%, 35 – 44 years old at 22.7%, and 13.4% for those between 25-34 years of age. Only 1.2% of the respondents were between 18-24 years of age. This is indicative of stable homesteads lead by stable heads of family who are able to drive development in their households and community at large

4.3.4 Education Level

The level of education of the respondents was assessed as a key indicator of the literacy levels per the households which also was a proxy indicator of the income and thus the socio-economic status of that household. Respondents were asked to indicate the highest level of education attained. The results as tabulated on table 4.4.

Table 0.4: Education Level

Education Level	Frequency	Percent (%)
Primary	93	54.1
Secondary	55	32.0
Post-secondary	16	9.3
None	8	4.7
Total	172	100.0

The results indicate that more than half of the interviewed respondents (54.1%) had only attained primary school education with 32% having attained secondary education and only 9.3% post-secondary education. Only 4.7% of the respondents had no education at all. This is indicative of low literacy levels which characterise households with high poverty levels and poor livelihoods.

4.4 Community Prioritized Investments and Achievement of Sustainable Community Livelihoods

One of the main critical success factors in the CDD approach is the community’s ability and capacity to come up with investment projects based on their current needs and being able to

prioritize them. It is envisaged that by doing so, the communities will be able to plan, manage and implement prioritized investments at community level. The study investigated community prioritized investments as the first variable that influences achievement of sustainable community livelihoods. The study therefore assessed the influence of community prioritized investments through various indicators namely: annual household incomes, household assets, rating of implemented investments or projects as well as the community and youth action plans developed and implemented successfully. It is expected that WKCDD/FMP should have led to increased annual household incomes, household assets and high rating of community and youth projects.

4.4.1 Annual Household Income and the sources of income

The study assessed the sources of income for the households and the average annual income they get from the activities. They were asked to state the different sources of their income for their households and estimate how much on average they get from the sources annually. Results from the study as are tabulated on table 4.5.

Table 0.5: Sources of HH incomes

Income Source	Frequency	Percent (%)
Crop Income	145	48.5%
Livestock Income	89	29.8%
Informal Activities	47	15.7%
Salaries, pensions & Remittances	18	6.0%
Total	299	100.0%

The results indicate that the main sources of income for the communities are crop income (48.5%), Livestock income (29.8%), and other informal activities at 15.7%. Only 6% of the respondents got their incomes from salaries, pension and remittances.

The respondents were then asked to estimate their average annual incomes from the state sources and the results are as tabulated in table 4.6.

Table 0.6: Average Annual HH Incomes

Income Source	Frequency	Average Annual Income
Crop Income	145	37,702
Livestock Income	89	28,106
Informal Activities	47	39,160
Salaries, pensions & Remittances	18	128,037
Average HH Income		58,251

Compared to the baseline study undertaken by the WKCDD/FMP project in 2008, there was an increase in the households who earned their incomes from crop, livestock and informal activities which stood at 25%, 16% and 32% respectively, indicating a positive change in the livelihoods of the beneficiaries of the CDD project (WKCDD/FMP, 2008). It was evident that few households (15.7%) engaged in informal activities for income as they had capacity and ability and engage in more formal (crop and livestock) income generating activities.

The households earn an average of 37,702 KES annually from crop income, KES 28,106 from Livestock income, 39,160 KES from informal activities and 128, 037 KES from salaries, pensions and remittances. This is an increase from the baseline in 2008 where households earned 5,595 KES from crop income, 3,534 KES from livestock income, 12,569 KES from informal activities and 9,207 KES from salaries, pensions and remittances. Overall, the baseline average annual household income was 30,905 KES which has since increased to 58,251 KES indicating improved household welfare for the beneficiaries.

4.4.2 Household Assets

Household assets are indicators of the living standards in a household. To assess this, respondents were asked to indicate the assets they currently own in their households. The results are tabulated in table 4.7.

Table 0.7: Ownership of Household Assets

HH Assets	Frequency	Percent (%)
Dining Table	148	18.7%
Wardrobe	67	8.5%
Jiko-Charcoal	128	16.2%
Cellular Phone	152	19.2%
Car	6	.8%
Bicycle	123	15.5%
Radio	132	16.7%
TV	36	4.5%
Total	792	100.0%

The results indicate that the most popularly owned asset was the cellular phone (19.2%), followed by Dining table (18.7%), Charcoal Jiko at 16.2%, Radio at 16.7% and a bicycle at 15.5%. Only 0.8% of the households owned a car, 4.5% owned at TV while 8.5% owned a wardrobe.

This indicates an improvement from the 2008 baseline where only 12.1% owned a sofa set, 6.0% owned a wardrobe, 0.1% owned a bicycle, 14% owned a radio, 1.2% owned a TV and none of the respondents owned a car. This shows an improvement on the standards of living for the households and communities in general.

4.4.3 Rating of Prioritized and Implemented Community and Youth Projects

By being involved in coming up with community prioritized projects, it is expected that the community members are able to rate the success of such projects in improving community livelihoods. The respondents were required to rate the success of the community prioritized projects that their communities have implemented since the project was incepted. The results are presented in the figure 4.

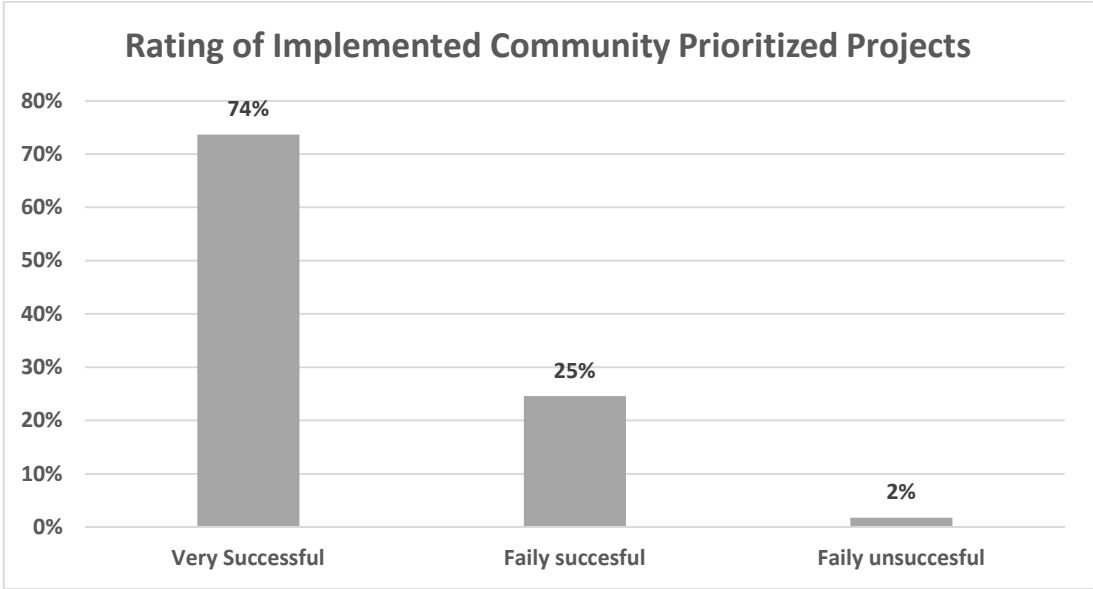


Figure 4: Rating of the implemented community prioritized projects

Results indicate that 73% of the respondents rated the implemented community and youth prioritized projects as very successful, 20% of the respondents rated them as fairly successful while only 3% rated them as fairly unsuccessful.

This was a key indicator of the communities’ approval of the community-driven approach in assisting them to achieve sustainable livelihoods.

4.4.4 Development of Community Action Plans (CAPs) and Youth Action Plans (YAPs)

For communities to implement their prioritized projects they are required to write proposals with action plans. Both the community Interest Groups and Youth Groups in WKCDD/FMP were required to deliver action plans before their projects were approved and funded.

A desk review of the project reports and in-depth interviews with the project staff gave results that indicated that the project had implemented 72 CAPs and 54 YAPs compared to the targeted 80 CAPs and 60 YAPs. This translates to 111% and 90% achievement of the project targets. This also indicated a thorough engagement of the youth and CIGs in Busia County in design, planning and implementation of prioritized projects.

4.5 Gender Mainstreaming and Achievement of Sustainable Community Livelihoods

The success of the CDD approach in achievement of sustainable livelihoods in communities is mostly dependent on the gender mainstreaming. This ensures that women are not excluded from decision-making and participate fully in planning to management of the projects. Thus, this was the second variable which was assessed to establish its influence when it comes to achieving sustainable community livelihoods. A report by The International Bank for Reconstruction and Development and the World Bank (2011) further emphasizes that CDD approaches to projects usually aim to address two key gender gaps: Women’s lack of voice in decision making; and their poor access to services and markets. Women membership in Community Interest Groups, their participation in decision-making; participation in planning, implementation and management of projects; and in trainings and capacity building were the indicators assessed under this second variable.

4.5.1 Women membership in Community Interest Groups

A critical success factor for CDD approached projects is that they work with Common Interest Groups made up of the household heads in communities. At community level, membership into interest groups is seen as an effective approach to rural development which also creates ownership. To assess this, respondents were asked to state whether they were members of any interest group. The results were cross tabulated with the gender of the respondents to give the results on table 4.8.

Table 0.8: Membership in Community Interest Groups (CIGs)

			WKCDD/FMP CIG Members		
			Yes	No	Total
Head of the Households	Male	Frequency	96	32	128
		Percent (%)	75.0%	25.0%	100.0%
	Female	Frequency	31	13	44
		Percent (%)	70.5%	29.5%	100.0%

Overall, every respondent (100%) who was interviewed belonged to a CIG which was an improvement from the baseline value of 38.7%. Women participation in decision making in

CDD approached projects is key and usually starts with them being members of the community groups. Results from the study indicated that 70.5% of the respondents who were women were in WKCDD/FMP CIGs. This is a huge improvement from the baseline value of 24.6%. Men still form the majority of the CIG members at 75.0% from the respondents interviewed.

4.5.2 Women participation in Planning, Implementation and Management of project activities

One of the principles of CDD approach is active participation or participatory governance in community projects. Integrating gender issues in planning, implementation and management of community projects becomes an important aspect of CDD approach to community development. To assess this, respondents were asked to state whether they had been involved in planning, implementation and management of the WKCDD/FMP activities since its inception, with the results cross tabulated with the gender of the respondents as shown in table 4.9.

Table 0.9: Women participation in project planning, implementation and management

		Participation in the planning, implementation and management of project core activities			Total
		Yes	No		
Head of Household	Male	Frequency	93	3	96
		Percent (%)	96.9%	3.1%	100.0%
	Female	Frequency	29	2	31
		Percent (%)	93.5%	6.5%	100.0%

Results from the study indicated that 93.5% of the women in CIGs participated actively in planning, implementation and management of the community projects while 96.9% of the men were involved. Only 6.5% of the women felt that they were not engaged actively in planning, implementation and management of project activities. This indicates that the project has capacitated both gender to be able to take part in planning, implementation and management of the project which creates ownership and eventually sustainability. Since the project activities are geared towards generating income and securing their livelihoods, then ownership created ensures that the communities achieve sustainable livelihoods with time.

4.5.3 Women participation in project meetings or activities

Active participation of women in meetings which discuss projects at the community level is also an indicator of women involvement and participation in governance and community development in general. This also indicates that women are offered a platform to get involved in decision making on project activities and implementation. To assess this, respondents were asked whether they participate in group meeting and activities in the last six months and the results were cross tabulated against the gender of the respondents to give the results in the table 4.10.

Table 0.10: Women Participation in Group Meetings and activities

		Attendance in group meeting/exercise in the last six months			
			Yes	No	Total
Head of Household	Male	Frequency	92	4	96
		Percent (%)	95.8%	4.2%	100.0%
	Female	Frequency	30	1	31
		Percent (%)	96.8%	3.2%	100.0%

The study results depict that 96.8% of the women in CIGs had participated in meetings while 95.8% of the men had participated. Only 3.2% of the women and 4.2% of the men had not actively participated in any group meetings and activities in the last six months. This suggests that since the project inception, the communities have embraced that fact that women have to be involved in making decisions which entail their development as they are very important stakeholders for sustainability of the community livelihoods.

4.5.4 Women participation in Capacity Building Trainings in the CIGs

As Wassenich and Whiteside (2004) explained, CDD approach operates on the principle of enhanced local capacity. Thus the capacity of women must be developed to enhance their active participation in development. WKCDD/FMP trained women and men on sustaining CIG activities to deliver on the community projects. The respondents were asked whether they had attended any capacity building trainings on sustainable management of CIG activities and project which was then cross tabulated with the gender of the respondents as shown in table 4.11.

Table 0.11: Participation in capacity building trainings

Attendance in capacity building trainings on sustainable management of CIG activities and projects					
			Yes	No	Total
Household Head	Male	Frequency	87	9	96
		Percent (%)	90.6%	9.4%	100.0%
	Female	Frequency	27	4	31
		Percent (%)	87.1%	12.9%	100.0%

The study results indicate that 87.1% of the women in CIGs had participated in capacity building trainings in sustainable management of CIG projects while 90.6% of the men had participated.

In terms of not participating in the capacity building trainings only 9.4% of the men compared to 12.9% of the women. One of the factors cited by the 12.9% of the women was tight schedules and a lot of household chores as supported by the voice of one of the members of a CIG.

“...Most of the women are not able to attend the trainings due to many commitments and domestic chores. However, both men and women are equally represented in our group during the trainings and also in leadership positions” Female Member of Igero Pig Farming Group

The results indicate that there has been an improvement on empowerment of women in terms of capacity from the baseline. However, there are still challenges facing women involvement in trainings most of which are due to their role in their households.

4.6 Capacity Building and Achievement of Sustainable Community Livelihoods

Capacity building of project beneficiaries is one of the most important principles of the CDD approach in achieving sustainability of projects. This is because it enhances the communities' contribution and participation in planning, implementation and management of the community projects as well as access and use of extension services. Capacity building was the third variable that the study sought to establish its contribution towards achieving sustainable livelihoods.

4.6.1 Access and use of Extension Services

CDD approaches aim at offering technical support to communities through extension services. The extension officers of WKCDD/FMP form a link between the communities and

their prioritized projects while equipping them with skills for prioritizing and designing projects geared towards meeting their needs.

Table 0.12: Access and use of extension services

Response	Frequency	Percent (%)
Yes	131	76.2
No	41	23.8
Total	172	100.0

Results from the study confirmed that 76.2% of the respondents had received extension services in the last twelve months as compared to only 25% during the baseline. This indicates a huge increase in proportion accessing and using extension services in Busia County as a result of the WKCDD/FMP project interventions geared towards ensuring households are self-reliant.

The remaining proportion of 23.8% of the respondents had not received extension services in the last twelve months but had received the services much earlier.

CDD projects are usually run under or in collaboration with governments. WKCDD/FMP is no exception. The extension and advisory services offered under the project are usually through partnerships with the government. To assess the type of extension services received, respondents were asked to state the extension officers who serve them as indicated on table 4.13.

Table 0.13: Extension officers serving the households

Type of Extension officer	Frequency	Percent (%)
Frontline Extension Worker	120	63.8%
WRMA	5	2.7%
CBO/NGO	57	30.3%
Private/ individual	6	3.2%
TOTAL	188	100.0%

Thus majority of the respondents (63.8%) who had received extension services also indicated that they had received them from the Frontline extension workers drawn from the Ministry of Agriculture and which the WKCDD/FMP referred to as the Mobile Advisory Teams (MATs). 30.3% of the respondents had received from the CBO/NGO extension officers partnering with the WKCDD/FMP while 2.7% had received from WRMA (a WKCDD/FMP partner) and 3.2% from private/individual extension officers.

4.6.2 Participation in Capacity Building Training Programmes

Participation of the community members in capacity building programmes is an important aspect of the CDD approach as it ensures the communities are left with ample capacity in terms of skills and knowledge to participate in running of projects as well as sustain them. Respondents were asked whether they had participated in any capacity building trainings from WKCDD/FMP.

Table 0.14: Participation in Capacity Building Trainings

Responses	Frequency	Percent (%)
Yes	114	89.8
No	13	10.2
Total	127	100.0

The results on table 4.14 indicate that 89.8% of the respondents confirmed that they had participated in capacity building trainings to enhance their skills and knowledge. This implies that over 80% of the community driven projects’ beneficiaries are equipped with skills and knowledge in planning, implementation and management of the projects that they come up with.

4.6.3 Relevance of the Capacity Building Trainings

The relevance of a training session to the trainee’s needs is an important consideration as it dictates how much appreciation the trainee can have on the training as well as defining whether or not they will attend. The respondents were asked to indicate whether the training was relevant to their project activities and capacity needs. The results as tabulated in table 4.15.

Table 0.15: Relevance of Capacity Building Trainings

Responses	Frequency	Percent (%)
Yes	122	96.1
No	5	3.9
Total	127	100.0

Majority of the respondents (96.1%) who had attended the capacity building trainings found them relevant with in relation to the project activities. Only 3.9% of the respondents found the trainings irrelevant to the project activities. This is an indication that WKCDD/FMP has designed trainings based on the needs of the project beneficiaries so that the capacity they gain is able to ensure sustained livelihood activities.

4.6.4 Application of Skills and Knowledge from the Capacity Building Trainings

Capacity building programmes are meant to instil skills and knowledge to the participants so that they can be able to apply them in their activities. The capacity building trainings held by WKCDD/FMP to the communities in Busia County were geared towards enhancing their entrepreneurial skills, project planning, and implementation and management skills as well as budgeting skills. Thus, the study sought to find out whether the beneficiaries had at one time applied the skills and knowledge gained from the trainings.

Table 0.16: Application of skills and knowledge from the capacity building trainings

Responses	Frequency	Percent (%)
Yes	124	98.0
No	3	2.0
Total	127	100.0

Drawn from all the respondents who had attended capacity building trainings, 98% had applied the skills and knowledge gained from these trainings in running their IGAs with only 2% not having applied the skills and knowledge.

This is a clear indication of the importance and relevance of the capacity building trainings to the communities in defining their development, implementing and managing it sustainably.

The discussions with the project staff also drew out the benefits of capacitating the communities. After the trainings, the members were then expected to sit in their CIGs and come up with Community Investment Plans (CIPs) from the Community Interest Groups which would be assessed, approved and funded. As at June 2014, 52 CIPs had been developed, assessed, approved and funded from Busia County. This is an indicator of the growing capacity of the communities in coming up with prioritized investment ideas and developing fundable investment plans from the ideas.

Development through the CDD approach is expected to be driven by the CIGs and governed by well capacitated and structured Sub-County Steering Groups and the Community Driven-Development Committees (CDDCs). Thus, formation of the CIGs, CDDCs and the Steering Groups was an indicator of how well the communities are able to use their gained capacities to form functional groups with well-structured governance structures. Discussions with the project staff indicated that as at June 2014, The County had two Sub-County Steering Groups (one for Busia and the other for Teso) and 32 CDDCs. This is a good indicator of the

developed and applied capacity, skills and knowledge for governance, accountability and local empowerment which are some of the principles of CDD approaches.

4.7 Flood Mitigation and Achievement of Sustainable Community Livelihoods

Floods are a menace to community livelihoods in areas where there is vulnerability. Thus, most CDD approached projects have a component of flood management in areas where floods affect the livelihoods of the communities. Floods hinder achievement of sustainable community livelihoods through the losses attributed to them for example, crop loss, destruction of property, livestock loss and even loss of life to community members. Thus, this was the fourth variable of this study which was assessed through indicators namely: household floods incidences, adoption of the recommended flood management practices by the communities, and the awareness and utilization of the Flood Early Warning System (FEWs) in the vulnerable communities including frequency of flood warnings.

4.7.1 Household Incidences of Floods

This indicator sought to establish the status of flood incidences in the County in comparison to the baseline status. Respondents were required to indicate where they had encountered incidences of floods in the last 12 months. The results are as tabulated on table 4.17.

Table 0.17: Household Flood Incidences

Responses	Frequency	Percent (%)
Yes	58	23.7
No	114	76.3
Total	172	100.0

Majority of the respondents (66.3%) had not been affected by floods in the last one year while only 23.7% had been affected by floods. This is an improvement from the baseline value of 52.2% for those that were being affected by floods in the county. This is a reduction of 24.5% which indicates that the interventions implemented by the community had been effective in reducing the incidences thus, enhancing the communities’ livelihoods.

4.7.2 Introduction to Flood Management Practices

The projects are expected to introduce the communities to the various flood management practices which are also composed of land management practices that help to manage the impacts of floods. Respondents were therefore asked whether they had been introduced to land management practices by the WKCDD/FMP.

Table 0.18: Introduction to Flood Management practices

Responses	Frequency	Percent (%)
Yes	71	62.3
No	43	37.7
Total	114	100.0

From the respondents interviewed, 62.3% had been introduced to the flood management practices by the WKCDD/FMP while only 37.7% had not been introduced. This is an indicator that majority of the community members were aware of the practices to implement to manage floods.

4.7.3 Adoption of Land and Catchment Management Practices

Proper catchment management and proper land use management are some of the sustainable ways of addressing perennial problems of floods in flood prone areas. Thus, CDD approaches tend to invest in community driven sustainable solutions to floods mitigation. From the proportion of respondent who were already aware of the land management practices, they were asked whether they had adopted any of the recommended practices.

Table 0.19: Adoption of Land and Catchment Management practices

Responses	Frequency	Percent (%)
Yes	82	75.0
No	28	25.0
Total	114	100.0

Majority of the respondents amounting to 75% confirmed that they had indeed adopted the recommended land management practices with only 25% indicating they had not adopted any of the practices. Knowledge will most likely lead to adoption. Therefore, this indicates that the communities have been able to learn how to manage floods and catchment areas which has an influence on their livelihoods. Continued management of floods and catchment areas for a long time leads to sustainable livelihoods.

From discussions with the CIGs and the project staff, among the most commonly adopted land use management practices were terracing, crop rotation, agro-forestry and mulching/planting cover crops. Long-term solutions included management of the catchment areas especially for River Nzoia which is key to the livelihoods of the communities living around it, development of a multi-purpose dam, building of dykes along the river causing floods as well as development of an effective FEWs.

4.7.4 Awareness of Flood Early Warning Systems (FEWs)

This sought to assess the communities’ awareness of the FEWs as well as their preparedness and risk response to the floods menace. Awareness in most cases leads to knowledge and eventually, practice. Respondents were therefore asked whether they were aware of the presence of FEWs.

Table 0.20: Awareness of Flood Early Warning Systems (FEWs)

Awareness	Frequency	Percent (%)
Yes	97	56.4
No	75	43.6
Total	172	100.0

From all the respondents interviewed, 56.4% confirmed the presence of FEWs with 43.6% indicating that they were not aware of any FEWs.

This is an indication that awareness creating has not be well done in some areas of the County in matters concerning the availability of FEWs and utilization of the FEWs as well. This is an important aspect in CDD approaches as is defines the success of a project.

4.7.5 Receiving Flood Early Warning Systems (FEWs) Information

It is expected that FEWs information is disseminated to the communities in a CDD approach to inform decision making as well as planning. Therefore, respondents were asked whether they had received any Flood Early Warning System information in the last one year (12 months) to establish whether the information is actually shared with the communities.

Table 0.21: Reception of Flood Early Warning Systems (FEWs) Information

Awareness	Frequency	Percent (%)
Yes	86	50.0
No	86	50.0
Total	172	100.0

As the results on table 4.21 indicate, 50% of the respondents had received information from the FEWs in the last one year as compared to the same portion who said they had not received. This is an improvement from the 28.5% at baseline who were receiving information from the FEWs.

4.7.6 Overall Benefits of Flood Management to the Community

This sought to assess the communities' rating of the flood management efforts under the project in ensuring their sustainable livelihoods. Respondents were therefore asked how the flood management interventions had benefited them. The results are as tabulated on table 4.22.

Table 0.22: Benefits of Flood and Catchment Management to Livelihoods

Benefits of Flood Management	Frequency	Percent (%)
Reduction in re-location after floods	38	26.95%
Increase in crop production	70	49.65%
Reduction in damage to property	33	23.40%
Total	141	100.0%

The benefits from the flood management indicated a feeling of security for the respondents with 49.65% of the respondents highlighting that they had increased their crop production due to reduced floods incidences. 23.40% indicated reduction in damage to property as one of the benefits while 26.95% indicated reduction in re-location frequency as a result of floods. This gives the communities a sense of food security, safety in their homesteads and their assets as well.

4.8 Moderating Influence of Government Policies on Achievement of Sustainable Community Livelihoods

Studies on CDD approaches in four countries by Crook and Manor (1998) have shown that this approach yields good results only if there is a strong government ownership, appropriate legal, administrative and fiscal guidelines, and actual empowerment of locals with local elections, sufficient and reliable funding, and substantial freedom for communities to choose projects.

An analysis of the project documentation and other development related documentation including Kenya's blue print documents indicate that there is a lack of several key policies that would go a long way in guiding development at grassroots level. WKCDD/FMP is a CDD approached project that is formulated from the Economic Recovery Strategy for Wealth and Employment Creating 2003-2007 which was developed with the focus on poverty reduction and community empowerment.

Results from the desk review indicate that there is currently no National Flood Management Policy to guide on how floods management should be handled in areas prone to flooding.

This then has an effect on the measures that the CDD project is undertaking as they would not be guided at national level. The National Land Use Policy which will guide sustainable and equitable land use is also under formulation. Thus, no clear guidelines on how land at rural level should be utilized for sustainable livelihoods. This affects the way the CDD approached project would design its interventions. Other Policies under review include Water, Agriculture and environment among others.

However, the procurement of public goods and services is well guided by the Procurement procedures and guidelines and this has gone a long way in ensuring that procurement of goods and services for the communities' projects is according to the appropriate procedures, thus creating accountability and trust.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This section presents the study's summary of findings, conclusion and recommendations in line with the objectives and research questions. The section presents the summary of each research variable and proceeds to make associated recommendations and suggestions for further research. The Section is divided into three key sections: the summary of findings, the conclusions and finally the recommendations.

5.2 Summary of Findings

The study sought to assess the influence of community driven development approach in achieving sustainable community livelihoods in the case of WKCDD/FMP in Busia County. The target population was the project beneficiaries in Busia County, the project staff and key opinion leaders in the county. The study had a response rate of 86% from the targeted 200 respondents with 74.4% of the respondents being male and 25.6% being female. This indicates that majority of the households in Busia County are headed by men. The results also indicated that majority of the households, 61.6% have an average of 5-9 people, with most of the respondents (54.1%) having only attained primary school education.

The study was assessing the influence of four variables which are common and critical components of CDD approaches in relation to their contribution towards achieving sustainable community livelihoods. The variables included community prioritized investments, gender mainstreaming, capacity building and flood mitigation

5.2.1 Community Prioritized Investments and Achievement of Sustainable Community Livelihoods

Community selection and prioritization of projects is a key component of CDD approaches since it emphasizes on the importance of communities participating in assessment of their own needs, developing projects to address them, prioritizing the projects and taking part in implementation for improving their livelihoods.

This variable was assessed using four key indicators namely: Increase in annual household income, household assets index, rating of the prioritized and implemented community and youth projects and the development of CAPs and YAPs in the County.

The results indicated that 48.5% of the respondents have crop farming as their major source of income followed by 29.8% who get their income from livestock farming. This was an increase from the baseline values of 25% and 16% respectively indicating that the project had indeed influenced the communities in investing in activities or projects which enhanced food security as well as secured their income generation. This also translated into an increase in the average annual household incomes from crop income and livestock income which was 37,702 KShs and 28,106 KShs, an increase from the baseline values of 5,595 KShs and 3,534 KShs respectively. Overall, the average annual household income for WKCDD/FMP beneficiaries' households in Busia County increased from 30,905 KShs at baseline to 58,251 KShs indicating an improved household welfare attributed to the CDD approach interventions.

Assets ownership is an indicator of a household's living standards. The results indicate an improved standard of living in the sampled households as compared to the baseline. Currently, the most popularly owned asset was the cellular phone (19.2%), followed by Dining table (18.7%), Charcoal Jiko at 16.2%, Radio at 16.7%, a car at 0.8%, TV at 4.5% and a bicycle at 15.5%. Owning a car, TV, bicycles, cellular phones is an indicator of the household's ability to not only afford their basic needs but other luxury needs as well.

Development of fundable CAPs and YAPs is an indicator of the communities' developed ability and capacity to participate in prioritizing their development as per their current needs. Up to date, 72 CAPs and 54% YAPs have been developed by the communities and funded through the CDD project. The success of the CDD projects have impressed the community members such that 74% of the respondents rated the implemented community prioritized projects as very successful in improving their livelihoods.

5.2.2 Gender Mainstreaming and Achievement of Sustainable Community Livelihoods

Integration of gender issues into community development is a critical aspect of CDD approach is ensuring the sustainability of community livelihoods. As Petesch, Smulo-vitz and Walton (2005) emphasize, this is a form of empowering women by giving them a platform to advance their own interests through their own choices and actions. The indicators of gender mainstreaming in this study were taken to be the women membership in CIGs, participation in decision making, planning, implementation and management of the CDD projects and participation in trainings and capacity building.

Results from the study indicate that 70.5% of the women interviewed were members of Common Interest Groups in their relevant communities which is a great improvement from

the baseline value of 38.5%. This shows that the CDD approach has allowed women to confidently become members of the CIGs which the women have embraced.

In terms of participation, 96.8% of the women in CIGs confirmed that they had been actively participating in meetings and CIG activities as compared to 95.8% of their male counterparts. This was also the case when it came to women participation in trainings and capacity building where 87.1% of the women participated actively.

5.2.3 Capacity Building and Achievement of Sustainable Community Livelihoods

The CDD approach usually allows communities to drive their own development sustainably. Thus, the capacity of the communities requires to be developed continuously. Capacity building in this study was assessed through access and use of extension services, overall participation in capacity building trainings, the relevance of the trainings and application of skills and knowledge from the trainings.

Access and use of extension services is aimed at providing technical skills and support to communities in their project activities. From the results, 76.2% of the respondents confirmed that they had been receiving extension services in the last one year. The extension had been provided by the frontline extensions workers, WRMA officers, and WKCDD/FMP officers (CBO/NGO) indicating the strong influence that the CDD approach has on the beneficiaries.

Overall, 89.8% of the project beneficiaries interviewed had actively been capacitated in trainings to enhance their skills and knowledge. Majority of these participants (96.1%) confirmed that the capacity building trainings were relevant to their CDD project activities with a further 98% of the participants indicating that they had indeed applied the skills and knowledge gained from these trainings in running their CDD project activities.

The communities' ability to develop ideas, come up with CAPs and YAPs and even form well-structured governance groups with capacity to drive their CDD project activities was a big indicator that the communities had indeed gained ample capacity such that they were now able to utilize it in planning and management of their affairs which is expected to trickle down to their individual livelihoods at household level.

5.2.4 Flood Mitigation and Achievement of Sustainable Community Livelihoods

Floods are among the biggest menace to community livelihoods in rural communities that are prone to them. CDD approaches to flood mitigation has proved to be effective in enhancing sustainable livelihoods for the communities especially in Asia. Among the indicators used to

assess flood management included household floods incidences, adoption of the flood management practices by communities, and awareness and utilization of the FEWs.

Only 23.7% of the households had been affected by floods in the last one year as compared to the baseline value of 52.2%. This implies that the CDD approach interventions were indeed proving to be effective in reducing the impacts of the floods in Busia County.

Furthermore, 62.2% of the respondents confirmed that they had been introduced to the different practices that are used to effectively manage floods. In addition, 75% of these respondents had adopted the recommended land management practices and catchment management practices which are deemed as sustainable practices of addressing the floods in vulnerable areas.

Floods Early Warning Systems (FEWs) have also proved to be important in preparing communities for the floods incidences and developing mitigation measures. The CDD project had indeed worked on implementing and creating awareness for these systems as indicated by 56.4% of the respondents who admitted to being aware of the FEWs as well as the 50% of the respondents who confirmed that they had received information from the FEWs in the last one year.

Overall, the communities felt that the flood management efforts through the CDD project were essential in averting the floods menace. This was evident from the 49.65% of the respondents who indicated that these measures had reduced crop loss and increased their crop production, thus, securing their food situation. Others indicated that they now felt secure in their homes as the relocations and damage to property had reduced significantly.

5.2.5 Moderating Influence of Government Policy on Achievement of Sustainable Community Livelihoods

Results from the desk review of project documents and other blue print documents on Community development in Kenya indicate that there lacks several important policy frameworks that would guide CDD implementation at community level to attain sustainable livelihoods. A good example is the lack of a National Flood Management Policy which would then guide flood management in areas prone to flooding. Other Policies that are important include the Land Use Policy, Water, Environment and Agriculture Policies among others that are on review.

However, there are Policies in place to govern public procurement and engagement of Non-Governmental Organizations. They assist in defining the processes and procedures that should be taken to procure goods and services for the public as well as how far the donor funded development can go and in what way they should anchor their outcomes and impacts to the country's development agenda.

5.3 Conclusions

The CDD approach is a unique approach with not only view poverty as just a lack of income, education and health facilities but also as a lack of voice, empowerment, good governance and security against shocks (for example floods). This study focussed on the influence that CDD approach has on achievement of the sustainable community livelihoods. The CDD model has ensured communities lead and participate in the planning, decision making and management of the local public resources so as to meet their self-identifiable needs.

Results from the study indicate that when it comes to the influence that prioritization of the community projects has on the achievement of their livelihoods, then the CDD project is doing well. This is well indicated by the communities' ability to come up with their own projects, prioritize them in order of their current needs, plan for them by developing CAPs and YAPs, and lead in implementation. This has an overall impact on the household incomes and the household assets which have increased as a result of the initiatives of this CDD approach.

Women empowerment has become a global effort and it is also an important component of any CDD approach for sustainable livelihoods. The study results have shown that women are now members of interest groups at community level, there is women involvement in decision making, trainings, planning, implementation and management of the community initiatives has been on the increase since the projects inception. This is a clear indicator that efforts are being put forth to ensure women participate actively in CDD activities as opposed to the approach where only men lead and participate. This is key for the success of any CDD approached project as well as ensuring there is improved livelihood because women are almost involved fully in all the household livelihood aspects.

An important aspect to any community project or programme is usually capacity building and participation. Learning by doing is by far the most effective way of creating capacity in communities and local governments (Fiszbein, 1997). It therefore becomes important to build the capacities of communities based on their needs and priorities. From the study results, it is

evident that the CDD approached project in WKCDD/FMP has built capacity of the locals through trainings that are relevant and have enable the locals to utilize the skills and knowledge gained in their projects'' activities. This is evident from the responses given by the participants of the capacity building trainings. This is a sure way of ensuring that the initiatives of the CDD approach will continue sustainably with the communities while also enhancing their livelihoods.

Flood management is an important component of CDD approaches especially in areas prone to floods. It prepares the communities to respond on the flood shock as well as sustain their livelihoods through reduction of the damage and loss of crops, livestock and life. The results indicate that the CDD initiatives in flood management have been effective in averting the effects of floods as indicated by most respondents. There has been an increase in crop production, reduced re-locations and damage and loss since the inception of the project.

Overall, based on the results from the study, the researcher concludes that the variables assessed in this study have significantly led to food security, economic security, gender equality, education and access to shelter which are indicators of improved household livelihoods. In addition, the CDD approach has further strengthened the community governance, accountability and ownership structures essential to ensure sustainability of the CDD projects which in turn will secure their livelihoods sustainably.

5.4 Recommendations

From the findings of the study, the researcher has drawn some recommendations on the CDD project in WKCDD/FMP which would go towards enhancing its effectiveness and efficiency. The recommendations entail:

1. The importance of gender mainstreaming has been emphasized even by the Constitution of Kenya. Thus, more effort and emphasis should be put towards ensuring 100% women membership in development groups, decision making, planning, implementation and management of any community projects. This is one way of enhancing sustainability of community projects.
2. Learning by doing is far much the most effective way of enhancing sustainability and ownership in any community project. Thus, continuous capacity building and attitudinal change initiatives should be undertaken at community level (through the CIGs) to ensuring there is always capacity to sustain the CDD projects in the project areas.

3. It is evident that to implement, manage and sustain such CDD project, continuous technical support is required at community level frequently. Thus, it is recommended that the number of technical support officers should be trained to assist the various community groups frequently to sustain the technical capacities of the communities.
4. This approach has proved to be a success in communities in only one county. Thus, government should work on bringing on board more development partners for funding and technical support to ensure similar CDD approached projects geared towards reducing poverty in rural areas are implemented in all the forty seven counties.

5.4.1 Recommendations for policy issues

1. Government should ensure in its policies on donor projects in the communities that, any project implemented should have a CDD approach to ensure it is driven by the community. This would ensure it has a down-top approach as compared to the usual top-down approach.
2. It is also important for the government and the partners to develop a framework for ensuring the structures for decision making at community level put the leaders of communities downwardly accountably-answerable primarily to the beneficiaries rather than to the political or bureaucratic superiors. This would go a long way to ensuring that any CDD approached project does not turn into 'supply driven-development' rather than demand driven-development.

5.4.2 Areas of further research

The study focussed on investigating the influence that CDD approach has on the achievement of sustainable livelihoods. Only four key variables which are part of the principles or components of any CDD approach were assessed. These included prioritized community investments/projects, gender mainstreaming, capacity building and flood management. From this study, the researcher suggests that:

1. Further detailed qualitative and ethnographic research be undertaken on the other important components or principles of CDD approach and their contribution towards achievement of sustainable community livelihoods;
2. More studies are required on CDD approaches to community development as there is still need for documenting the successes of this approach, critical success factors, its challenges and best practices;

3. The researcher also suggests more studies to be done on different types of CDD approaches in Kenya and document their impacts compared to the earlier approaches to community development which simply entailed the donors defining to the communities what their needs are and what interventions they need. This would help bring out the effectiveness and efficiency as well as sustainability of the CDD approach as compared to the centralized approaches to community development.

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APPENDICES

Appendix 1: Questionnaire

HOUSEHOLD QUESTIONNAIRE

Serial No.....

Instructions

The Interviewer should always remember to obtain consent from each household. Write answers directly in the tables for all sections by marking the boxes provided.

The questions in this assessment are for the **key member** of a household. Check/circle **ALL** answers recorded in each section, ensuring gaps or missing answers are obtained **BEFORE** leaving the village. Fill in the right hand results column of all the sections by circling the correct response

Please complete this part of the form

	Name	Date
Enumerator		

A. Household Identification

This section is to be completed for each household visited.

A1: County:-----	A2. Village/Community Name: -----
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B. Household Profiles

<i>Question</i>	<i>Option</i>	<i>Code/Value</i>
B1: How many people live in this household (Household to mean people who live, sleep and eat in the same house)	Specify No.	
B2: Who is the head of this household	Male	1
	Female	2
B3: What is the age of the household head	Specify Age.....	
B4: What is the highest level of education attained by the household head	Primary	1
	Secondary	2
	Post-secondary	3
	None	4

D. Community Prioritized Investments

B5: What are your main sources of household income	Crop Income	1
	Livestock Income	2
	Informal Activities	3
	Salaries, pensions & Remittances	4
B6: On average, how much does your family earn from each of these sources per year (in Kshs)	Crop Income	Kshs -----
	Livestock Income	Kshs -----
	Informal Activities	Kshs -----

	Salaries, pensions & Remittances	Kshs ----- -----
B7: What is your average household income per month	Average from B6...	
B9. What assets do you own in your homestead	Sofa Set	1
	Dining Table	2
	Wardrobe	3
	Jiko-Charcoal	4
	Cellular Phone	5
	Car	6
	Bicycle	7
	Radio	8
	TV	9
	Others (specify)...	
Overall Rating of the CDD Project Impact		
F1. Overall, how would you rate the success of the CIG projects that have been implemented in your community	Very Unsuccessful	1
	Fairly Unsuccessful	2
	Successful	3
	Fairly Successful	4
	Very Successful	5
F2. Overall, how would you rate the success of the WKCDD/FMP in improving community livelihoods	Very Unsuccessful	1
	Fairly Unsuccessful	2
	Successful	3
	Fairly Successful	4
C. Capacity Building		
Question	Option	Code
E 1: Have you received any extension services in the past 12 months? <i>If NO, go to G4</i>	Yes	1
	No	2
E2: What type of extension service have you received?	Soil and water conservation	1
	Crop and livestock husbandry	2
	Produce marketing	3
	Planning and budgets	4
	Others Specify:	
E 3: Who advised you?	Frontline Extension Worker	1
	CBO/NGO	2
	Private/ individual	3
	Other (Specify)...	4
Membership to community Interest Group (CIG)		
E5: Do you belong to any CIG	Yes	1
	No	2
E6: What activities do you do in the CIG	Improved crop production (Horticulture, Bananas, Maize, Beans, Groundnuts)	1
	Improved livestock production (Dairy, poultry, beekeeping, fish, piggery)	2
	Catchment protection(tree nurseries, agro forestry, terracing)	3

	Improved infrastructure services (markets, bridges e.t.c)	4
	Flood management activities (disaster management)	5
	Services to the community (table banking, bodaboda, catering)	6
	Others (specify):	
E7: In your group, have you participated in the planning, implementation and management of project core activities	Yes	1
	No	2
E8: Have you attended any group meeting/exercise in the last six months?	Yes	1
	No	2
E9: Have you attended any capacity building training on sustainable management of CIG activities?	Yes	1
	No	2
E10. If Yes, were the capacity building trainings relevant to the CDD project activities?	Yes	1
	No	2
E11: If No, why didn't you attend the training?	No training sessions organized	1
	Training venues too far	2
	Was not communicated on time	3
	Other (Specify)	
E12. If Yes in E9 above, have you applied the skills and knowledge gained from the capacity building trainings in the CDD project activities?	Yes	1
	No	2
E 13: Do you participate in decision making in your CIG activities	Yes	1.
	No	2.
C. Floods Management		
C1: Have you been affected by floods in the past 12 months? (if <i>NO</i> proceed to C6)	Yes	1
	No	2
C2: If yes to C1, what losses did you incur?	Re-location	1
	Crop Loss	2
	Livestock Deaths	3
	Human Deaths	4
	Property Damage	5
	Disruption of School Attendance	6
	Others (Specify).....	
C6. Are you aware of any flood early warning systems	Yes	1
	No	2
C7: Have you received any flood early warning information in the past 12months <i>If NO Proceed to D</i>	Yes	3
	No	4
C8: How often do you receive the flood early warning information	Daily	1
	Weekly	2
	Monthly	3
	Other (specify)	
C9: If YES to C7, where did you receive the information	WKCDD/FMP	1

from	CBO/NGO	2
	Radio/TV	3
	FEWS Bulletins	4
	Others (specify)	
C10: Have you been introduced to land management practices by WKCDD/FMP	Yes	1
	No	2
C11: If yes, what land management practices from the WKCDD/FMP have you introduced in your farm <i>(Rank in order of preference)</i> <i>(if NONE proceed to E)</i>	Terracing	1
	Mulching /Cover Crops	2
	Crop rotation	3
	Grass Strips	4
	Agro-forestry	5
	Zero-tillage	6
	None	7
C12: How have you benefited from the land management practices	Reduction of soil loss	1
	Increase in crop production	2
	Other (Specify)	

Comments/Suggestions

Do you have any recommendations on improving interventions of WKCDD &FMP?

Please write the full statement as it has been delivered by the interviewee

.....

.....

.....

.....

End: Thank the Respondent(S)/HH Members for their Patience and Contribution(S)

Appendix 2: Key Information Interview Guide

Key Informant Interview Guide for Project Staff

Questions targeted at Key Informants

A. Project Influence on HH Livelihoods

- 1) How has the project influenced the standards of living of the communities in Busia County?

B. Community Prioritization of projects

- 2) Has the communities been involved in coming up with projects based on their needs and prioritization of the projects?
- 3) What has been the level of community participation in the prioritization of the CDD/FM projects that you are implementing?

C. Capacity Building and community Participation

- 4) What is the level of community participation in the CDD/FM projects that you are implementing? How has this participation enhanced sustainability?
- 5) How has WKCDD/FMP involved community groups in prioritizing, planning, implementation and management of CDD/FM projects in this area?
- 6) In what areas of CDD/FM have you trained the community interest groups? How has this training contributed to planning, implementation and management of project activities in this county?
- 7) To what extent has the staff capacity building been implemented within WKCDD/FMP? If so, what type of staff development activities have been implemented within the project period?

D. Gender Mainstreaming

- 8) What are the key gender concerns/issues in CDD/FM projects in the area? How has WKCDD/FMP addressed these concerns?
- 9) What has been the level of women participation and involvement in project planning, implementation and management of CDD projects in their communities?

E. Governance, accountability and transparency

- 1) What is your opinion about the CDD/FM project in meeting the priorities and needs of the communities?
- 2) How has decentralization of WKCDD/FMP coordination improved service delivery in project activities?
- 3) Have you been faced with a challenge in terms of the government policy in implementing the CDD project? If yes, which challenges are these? What are your recommendations in ensuring the policy issues are ironed out?

Appendix 3: Focus Group Discussion Guide

Focus Group Guide for the Community Interest Groups members

Questions targeted for Focus Group Discussion

A. Involvement in project interventions and prioritization of CDD projects

- 1) What projects activities are you currently engaging on and in collaboration with the WKCDD/FMP in this county?
- 2) How has WKCDD/FMP involved your group in prioritizing, planning, implementation and management of development projects in this area? What was your level of involvement in key decision making?

B. Capacity building and participation

- 3) Are there agricultural extension services in this area? If so, how have these services impacted on project activities?
- 4) Has there been any training of men, women and youth on project activities? What skills have they acquired from such training? How has this training contributed to planning, implementation and management of CDD/FM project activities in this area?
- 5) Are there indigenous knowledge and skills which are useful in the management of CDD/FM project activities? To what extent has this knowledge been incorporated into the project implementation?

Gender mainstreaming participation

- 6) What is the extent of women representation and participation in project's activities?
- 7) What have been the challenges facing women in participating in decision making, capacity building and implementation of the various projects?

C. Flood and Catchment management

- 8) How has the project enhanced catchment management? What on-farm conservation and water technologies are you currently supporting in this community?

D. Sustainability of the project

- 9) What major challenges have you faced as a group in implementation of the CDD/FM project interventions?
- 10) How do you manage the CDD/FM projects that have been implemented so far in order to ensure their sustainability?

E. Recommendations for improvement

- 11) What are some of your recommendations for the CDD/FM project?

Appendix 4: Letter of Transmittal



UNIVERSITY OF NAIROBI
COLLEGE OF EDUCATION AND EXTERNAL STUDIES
SCHOOL OF CONTINUING AND DISTANCE EDUCATION
DEPARTMENT OF EXTRA-MURAL STUDIES
NAIROBI EXTRA-MURAL CENTRE

Your Ref:

Our Ref:

Telephone: 318262 Ext. 120

Main Campus
Gandhi Wing, Ground Floor
P.O. Box 30197
NAIROBI

7th August, 2015

REF: UON/CEES//NEMC/22/195

TO WHOM IT MAY CONCERN

RE: JAMES NGUGI IRUNGU - REG NO- L50/68950/2013

This is to confirm that the above named is a student at the University of Nairobi, College of Education and External Studies, School of Continuing and Distance Education, Department of Extra- Mural Studies pursuing a Master of Arts in Project Planning and Management.

He is proceeding for research entitled "influence of western Kenya community driven development projects on sustainable community livelihoods." A case of Busia County, Western Kenya.

Any assistance given to him will be appreciated.


CAREN AWILLY

CENTRE ORGANIZER

NAIROBI EXTRA MURAL CENTRE



Appendix 5: Research Permit



NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

Telephone: +254-20-2213471,
2241349, 310571, 2219420
Fax: +254-20-318245, 318249
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Website: www.nacosti.go.ke
When replying please quote

9th Floor, Utalii House
Uhuru Highway
P.O. Box 30623-00100
NAIROBI-KENYA

Ref: No.

Date:

4th September, 2015

NACOSTI/P/15/1441/7523

James Ngugi Irungu
University of Nairobi
P.O. Box 30197-00100
NAIROBI.

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on *“Influence of community driven-development approach on sustainable community livelihoods: A case of Busia County, Western Kenya,”* I am pleased to inform you that you have been authorized to undertake research in **Busia County** for a period ending **30th November, 2015**.

You are advised to report to **the County Commissioner and the County Director of Education, Busia County** before embarking on the research project.

On completion of the research, you are expected to submit **two hard copies and one soft copy in pdf** of the research report/thesis to our office.


SAID HUSSEIN
FOR: DIRECTOR-GENERAL/CEO

Copy to:

The County Commissioner
Busia County.

The County Director of Education
Busia County.