How can Grass Roots Leadership Training generate Community Development?

Case Study of Emerging Leaders ‘Certificate in Community Leadership’ program in Kenya

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Abstract

This study researched and recorded the range of impacts that occur as a direct result of grassroots leadership training, as uniquely implemented by the organisation Emerging Leaders. Attention is paid to the approach both generally, and with a focus on the organisation’s ‘Certificate in Community Leadership’ program. The rationale for the research comes from the debate on aid dependency which has gained momentum in recent years and has highlighted the failure and possible detrimental effects of the vast aid influxes to receiving countries. From this understanding it becomes essential to explore any new and innovative tools for sustainable development that have shown initial signs of success, without perpetuating this reliance. These initial signs are accepted in the form of commendation from World Vision who have supported the delivery of the program stating, ‘Emerging Leaders training is a game changer in relation to community transformation’.

This research shows in what ways the leadership training given by Emerging Leaders is unique, based on the theoretical rationale behind the program design. The objective of the research was to use this theory to acknowledge and understand the range of impacts that are taking place. This was achieved mainly through semi-structured interviews with beneficiaries of the program, and was supported by group interviews and observations. The interview guides were designed with the aid of the Certificate in Community Leadership handbook and teaching materials, ensuring that actual impacts were compared to those which were intended. With regards to impacts there are two main categories, the first is those concerning the personal developments inspired by the training which act to catalyse community development, whilst the second is the community developments themselves.

The data collected gives evidence of a wide range of direct impacts, from increased self-esteem and a new appreciation of team work from the first category, to the start-up of income generating and community benefitting projects from the second. Another important finding is the transferable nature of the training within Kenya, demonstrated through the wide range of impacts that were recorded in two case studies of differing characteristics, as a result of the exact same training. From this the term ‘Non-specific Sustainable Livelihood Tool’ has been created.
Statement of Originality

This thesis is the result of my own independent work/investigation, except where otherwise stated. Other sources are acknowledged by explicit references.

Signed  Jonathan Willis  (candidate) Date  22nd September 2015

I hereby give consent for my thesis, if accepted, to be available for photocopying and for inter-library loan, and for the title and summary to be made available to outside organisations.

Signed  Jonathan Willis  (candidate) Date  22nd September 2015

Statement of Ethics Review Approval

This dissertation involved human participants. A Form E1BE for each group of participants, showing ethics review approval, has been attached to this dissertation as an appendix.
*All photos were taken by the author unless otherwise stated.
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<th>Description</th>
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<td>ABCD</td>
<td>Asset Based Community Development</td>
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<tr>
<td>CCB</td>
<td>Community Capacity Building</td>
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<td>CCL</td>
<td>Certificate in Community Leadership</td>
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<td>EL</td>
<td>Emerging Leaders</td>
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<td>LD</td>
<td>Leadership Development</td>
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<td>LfH</td>
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Chapter One: Introduction

1.1 Background and Rationale

1.1.1 Aid Dependency

It is almost undisputed that the vast influx of aid to Africa over the past 60 years has done little to impact the chronic levels of poverty that persist (Mwenga, 2009; Collier, 2007; Collier & Gunning, 1999). In fact it is even argued that these revenues have contributed to the nation’s inability to achieve the rates of economic growth as found in developing countries and nations in other parts of the world, China being an obvious example (Moyo, 2009). The most common reason given for this is that of dependency on the aid given. Therefore, any new development tool displaying initial signs of generating sustainable change, without contributing to this must be rigorously tested to measure effectiveness and impact.

1.1.2 An untested Approach to Leadership Development

The concept of leadership development (LD), as used by ‘Emerging Leaders’, is an original take on more traditional definitions offering an alternative understanding that has paved the way for programs to be developed. A key difference between the LD training given by this organisation and more traditional training is that the beneficiaries are found within the grassroots of developing communities, as opposed to those in more formal leadership positions. The motivation behind this type of leadership development is firstly the belief that leadership begins with the self, and that LD is a form of personal development that aids the bettering of an individual’s economic, social and political standing (Waldock, 2015a). Secondly it is the belief that at centre of all sustainable change lies strong leadership, and that without strong leadership positive change will eventually always be conceded (Waldock, 2015a).

It is not only the concept that is original but also the program delivery structure, through the Training of Trainers approach (ToT), the notion of ‘pay it forward’ within the teachings, and the inclusion of an ongoing mentoring system (Waldock, 2015a). To date this approach remains untested in an academic qualitative capacity, yet there exists evidence of its success in the opinions of those outside of the organisation who have been involved in administering it. For example that of World Vision Kenya who have stated that ‘this training is game changer in terms of community transformation’ (Thunde, 2015). These claims encourage us to look deeper into this new approach to see whether it truly is this powerful and if so, how.
1.2 Aims and Objectives

The central aim of the research is to identify the impact of this new LD approach through analysis, in particular, of the Emerging Leaders Certificate in Community Leadership (CCL) program. We first look to understand both the intentions of and the theoretical motivations behind this LD approach, and then use this to analyse the impacts that are taking place. The program itself is young and has been developed in many ways out of the weaknesses of a previous program (Waldock, 2015b), a progression which is addressed in the following chapter. Part of the research aim is to establish whether these elements in particular are creating the desired impact. This is not to say that an in depth comparison is made of the two programs, but that the progressions are highlighted and then analysed in their own capacity. The final aim of the research is accomplished through the case study approach in which we look to see whether the exact same, non-specific, training programme can have an equal level of impact within two case studies of differing characteristics.

Table 1: Research Questions and Data Collection & Analysis Methods

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<th>Data Collection &amp; Analysis Method</th>
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<tr>
<td>Q1. What are the impacts felt and changes perceived in participants lives?</td>
<td>Semi-structured and group interviews held with key informants that were either CCL trainers or beneficiaries.</td>
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<tr>
<td>Q2. How closely are the personal developments made in beneficiaries lives related to those which were intended?</td>
<td>Analysis of the Emerging Leaders approach with focus on the CCL training handbook (Emerging Leaders, 2014) to establish intended outcomes and compare with actual outcomes as established through question one.</td>
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<tr>
<td>Q3. How does development theory support the impacts recorded as being positive?</td>
<td>Analysis of relevant development theory to understand the rationale behind the Emerging Leaders approach and CCL program.</td>
</tr>
<tr>
<td>Q4. Are the elements of the CCL program that differ from the predeceasing program having the desired effect?</td>
<td>Review of these elements followed by analysis of the data to find supporting evidence for the desired outcome. This is therefore closely related to research question two.</td>
</tr>
<tr>
<td>Q5. Can the same, non-specific training, have an equal impact in cases of differing characteristics?</td>
<td>Comparison of the data collected from each of the two case studies to measure the magnitude of impacts within each and to see if the types of impact differ.</td>
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**1.3 Overview of the Methodology**

A theoretical approach is taken to see where Emerging Leaders leadership training sits in relation to a number of other development theories and approaches including the Sustainable Livelihoods Approach (SLA), Community Empowerment (CE) and Capacity Building (CB). Impacts have been measured using a qualitative case study approach in which semi-structured interviews were the main research method; the focus of these remained on life before and after the training. These interviews were held with beneficiaries of the CCL program from two different areas of Kenya; Nairobi and Kisumu. A thematic approach to data analysis has taken place, in which common themes that arose have been grouped according to the overarching theoretical concept that they supported or fell within. The CCL program has reached 2500 individuals directly through its multi-tier structure (Waldock, 2015c), however only a small number of these were interviewed due to time restrictions and the availability of key informants. Between one-to-one and group interviews 42 key informants were accessed. The research scope and limitations are discussed further in the methodology chapter of the study.
Chapter 2: Organisation Profile: Emerging Leaders

Emerging Leaders was founded in 2006 with a mandate to ‘bring the very best leadership development to the grass roots of developing countries’ (Waldock, 2015a). The organisation was born out of corporate leadership development and life coaching which had been the work of CEO and founder, Trevor Waldock, and it was his belief that this type of training, if adequately tailored, could generate widespread community development in the world’s poorest communities. Today the organisation remains small but fast growing, employing 6 full time staff, 2 part time staff and approximately 35 freelance associate community trainers (Waldock, 2015a). Currently the organisation’s activities are focused in two countries, Kenya and South Africa. Operations in South Africa are young having only began in September 2014 whilst the area covered and numbers reached in Kenya are far greater due to a two year presence in the country.

2.1 The Founder and CEO of Emerging Leaders

The leadership development approach of EL differs to more conventional forms, as it is based on an altered definition of leadership that acknowledges that leadership starts with leading yourself. This is explored further in the literature review chapter of this study\(^1\). The approach also differs through its delivery to a different societal group; the grassroots of a community (Waldock, 2015a). It is appropriate to now give the background and credentials of the organisation’s founder, Trevor Waldock, to authenticate the innovations made. Before founding Emerging Leaders in 2006 Trevor was the founder and Managing Director of The Executive Coach Ltd and thus has extensive experience in coaching on a one-to-one, team and organisational level. Trevor has worked alongside other top executive coaches in his role as faculty member of The School of Coaching and The Work Foundation, and is also a published author, with titles including ‘The 18 Challenges of Leadership’ (Kelly-Rawat & Waldock, 2004) and ‘To Plant a Walnut Tree: The Legacy Beyond Leadership’ (Waldock, 2011).

2.2 Leadership for Hope

EL has operated two main programs. The first of these is titled Leadership for Hope (LfH) which consists of teaching between one hundred and three hundred people together, over three days, and challenging each individual to pass on the aspects of the training that have the greatest

\(^1\) See Chapter Four: Literature Review, pages 27-28
impact on their lives to others who could also benefit. Whilst this style of training has shown positive results and produced many success stories its flaw is that after the initial three days the individuals impacted are left to their own devices, and the trainer who inspired positive change is unlikely to be seen again. It is accepted that over time any leadership mind-sets developed may be reversed (Waldock, 2015b). This however is only an assumption and the extent to which it is true is unknown.

2.3 Leadership for Hope: Certificate in Community Leadership

To overcome the missing follow-up, or ongoing support, element of ‘Leadership for Hope’ the ‘Leadership for Hope: Certificate in Community Leadership’ (LfH-CCL) was developed. The LfH-CCL award is based on the same ‘timeless leadership principles’ (Waldock, 2015b) as LfH but teaches these through a different structure. The program is rolled out through a tiered system using the Training of Trainers concept. At the top of this system is the CEO and founder Trevor Waldock, who also has the role of Head Trainer. The Head Trainer has and continues to train people to deliver the EL programs (tier 2), and those selected for this are individuals who have both the ability to teach and are well connected to their communities; thus making the able to find further suitable beneficiaries (tier 3). Tier 2 trainers train the third tier in groups of 15-20 people. Whilst these bottom line beneficiaries are encouraged to begin the ‘leadership conversation’ with others, and pass on the most fundamental and relevant parts of the training they are not expected to formally teach others what they have learned (Waldock, 2015b). From this point onwards LfH-CCL will be shortened to CCL.

The majority of CCL trainers are individuals who have started their own small businesses following receiving the training themselves or are involved in the running of community based organisations, giving them access to potential tier 3 beneficiaries. And here lies the central motivation behind CCL program: once the tier 2 CCL holders have trained tier three, tier 3 have ongoing access to support and guidance, as the trainer takes on a mentoring role. Also, as more suitable tier 3 beneficiaries come forward the tier 2 trainer can hold further training sessions for them. The tier structure is shown below in figure 1. Another main difference between the two training programs is their timely structures. LfH requires three consecutive days’ attendance. In contrast LfH-CCL is module based (four modules), requiring a two and a half hours per module and can therefore be taught when most convenient for the trainer and trainees. As the size of training groups is considerably smaller the location can also be made
more convenient for all. The tier 2 trainers as mentioned also have other commitments such as that of their own businesses and projects, and this modular structure facilitates these.

Figure 1: The Certificate in Community Leadership Delivery Structure

One essential detail of all Emerging Leaders programs is that no material or cash transfer takes place and specifically no ‘sitting allowance’ is offered to participants, which differs to many of the programmes rolled out by NGOs worldwide\(^2\).

The ‘timeless leadership principles’ (Waldock, 2015b) that make up the program must first be reviewed in order to understand what exactly is trying to be achieved and later rasses whether this is being accomplished. Module one titled ‘Lead-yourself’ is designed to re-define who and what a leader is and to make clear that initial personal development is first required to in order for one to lead themselves before they can lead others. The module also covers the ‘7 poverty mind-sets’ which enable beneficiaries to understand how their own thinking can prevent them from prospering. These 7 mind-sets, as well as a detailed review of all 4 modules, can be found in appendix 1. The second module titled ‘Lead your Team’ is based on the idea that ‘we can do more together than we can do on our own’ and covers what is required to part of and to lead a team (Waldock, 2015b). The third module is titled ‘Lead your Finances’ which establishes that money is a leadership issue, and covers the importance of saving and budgeting. Finally the fourth module ‘Lead your Project’ establishes and teaches the leadership skills required to start up a successful community or income generating project (Waldock, 2015b). These ‘projects’ are an essential desired outcome of the program and therefore elements of finance and entrepreneurship are included in the training.

\(^2\) The term “sitting allowance” in this context refers to financial compensation offered to beneficiaries of a program to cover a loss of earnings (Routley, 2012).
This piece of research focuses on the impact of grass roots leadership development through the CCL program structure. Through the literature review that follows we will see that the strategy of Emerging Leaders is unique and why, if proven to be successful, it could have a profound impact on the development agenda.
Chapter 3: Methodology

3.1 A Case Study Approach

The aim of the research was to use development theory to understand the impacts that result directly from Emerging Leaders’ CCL program, and to test whether these impacts were the same as those desired by the program creators. Two different communities, one situated in Nairobi, the country’s capital, and the other in Kisumu, located in the west of the county were selected for study; thus making the project a multiple case study (Swanborn, 2010). These communities were selected for two reasons. Firstly, they are both places in which the presence of Emerging Leaders is strong enough to be able to generate a sufficient amount of data. Secondly, and perhaps more importantly, the characteristics of the communities within the cities differ greatly, whilst each is representative of a larger part of the Kenyan population. This made it possible to test whether the exact same, non-specific, training program could have positive impacts in contrasting environments. These differences include the ways in which livelihoods are generated and the types of shocks and stresses that affect these. These characteristics are further developed within the location profiles in Chapter 5. There are however many more regions of the country, and indeed other countries altogether, where the CCL program has been rolled out that have further differing community characteristics; undiscovered types of impact may be present within these. Due to time restrictions research could not be carried out in these communities; and therefore we cannot claim to answer this part of the research aim exhaustively.

Within each case study key informants were asked to explain how their lives have changed, making direct reference to before and after the training. Consequently the research was not based on observations made at a particular point in time, nor were they observations made over time, but are based on what has taken place over a period of time leading to the present day of the research (Gerring, 2007). It is also important to mention that the changes recorded are the key informant’s perceptions of change as opposed to scientific fact and therefore it is difficult to accurately measure the magnitude of these changes.
3.2 Research Design

Due to the complex nature of communities and livelihoods, and the level of innovation assumed within this type of leadership development a qualitative approach was selected in which a smaller number of informants were accessed in order to identify, in detail, their perception of the changes in their lives following the CCL program. Semi-structured interviews were used in which the interview guides were designed to ensure that the key research areas were covered whilst allowing all impacts, big or small, expected or unexpected, to be recorded. Thus whilst these interview guides were designed to ‘let the object speak’ (Swanborn, 2010, p. 17) particular issues were addressed within them to prevent the overlooking of the original intention to study the case for its representativeness of the phenomenon in general (Swanborn, 2010, p. 9).

The semi-structured interview was also selected because the researcher had not attended the program, and therefore it was accepted that all key informants are likely to have greater knowledge on the subject matter. At the same time, however, semi-structured interviews are a particularly suitable research method when the researcher has already been able to ‘develop a keen understanding of the topic of interest’ through informal and unstructured interviews with knowledgeable individuals (Cohen & Crabtree, 2008). This preliminary research has taken place through discussions with Emerging Leaders full time staff who deliver the CCL program across Kenya, and through the analysis of the program ‘hand-book’ itself (Waldock, 2014).

Under this style of interview normally the same time limit is given for each key informant (Gillham, 2005). However this was not appropriate due to their expert nature, and therefore whilst the same central questions were asked initially to each interviewee, unlimited allowance for new questions to be asked based on the initial answers was allowed, especially because the interviewees desire to share even the smallest change to their life often took the interviews in new unexpected directions.

3.3 Triangulation of Methods

Whilst the one to one semi-structured interview was the main tool used to gather data, group interviews, informal discussions and ‘walk-rounds’ were also used to collect data, offering further evidence of program impacts and enabling greater understanding of these impacts in the communities selected for study. As mentioned discussions were first held with Emerging
Leaders full time staff to develop the interview guides, however ongoing discussions also took place with these individuals through the research process regarding the data being collected to enable the researcher to keep “an open eye to unexpected aspects of the process” that may arise as it continues (Swanborn, 2010, p. 16)

3.4 Approach to Theory

As the title of this study states, it is instances of community development that are being tested, and the review that follows of the literature regarding established tools and frameworks for community development is therefore useful, in part to shape the interview guides, and more so for the analysis of the data collected. Therefore, this study was not intended to construct theory or to test theory, but to use existing theory to understand and explain the phenomenon revealed. As Swanborn (2010, p.77) justifies ‘in applied research existing theories are used; it is not the researcher’s explicit intention to develop or test theories’. Thus the purpose of the research is to apply general theories to concepts and themes that arise.

3.5 Generalisation

A common critique of the case study approach is that it provides weak opportunity for scientific generalisation. However at the same time there is also no evidence to suggest that the cases used are not in fact representative of a wider range of cases (Gerring, 2007). The cases used were selected by EL as they are believed to be representative of EL’s wider program delivery, however, due to the issue of bias we cannot guarantee that this is the case and we must therefore view these as single-outcome studies which are able to explain detailed single outcomes for the particular cases used, as opposed to a multitude of values over a large number of cases (Gerring, 2007). These single-outcome studies look to draw conclusions from the evidence that supports these cases alone. Gerring also explains (2007) this type of research can provide data for future research projects undertaken by researchers looking to understand similar phenomena within wider or different agendas. Swanborn adds that this approach “may provide us with tentative ideas about the social phenomenon, based on knowledge about the studied event” (Swanborn, 2010, p. 3) and “shed light on a larger class of cases” (Gerring, 2007, p. 20). Gomm et al (2000, p.7) add that the findings of this type of study ‘feed into processes of naturalistic generalization’ as while the aim of the study is not to draw explicitly these conclusions, the findings may be of use to others in order to frame new questions.
3.6 Data sources

Swanborn (2010) refers to interviewees, and others providing relevant data as key informants and that is the term used throughout this research. The initial selection of informants for the study was made by Emerging Leaders, but as the research progresses we found that through the ‘snowball effect’ some key informants highlight other program beneficiaries that we are later able to interview. Whilst designing the research process it was questioned whether another interview guide should be created and directed at people who had not received the training, as well as those who had in an attempt to compare the differences in their lives. However this was ruled out on the basis that the training is used to help people first identify the issues they have, that they could not otherwise observe or explain, and offer new, innovative training to enable the development of solutions for them. On this basis an informant who has not attended the training program may not be able to observe these issues and would have unlikely been able to name the skills delivered in Emerging Leaders’ training programs, when answering questions on what they felt would facilitate development. This would ultimately point away from LD programs as a solution to poverty, but only because at that point it was an unknown solution. Of course key informants could have instead named other solutions to the issues they face, but the study was not designed for this purpose, and was instead designed to identify the impact of a specific program that has and continues to be rolled out.

The key informants featured are from a number of different ‘tiers’, whereby each tier forms part of the line through which the training reaches the ‘end beneficiary’. The structures utilised to roll out the program differ slightly in the two cities where the research was carried out, and therefore so do the interview guides used. In the Dandora case study two different guides are used to address these tiers; these can be seen in appendix 2 and 4. Interview guide 2 (appendix 2) is used to gain insight from the trainer regarding the impacts they witness on people’s lives, whilst interview guide 3 (appendix 4) is designed to understand these impacts directly from the trainees themselves (tier 3) (Waldock, 2015b). No formal interview was held with tier 1, analysis of the program handbook (Waldock, 2014) and loose discussion has occurred in place of this. This structure is shown below.
In the second city, Kisumu, the delivery structure of the program is slightly different. The chain of information (or training) now runs from Emerging Leaders, to a number of selected Community Based Organisation (CBO) leaders (tier 2), who then train a greater number of CBO leaders (tier 2a) to be able to train the members of their own CBOs (tier 3). The majority of key informants come from tiers 2a and 3, only one is from tier 2. The tier 2 and 3 interview guides operate with the same aim in Kisumu as in Dandora, whilst the 2a interview guide is introduced with the aims of both combined, but knowingly achieves less detail. This tier of individuals have only recently completed the training themselves and are therefore relatively new trainers. For this reason they hold less expert knowledge of the widespread impacts of the programme than those trainers in Dandora. Therefore time was made available to discuss both the knowledge that they did have on these impacts and the impact on their personal lives. Appendix 3 shows that approximately half the questions are given to each. The tier system is shown in the diagram below.

Figure 3: Certificate in Community Leadership Program Delivery Structure, Kisumu
In both cases key informants were a mix of male and female and of a variety of ages. Specifically of the 42 key informants 25 were male and 17 female. The age range was 19-60. This helps us to understand how the training impacts a wide range of people, within these certain demographics.

3.7 Observation

Observation of the communities in which interviews took place have been used as evidence for the key informant’s responses to questions. In particular, many were keen to show us income generating and/or community benefitting projects that had begun as a result of the CCL program. This helped the research as it enabled confirmation of the some of the claims made by key informants and enabled a greater understanding of these claims. Of course these observations are therefore guided by the key informants as opposed to simply observing the key informant in their daily lives, limiting the objectivity of what was seen.

3.8 Documents

The only documents used are those of Emerging Leaders, to ensure that the true impacts of their programmes are measured against intended outcomes. The main document used was the CCL program hand book (Emerging Leaders, 2014)

3.9 Ethics

Any involvement of key informants was entirely voluntary and on the understanding that their names would be kept confidential. The research was carried out following the ethics as prescribed by Oxford Brookes University.

3.10 Data Analysis

Analysis of the data collected shows the reoccurrence of a number of themes. As such theme analysis was selected as the method for presenting and understanding the data. Themes have been grouped into the theoretical concepts that they support or fall within. These concepts are in two categories, the first is those which regard the personal developments inspired by the training that are required to catalyse community development, whilst the second is the community developments themselves. More detail regarding this process is given at the start of the data analysis.
3.11 Limitations & Assets of the Research Process

Accessing key informants through an organisation will always generate the potential for bias, especially when the key informants have been selected for the researcher, and selected in the absence of a sampling method. It is possible that the partner organisation selected those who had benefitted from the training the most for interview, or selected the interviewees in order to show the widest range of program impacts. However this could not be avoided if the research was to take place, as access to informants would have not been possible. This bias is taken into account when analysing the data and it is accepted that further research may be required to establish to what extent, if any, this bias is present. Also, whilst some observations were made that supported the claims of beneficiaries, for example visiting the new projects that had been set up, this was not possible in every case. Therefore the reliability of the evidence depends on the key informant’s honesty, and the absence of exaggeration.

Another limitation arises because the CCL program is young, having only begun in early 2014. This means that it is not possible to claim that the impacts recorded are sustainable in the long term. It is also not possible to confirm whether the program is transferable to other countries, and would have the same outcomes if implemented there; it is possible that certain characteristics of Kenya have made it successful, for example the desire of the population to improve their social, economic and political standings or the willingness of participants to take responsibility for the problems they face and the solutions available. This may not be the case in other developing countries.

One difficulty faced was the discovery of the differing programme delivery structures between the two case studies. The structure used in Dandora was anticipated, whilst in Kisumu the structure was not discovered until the first interview. This meant that the interview guide used for the first interview held in Kisumu (tier level 2a) was not sufficient to support all the necessary questions and had to be adapted during the interview to cater for the different tier structure. The 2a guide was written after this interview to make it sufficient for the following interviews.

Finally, at times language barriers were present due to the multitude of languages spoken in Kenya. When these arose a translator who whilst impartial, was aware of the Emerging Leaders’ programs and the research brief was available to assist the researcher in conveying
the meanings of questions and the answers given. There are potential issues that arise here as the researcher is unable to tell whether the questions are being asked in a suggestive or neutral tone or even if the questions asked are exactly the same as those which feature in the interview guide; it is possible that as the translator becomes more aware of the phenomena being studied he or she will look for the responses that he or she believes to be desirable (Temple, 1997). In an attempt to prevent this from happening it was constantly re-iterated to the translator that the translation must be as exact as the dialect would allow and conveyed in a neutral tone.

Despite the issues addressed it is fair to say that the chosen methodology was appropriate for the aim of the research, and taking into consideration the characteristics of the context and the length of the field work, it has enabled an in depth understanding of the program and its impacts to be developed. If the study were to be repeated or extended the same method of data collection would be used.
Chapter Four: Literature Review

The literature review is used to show how the LD approach of Emerging Leaders is unique, where it sits in relation to other development tools, and the theoretical rationale behind the approach. Finally its current absence from the development agenda is shown.

4.1 Defining Grass Roots Leadership within the Emerging Leaders Approach

The grass roots population of a country or community is defined as its ordinary people, especially as contrasted with the leadership or elite of a political party or social organization. These ordinary people are regarded as the main body of an organisation’s membership (Castell, 1983; Carroll, 1992). It is imperative to understand the difference between conventional LD and the grassroots LD that Emerging Leaders concerns itself with. Typical definitions of leadership include, ‘a process of social influence in which a person can enlist the aid and support of others in the accomplishment of a common task (Chemers, 1997, p.1), ‘the ability to get participants in an organization to focus their attention on the problems that the leader considers significant’ (Cyert, 1990, p.1) and as ‘the process of arranging a situation so that various members of a group, including the leader, can achieve common goals with maximum economy and a minimum of time and work’ (Bellows, 1959, p.1).

Whilst all of these definitions hold representative of leaders it is argued that they skip past a vital prerequisite factor that must be present. This is the notion that to lead others you must be first able to lead yourself and your own life, a central concept to the Emerging Leaders ethos (Waldock, 2015a). At the grass roots level leadership development is defined as ‘enabling an individual to become proactive, create compelling visions of the future, be realistic, create pathways from the present to the desired future, influence, and to understand and recreate business processes’ (Waldock, 2015a). When the attributes established in this definition are obtained the ‘mind-set’ of the individual is transformed to one of a leader and he or she is able to effectively lead their own life and then the lives of those around them (Waldock, 2015a). Therefore we are breaking from traditional political definitions of leadership that are associated with power relations and coercion, and instead defining leadership to encapsulate initial personal development that can than enable others to develop themselves. It is also accepted however that for some, or perhaps many, personal development is in fact as far as the leadership story goes, whilst those with stronger, natural leadership capabilities may rise to greater
leadership roles, or positions of power. This type of development is therefore unique as it does not require beneficiaries to have already displayed these natural leadership capabilities or to be in existing leadership positions; instead it can be given to all members of a community.

The relationship between the leader and the led also differs from conventional circumstances. Training ‘the grass roots to lead the grass roots’ is a common phrase spoken by EL staff (Waldock, 2015a) and what is meant by this is that leadership can occur regardless of whether those individuals being led are in horizontal or vertical positions to the leader. Conventionally this occurs vertically as those higher up the chain influence those further down, but LD programs in this context are designed to encourage horizontal leadership, as peers are inspired to lead one another.

### 4.2 The Sustainable Livelihoods Approach

The use of the sustainable livelihoods approach was central to the development agenda from the late 1990s to the early 2000s and continues to be a useful way to understand risk, vulnerability and capacity (Wamsler, 2007). The approach is best understood through Chambers and Conway’s (1991, p.6) definition: ‘A livelihood comprises the capabilities, assets and activities required for a means of living; a livelihood is sustainable when it can cope with and recover from stresses and shocks, maintain or enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generation’. Chambers and Conway explain that shocks ‘are typically sudden, unpredictable, and traumatic, such as fires, floods and epidemics,’ (1991, p.10) whilst stresses are ‘pressures that are typically continuous and cumulative, predictable and distressing, such as seasonal shortages, rising populations or declining resources’ (1991 p.10). The model acknowledges the basic needs of the individual or household and that people need to access resources to meet these. Scoones (1998) later added detail to this demonstrating that sustainable livelihoods are achieved through the combination of access to livelihood resources (natural, economic, human and social capitals) and the pursuit of different livelihood strategies (agricultural intensification or extensification, livelihood diversification and migration). A further categorisation of these resources is given in Sanderson’s (2009) model in which livelihood resources take the form of soft and hard assets, as detailed below.
Table 2: Soft and Hard Assets within the Sustainable Livelihoods Approach

<table>
<thead>
<tr>
<th>Soft Assets</th>
<th>Hard Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Skills and abilities, training, knowledge, health</td>
<td>Physical Productive instruments, personal belongings, goods, tradable items, livestock</td>
</tr>
<tr>
<td>Social Networks, social groups, family ties, trust, knowledge sharing</td>
<td>Financial Savings, cash, stocks, remittances</td>
</tr>
<tr>
<td>Political Political representation, organised groups for change, e.g slum development committees</td>
<td>Natural Water, air, land, forest, environment, biodiversity</td>
</tr>
</tbody>
</table>

The level of assets built up will determine the ability to manage those shocks and stresses that arise and thus determines the household’s level of vulnerability. As Buchanan-Smith and Maxwell (1994, p.4) had previously noted ‘some households may be unaffected by shocks, some may recover more quickly, and some may be pushed into irreversible decline.’ Therefore, soft and hard assets are the buffer between people and shocks and stresses.

Leadership development as form of training therefore fits within the sustainable livelihoods approach and the ability to lead one’s own life and the lives of others within the community to better economic standings, can be most easily understood as a soft asset, but one that is used to generate other soft and hard assets. For example, developing the mind-set of a leader may enable an individual to start-up a business, thus generating physical assets and boosting or diversifying income and savings (Waldock, 2015a), which is an example of a hard asset (Sanderson, 2009). Or it may enable the development of a community project such as a neighborhood watch scheme that reduces crime (an ongoing stress) and generates social capital and cohesion (Waldock, 2015a), an example of a soft asset (Sanderson, 2009).

According to many commentators, the sustainable livelihoods approach represented a move away from needs-based, resource centered development practice to more people-centered solutions based on their ability to initiate and sustain positive change (Carney, 1998; Alterelli and Carloni, 2000). Therefore the SLA is recognised as providing a more
rounded picture of the challenges faced by those attempting to survive in poor communities, looking beyond understandings of poverty based on income, consumption and employment. In support of this notion, and in order to demonstrate exactly where LD lies with respect to the SLA the term ‘Non-specific Sustainable Livelihoods Tool’ is now created. It is now shown why this extension of the SLA theory is required for Emerging Leaders leadership training to fit within it.

4.2.1 Non-Specific Sustainable Livelihoods Tool

Despite the acceptance of the sustainable livelihoods approach as a theoretical framework for development, by the mid-2000s it had been dropped by many of its chief advocates including DFID, Oxfam and UNDP (Wamsler, 2007). There were a number of reasons for this and two are of particular interest to this research. Firstly is the issue of how it can be used effectively by agencies that are organized by sector, and operate specialist activities and initiatives. Secondly, and linked to this first point, the sustainable livelihoods approach remains at the micro level, and therefore scaling up livelihoods projects to macro level, with regards in particular to markets and policy is made difficult, (Bahiigwa & Ellis, 2003). These are interesting issues that leadership development programs may have the ability to over-come and the term ‘Non-Specific Sustainable Livelihood Tool’ is created and explained to show how. The leadership training approach of Emerging Leaders can be termed this type of tool because whilst the aim is to generate sustainable livelihoods, this is achieved indirectly through the teaching of fundamental leadership principles that enable personal development and community engagement in the sustainable livelihood activities that are most suited to them. Thus individuals and communities activate their own initiatives and find solutions, in the form of these SL activities, to the problems they face. This contrasts with traditional livelihood projects that focus on narrow initiatives or within certain communities, and are the critique of those commentators previously mentioned (Bahiigwa & Ellis, 2003). It is proposed, then, that these LD programs can be accessed by all and indirectly lead to a multitude of SL asset generating projects. Scaling up these programs is therefore a relatively simple task. This is shown diagrammatically below, where leadership training leads to the initiation of SL activities and assets.
Community capacity building refers to understanding the obstacles that persistently inhibited a community from achieving their unobstructed development potential, and building sustainable skills, resources, and commitments’ to overcome these (Labonte et al, 2002, p.1). Simpson et al (2003) explain in *Community capacity building: Starting with people not projects* ‘such approaches require a process that builds on local strengths and promotes community participation and leadership, as well as ownership of both the problems and the solutions. Through this ownership there is the motivation for communities to take responsibility for their own development and to no longer depend on governments for guidance and resolve. In essence economic and social survival is best achieved by becoming empowered through building on existing capacity (Simpson et al, 2003). Almost by definition then, with regards to community development, capacity building is to work at the grass-roots level, as opposed to the government or policy level, and thus priorities and actions are decided by local people themselves rather than by outsiders. During this process, people develop the collective confidence and skills (capacity) to better their economic and social positioning (Brocklesby & Fisher, 2003). More specifically the ethos of Emerging Leaders is that ‘there can be no sustainable change without good leadership’ (Waldock, 2015a) and therefore building the leadership capacity of communities is critical to their development.

**4.3.1 Capacity Building and the Sustainable Livelihoods Approach**

It has been argued that capacity building approaches do not compliment that of sustainable livelihood strategies, because of the ‘locally situated character of community development practice, which makes it difficult for externally driven sustainable livelihoods interventions to systematically incorporate community-level methods and practices’ (Brocklesby & Fisher,
This is to say that whilst CCB is driven by the community itself, the SLA requires far greater input from outside agencies causing contradiction between the methodologies. However, as shown, the leadership development approach, as a Non-specific Sustainable Livelihood Tool is able to overcome this and to fit within both methodologies.

4.4 Community Empowerment

Community Empowerment, a term commonly associated with capacity building, is a development tool motivated by the notion that empowered communities are better equipped to find sustainable solutions to the problems they face. This is a bottom up, rights based approach whereby those directly affected by community issues are given a voice, and through working as a community are able to participate politically in decision making and solution finding (Fawcett et al, 1995). Thus empowerment is not about giving power to one group to govern another but is about creating awareness of rights, and building the capacity of a group in order for it to defend these rights and its position within wider society (Craig & Mayo, 1995). More specifically they are able to gain control over the decisions that influence their lives (Fawcett et al, 1995). These communities are groups of people, spatially connected or otherwise, who share common interests, concerns and/or identities; each of which may be broad or specific (WHO, 2015). Enabling, by definition, means that these communities cannot be empowered by a second or third party, but instead become empowered by procuring more of powers’ many forms (Laverick & Labonte, 2008). Thus the job of the third party is to catalyse this process, or facilitate its occurrence. Therefore instead of mere increased participation in society from disadvantaged communities the desired outcome is in fact a renegotiation of power and the ownership of actions that result in social and/or political change. The notion of empowerment accepts that for some power will be shared and for others pre-existing power will be concealed (Labonte et al, 2008).

With regards to Emerging Leaders it is easy to see the links between community empowerment and the leadership development approach. The program does not seek to give power from one group to another but aims to catalyse the mind-set changes that will allow communities to acknowledge their rights and to defend them. Through becoming leaders it is desired that these communities will be able take back the power they need to control the decisions that impact their lives (Waldock, 2015a).
4.5 Asset Based Community Development Model

The ABCD model differs to capacity building, through the proposition that communities can drive development and growth through the identification and mobilisation of existing assets, many of which are often unrecognised, in order to benefit from existing, and create new, economic opportunity. The approach omits the needs based initiatives in which donor agencies and NGOs have ‘inadvertently presented a one-sided negative view, which had often compromised, rather than contributed to, community capacity building’ (Mathie & Cunningham, 2003, p.4). A further consequence, it is argued, of the needs based approach is that local groups become focused on external institutions, thus reinforcing the idea that only outside experts can provide real help. Kretzmann and McKnight (1993) describe an alternative approach, that acknowledges how the capacities of local people and their associations have the ability to build powerful communities, and explain that recognizing these involves first the creation of a new lens through which communities can "begin to assemble their strengths into new combinations, new structures of opportunity, new sources of income and control, and new possibilities for production." (p. 6). A crucial element to this model is that agencies must ‘lead by stepping back’ to allow communities to develop from consumers of services to designers of community programs (Kretzmann and McKnight, 1999). A prominent feature of the model is that communities are aided in creating a database of their assets and emboldened to see value in existing resource that have previously been ignored or unnoticed. These unrealised resources are often the relationships that exist within communities and the informal partnerships and networks that can be accessed to activate more formal resources such as local government and community-based organisations (Mathie & Cunningham, 2003). Through using ABCD to increase the power of local associations, these associations become the vehicles through which community assets are connected and their power and effectiveness multiplied (Mathie & Cunningham 2003). We now review the LD approach with respect to ABCD, as well as the SLA and CCB, to give further insight into the reasoning behind its use as a development tool.

4.5.1 Leadership Development within the Context of CCB, SLA and ABCD

LD through the Emerging Leaders approach is designed to build the leadership capacity of communities in order to empower them and enable them to prosper. Whilst ABCD critiques CCB generally, EL programs are not designed through initial establishment of community needs but instead the same training program is given to all communities, and are based around
the notion that everyone can benefit from understanding ‘timeless leadership principles’ and that everyone has the ability to develop the leadership mind-set and lead their own lives (Waldock, 2015a). The criticisms of CCB are not only appeased through the acknowledgement that everyone has this ability, but through the programs’ teaching that part of developing into a leader is being able to evaluate the skills, assets and resources that are already present; especially the partnerships within the community that individuals can use to multiply their inputs. Therefore whilst the ABCD model advocates the establishment and use of existing strengths, in this instance the leadership capacity of the community can still be built on and strengthened. It has also been argued that the SLA cannot be combined with the CCB because it is too externally driven, and therefore struggles to incorporate community-level methods and practices (Brocklesby & Fisher, 2003). However, as already established the EL strategy is to encourage the development of sustainable livelihood assets, through first utilising strong leadership skills and thus it operates at a level above specific SL strategies, inspiring change through the use of already available resources and partnerships. Therefore it is possible to see how the programs developed by EL borrow many of the strengths of other development approaches whilst counteracting many of their weaknesses. It is also important to highlight one central notion that both the CCB and the ABCD promote which is ownership of the problems they face and of the solutions available, a fundamental principle of Emerging Leaders LD programs (Waldock, 2015a). This analysis is summarised in the table below.

Table 3: The relationship between Leadership Training and relevant development theories

<table>
<thead>
<tr>
<th>Development Theory</th>
<th>Key Characteristics</th>
<th>Relationship to Emerging Leaders Leadership Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sustainable Livelihoods Approach</td>
<td>- A combination of ‘soft’ and ‘hard’ assets generates a sustainable livelihood</td>
<td>- LD is a ‘Non-specific Sustainable Livelihood Tool’; a soft asset that initiates the generation of ‘hard’ and other ‘soft’ assets</td>
</tr>
<tr>
<td></td>
<td>- The approach is too narrow and technocratic making scale up of programs into multiple communities impractical</td>
<td>- LD programs can be taken into a variety of communities</td>
</tr>
</tbody>
</table>
| Capacity Building                   | - Understanding the obstacles that prevent a community from reaching their full development potential  
- Building the assets or ‘capacities’ needed to overcome these including skills, knowledge, leadership, a sense of efficacy, norms of trust and reciprocity | - ‘There can be no sustainable change without good leadership’  
- The capacity building approach promotes community participation and leadership, as well as ownership of both the problems and the |
| **Community Empowerment** | - Associated with capacity building: a development tool based on the idea that empowered communities are better equipped to find sustainable solutions to the problems they face.  
- A bottom up, rights based approach whereby those directly affected by community issues are able to participate politically in decision making and solution finding.  
- Not about giving power to one group to govern another but is about creating awareness of rights, and building the capacity to defend these rights  
- Rights based only, when in reality factors outside of this also limit development | - Does not seek to give power from one group to another but to catalyse the mind-set changes that will allow communities to acknowledge their rights and to defend them.  
- Through becoming leaders communities can identify and defend their rights |
| **Asset Based Community Development** | - Identification and mobilisation of existing assets, many of which are often unrecognised, in order to benefit from existing, and create new, economic opportunity  
- Omits needs based initiatives  
- Used to increase the power of local associations  
- Limited to existing assets when communities can benefit from entirely new assets as well | - Part of developing into a leader is being able to evaluate the skills, assets and resources that are already present  
- Programs not created through initial establishment of community needs, the same training programs are given to all communities within Kenya |

### 4.6 Leadership Development: The missing Concept on the Development Agenda

The idea of bringing grassroots leadership development to every member of a developing community is absent from both academic writing and the development agenda. Whilst the
benefits of leadership development targeted at individuals in formal leadership roles, or to prepare individuals for these roles is increasingly recognised, the idea of equipping every member of the grassroots to lead themselves and other members of the grassroots remains a unique strategy.

Firstly, from an academic research point of view the benefits of this strategy have remained untested, and all studies around leadership development, even where based in the grassroots realm, remain concerned with certain individuals in the community becoming formal leaders (Checkoway, 1995) or concerned with leadership training within formal grassroots and community based organisations (Chavis, 1995; Checkoway, 2013). Secondly, looking at the development plans and initiatives of international agencies and institutions we find that the essential aspect of strong community leadership is frequently missing altogether and where leadership based initiatives are in place they are specific to certain groups in society or, again, to people in existing leadership positions. For example the Livelihoods Centre at the Red Cross (2015) addresses sustainable livelihoods generation through knowledge creation and sharing, capacity strengthening and technical assistance but we find that no weight is given to the need for strong leadership at the grassroots level to enable communities to take hold of these other programs and make them sustainable.

Looking for specific programs that involve leadership development we are able to review two that demonstrate the value of grassroots leadership but through different strategies and for more specific societal groups. The first of these is the Rural Women’s Livelihood Project (RWLP), rolled out by the International Fund for Agricultural Development. The RWLP ‘is innovative in that it explicitly took on the challenge of reaching out beyond the better-educated women reached by most leadership programmes, and aimed instead to engage with women leaders at the grass-roots level’ (Bishop-Brook et al., 2014, p.4). The idea of the program was to prepare female members to become leaders of change within their organisations, through the ‘mentoring and backstopping of women leaders at the grass-roots level’ (p.5). Another purpose of the program, as similar to that of Emerging Leaders targets was ‘creating sustainable networks of women leaders to promote investments and partnerships to make agriculture more responsive to the needs of poor women farmers’ (p.5). The target group for this initiative was therefore much narrower than that of Emerging Leaders, and where the programs of EL aim to impact every aspect of a person’s life, the WRLP is focused on change within the organisations that they work.
The second notable programme is a pilot programme on entrepreneurial leadership aimed at transnational migrant family networks. The aim of this project is to increase the impact of remittances sent from families’ country of origin by training these families in entrepreneurial leadership, and strengthening the human and productive capital of transnational families. This program, like that of Emerging Leaders is based on completion of 4-modules and of the fifty-three transnational families that were targeted as beneficiaries, twenty-eight managed this and thirteen developed a business plan (IFAD, 2015). Again this program, whilst incorporating leadership development, is narrowly focused to one type of leadership for one specific group in society.

4.7 The Effectiveness of Aid to Africa: The Need for Change

Over the past two decades there has been ‘an exhaustive, and exhausting, debate on aid, conditionality and debt’ and it is Africa in which the debate has been mainly focused (Kanbur, 2000, p.1). Despite the vast inflows of aid to the nation, which greatly outstrip debt servicing needs, Africa has been unable to achieve the significant economic development that has been found in other developing countries. A prime example of this is given by Collier and Gunning (1999) who compare Ghana and Malaysia, countries of similar size and resource base, and show that at the point of gaining independence in 1957 Ghana’s per capita GDP was several times greater than Malaysia’s, whilst four decades later the situation has been reversed. Many commentators have argued that this stunted growth is in fact largely the result of aid inflows, or this has been at least part of the problem (Kanbur, 2000; Collier and Gunning, 1999; Moyo, 2009). The centrepiece to the argument is the notion of aid dependence, in which African countries have developed a reliance on aid packages which act as dis-incentivising support.

The argument of Dambisa Moyo (2009) in ‘Dead Aid’, who divides aid into three categories, is of particular interest. The first of these is government to government aid packages, the focus of her attack. The second is humanitarian and emergency intervention, and the third charity based aid provided by NGOs, both of which she does not contest or hold responsible for Africa’s stunted growth. However, Moyo does argue that there is a ‘fundamental problem in having charities provide education, health care, infrastructure, and security… It begs the question “what are the African Governments doing?”’ (Moyo & Myers 2009). She goes on to explain that the continent is covered in NGOs who provide these public goods often
inefficiently to only a small number of people and then leave when the funding runs out, leaving societies more vulnerable than they were before.

In the case of Kenya annual aid flows have amounted to over $1bn on several occasions, and at their peak between 1989-90 net inflows averaged 14.6% of the gross domestic income (Mwega, 2009) (See appendix 5). However since this time the importance of aid to Kenya has fallen greatly and in 2013 contributed 5.85% of GDP (World Bank, 2013). Whilst this makes Kenya’s dependence on foreign aid relatively low, when compared to neighbouring countries, nearly 6% of GDP remains a sizeable figure. To put this figure into context we can return to the exceptional development of Malaysia over the past 60 years, to note that at time of Kenya’s peak foreign aid inflow, inflow to Malaysia as a proportion of GDP was already well under a single percentage point (World Bank, 2013).

As established from previous sections of this literature review the unique programs and initiatives of Emerging Leaders do not cross any of the ‘lines’ that are established from the ‘aid dependence’ argument and do not provide a public good that would be expected from a government. In fact they aim to do the opposite by empowering individuals and communities, through the method highlighted, to create sustainable development using their access to existing resources. This argument is reviewed because, as already noted, if positive results are found to be present, and of an appropriate magnitude, then LD could be a vital element missing from the development agenda.
Chapter 5. Location Profiles

5.1 Kenya

Kenya is situated on the east coast of Africa and has a population of 43,178,000, of which 3,363,000 reside in the capital city, Nairobi. Bordering countries are Somalia to the East, Ethiopia and South Sudan to the North, Uganda to the West and Tanzania to the South. Kenya’s GDP per capita is $1358.3 and most recent statistics (2014) place GDP growth at 5.3% pa (World Bank, 2015). From a trade perspective Kenya continues to rely heavily on imported goods from other countries, with an import-export balance of -6923.8 in 2012. With regards to population Kenya has a rapidly growing youth demographic with 42.2% of the population aged between 0-14 years compared to approximately 4.5% aged 60 and above, however this is largely attributed to life expectancy of 63.5 years for Women and 59.7 (UN Data, 2015). Steady urbanisation also continues in Kenya, with an average urban population growth of 4.4% compared to 2.7 generally between 2010 and 2015.

5.2 Dandora Slum, Nairobi

Dandora is an eastern suburb of Nairobi and is divided into five phases. The Dandora housing scheme was introduced in 1977 to provide low income housing and infrastructure and was partly financed through the World Bank (Ndemo, 2015). However Dandora has since then become a high-density slum where notable characteristics include high levels of crime and unemployment. Dandora was designed for around 40,000 people (Kellogg Institute, 2014) but...
most recent estimation place the population at 142,000 making it the most densely populated district in Embakasi (one of the 17 divisions of Nairobi).

The poorest part of the Dandora community generates its income informally through scavenging Nairobi’s principle dumping site, which is located here, for saleable and recyclable materials. The site is the destination of the 850 tonnes of solid waste that is generated daily by Nairobi’s 3.5 million inhabitants (Ooko, 2012). Dandora was listed as the most polluted site in the world by the Blacksmith Institute, and studies have confirmed that dangerous elements including Lead, Mercury and Cadmium and PCBs (Block et al, 2007). Concern Worldwide has a presence in Dandora and in report titled ‘Trash and Tragedy’ (2012) suggested a resulting prevalence of health issues within local communities from the site including cancer, anaemia, miscarriages and nervous system disorders. Other typical income generating activities include trading low cost household items and groceries, and informal short term labouring as and when it is available (Rodriguez-Torres, 2010).

With regards to crime, as is the case with many of the Eastland estates there are often gang-related activities and two infamous gangs in Kenya reside in Dandora. These are the Kamjesh and the Mungiki who are often responsible for murder, rape, extortion and illegal taxation. Many of Kenya’s hip-hop music groups and performing artists have originated from Dandora in recent decades and hip-hop culture continues to play a significant role as a positive community force used to speak out, especially to the youth, on community issues of crime and ‘idleness’. This movement has been recently supported by American groups such as Dead Prez who state that “Hip-hop is a powerful tool that we can use to educate those in the darkness”. As well as this Dandora is starting to gain momentum as a place in desperate need of environmental and development intervention.

5.3 Kisumu Profile

Kisumu, the capital of Kisumu County, is the third largest city in Kenya and is situated on Lake Victoria. The city developed due to its location as an internal port and railway terminus and is
now an administrative, industrial and commercial centre. With regards to agriculture the land is highly fertile and has given rise to a thriving economy based on molasses, cotton, rice and sugar cane production. The 1980s and 1990s saw economic decline, largely due to Kisumu’s status as a political opposition stronghold and today Kisumu is one of the poorest cities in Kenya, with 60% of the population living in slums.

As the city attempts to recover from this period of stagnant growth it also faces challenges in the form of corruption, political interference in the Municipal Council of Kisumu’s (MCK) affairs and poor revenue collection. It is suggested that the multitude of civil society are a good entry point for improving governance, and improving the communication channels between the MCK and the people (UN 2006). In particular the slum population has been excluded from the decision making process and now need to been seen as a resource for generating growth. HIV/AIDS levels in Kisumu are among the highest in Kenya and records suggest as many as 15% to have contracted the virus. The national HIV/AIDS policy has not been rolled out locally and the MCK has no policy of its own (UN-Habitat, 2006). The demand for services, including water, sanitation and waste collection continue to rise along with the population. Currently 60% have no access to safe drinking water, only 20% of waste makes in to the garbage collection service and 10% of the city is covered by a sewerage system. Widespread deforestation has led to soil erosion and increase surface run-off increasing frequency of floods that devastate more suburban areas. These floods are often separated by long dry periods which frequently become droughts (UN-Habitat, 2006). The table below highlights the key characteristics of each location; these are adequately different to justify the use of these cases in trying to answer the research questions3.

Table 4: Case Study Key Characteristics

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Dandora, Nairobi</th>
<th>Kisumu Participant Communities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rural/Urban Community</td>
<td>Urban, densely populated</td>
<td>Rural, yet majority also living in highly populated slums</td>
</tr>
<tr>
<td>Most common livelihood activities</td>
<td>Informal ‘scavenging of dump site’, small scale trading and short-term labouring</td>
<td>Agriculture</td>
</tr>
</tbody>
</table>

3 See Chapter One: Introduction, p.13-14
| Most common threat to livelihoods (shocks and stresses) | Crime, serious disease | Extreme weather creating food insecurity, HIV, crime |
Chapter 6: Data Analysis

Interviews were undertaken in both case studies in order to understand the range of impacts that result directly from the CCL program. The data has been analysed through the occurrence of common themes and these themes have been grouped according to the theoretical concepts which they support, as established in the literature review\(^4\). Relevant coded quotes from the interviews are given for descriptive matters. The case studies have many overlapping themes and concepts and therefore, where necessary both cases are analysed under the same concept heading. Within these cases quotes are coded to show the ‘tier level’ of the key informant, as reviewed in the methodology\(^5\). A full table showing all key informants, their gender and age can be found in appendix 9. For some concepts there are only supporting quotes from one case study or tier. The concepts themselves are broken into two categories, the first concerns personal developments and elements of the CCL program that take place as a result of the training and act to catalyse community development, the second category is the tangible community developments themselves. Despite this categorisation the impacts regularly overlap.

6.1 Section One: Personal Developments and Program Elements that Catalyse Community Development

6.1.1 Concept 1: Changing Mind-sets and Developing Leaders

This concept is particularly relevant because changing mind-sets from the seven that are laid out in appendix 1 to the one of a leader, and thus developing leaders, is the central aim of the partner organisation. Part of this process involves first re-defining who is and what constitutes a leader in order that beneficiaries understand that becoming a leader is first and foremost a personal development.

**Contributing themes:**
Re-defining Leadership

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\(^4\) See page 27-38: ‘Chapter Four: Literature Review’.

\(^5\) See page 19-26: ‘Chapter Three: Methodology’

\(^6\) Quotes from case study one, Dandora begin with D, whilst those from case two, Kisumu, begin with a K. The second part of the code refers to the tier structure, and is therefore a 2, 2a, or 3. The last part of the code refers to the key informant themselves and is based on the day of research that the interview took place and when they were interviewed on that day based on a numerical order.
Most commonly acquired leadership principles- ‘lead yourself’
Changing mind-sets
From hopelessness to hope

One of the most common themes that arose from the interviews that took place was the development of a new understanding of leadership, and more specifically to who is and who should be considered a leader. Every key informant who discussed this issue made it clear that they now understood that leadership does not only apply to those holding formal governing positions but that the principles of leadership apply to anyone wanting to make positive changes to their lives.

‘Training is easy but changing mind-sets is much harder, until you change these mind-sets sustainable development cannot begin’ D2.1.2

‘CCL is an opportunity for the community to change their mind-sets on how the perceive leadership to be. Because when the people in the slums hear about leaders they only think of those who have been elected. Those people that have a title and a position. The training enables people to realise ‘If I am able to lead myself, then I am a leader’ D2.1.7

‘I now know to see yourself as a leader, lift up your head and look at other areas of your life where you can generate income. I now know that I need to be proactive and make a change if something is not working. You must see and take responsibility for the problems and the solutions’ K2a.1.3

Following this initial understanding of the need for the individual to apply leadership principles their own lives key informants were asked to go into more detail regarding the exact principles they had applied to their lives and the common characteristics of a leader.

‘The main leadership principles that I have used to get to this point are focus, and taking responsibility for my situation, the problems I face and the solutions available.’” D.3.1.4

‘I loved all four modules: In ‘Lead yourself” I learned to be proactive, look at myself and establish what talents I have and how I could use them to generate an income. Now
I look at the obstacles in front of me and use the resources available to solve them. In ‘Lead your team’ I learned to identify the people that I can work with through identifying the talents that they have.’ D.3.3.3

In fact, of 15 key informants interviewed in Dandora 10 explicitly referred to the need to ‘lead yourself’. In Kisumu similar responses were given.

‘Leadership principles enable us to determine the reality of our situation, and determine where we need to be and what we need to do to get there’ K2a.2.1

‘We are a net importer of food here in Kisumu. We produce what cannot last us three months. The more people received LD the more likely they are to ‘change something’, a central message of the training. One obvious change is a move away from maize production towards crops that will grow better here. In the right conditions a farmer can produce 30 bags of maize per acre, but here you are lucky to hit 6. We should instead be focusing on high value crops that are better suited to our environment’ K2a.2.1

The aim of changing individual’s mind-sets from those of hopelessness and poverty, to those that take responsibility for their current circumstances and the available solutions also appears to have been successful. The Emerging Leaders training believes that this is a fundamental development to becoming a leader and moving out of poverty.

“My self-esteem is much higher and the way I think about life has changed. Before I had the poverty mind-set and a lack of confidence. Now I have the leadership mind-set and I am more confident. I am hopeful that I will go further now in education. I am hoping to go to university, if not then college. I want to study procurement.” D.3.1.6

“Before I had no energy, I used to be idle. After the training I started this beauty salon project. This came after CCL. I am now able to provide for my family.” D.3.2.2

I always thought I had been born into a hopeless situation and this was largely due to the fact that most of family has no education. But I now realise that I am my own person within my family and I have my own potential to achieve much more than I once thought possible K3.2.2
Another notable mind-set change that we see regard family life generally, and specifically the roles of different family members.

‘I now include my wife in the budgeting process whereas as before she wasn’t even entitled to know how much I earned. I now earmark a % of whatever income I receive. I have changed my thinking and the way I approach things and I am now much more focused on my goals’. K2a.2.1

The training has also impacted my personal life and how I interact and communicate with my family. I went home and insisted the need for them to become leaders. At home I now share and reflect during meal time each evening. Before this was a time I tried to avoid. K2a.2.1

In Kisumu specifically, where multiple key informants are from Tier 2a, and therefore CBO leaders, we also finding evidence of the CCL program developing the skills of key informants already in these leadership positions.

‘During my training we found that most of us as leaders live within the comfort zone which is misleading because it is not exposing you to the outside world, which means you cannot take information from others and you cannot give yourself a benchmark. The training gave me understanding of how I can monitor and evaluate my performance together with my people.’ K2a.1.4

6.1.2 Concept Two: Sustainability through on-going Mentoring
As discussed the CCL program was created using the same ‘timeless leadership principles’ as LfH (Waldock, 2015b), but with the key difference that a mentoring relationship takes place following the training, between the trainer and the beneficiary. This concept is therefore essential as we look to test whether this relationship begins and whether it continues.

Contributing Themes
Sustainable change
The continual mentoring process
We find strong evidence that this objective of the CCL program has been accomplished through the responses given by key informants when they were asked if they felt well supported by their trainers.

‘We train 18-30 people at the same time and create long-term relationships, we then run follow-up sessions with whole groups at the same time’. **D2.1.2**

‘Yes we do have that one on one relationship with people. We do not want these people to think that we are like other NGOs who just put on projects because they have some funding and then leave never to be seen again. So we are holding ‘leadership caffes’7 for people to attend where can spur on the leadership development’. **D2.1.7**

‘Peter and Stephen (CCL trainers) have helped me to overcome specific challenges, they are more like friends than teachers. They are always there for us and continue to hold meetings. Having Peter around is good because it is ongoing support.’ **D3.1.1**

‘Once they have been trained I have what is called follow-up. And through these follow-ups I am able to monitor, to spot check and to correct. So if any problems arise I can always advise and correct’. **K2a.1.4**

It is clear from these responses that the structure in which the CCL is administered is conducive to maintaining the mind-set changes that occur as a result of leadership training, and supports ongoing personal development and the development of projects.

### 6.1.3 Concept Three: Formally and Informally Training another Tier

An essential part of the CCL program design is the formal ToT structure in which new associate trainers can be mobilised and thus the training can reach far and wide without the requirement of Emerging Leaders full time staff. Also the idea of the end beneficiaries continuing the ‘leadership conversation’ with other people in their lives is greatly encouraged in order to

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7 A leadership caffé refers to an informal gathering where beneficiaries of the CCL program can meet and discuss any issues they are facing regarding the changes they are implementing as a result of the training. They are designed to enable problem solving and continued leadership development.
contribute to the dispersion of the training. Therefore we are interested in themes which contain evidence of this.

**Contributing Themes**

The desire to pass the training onto others

Reaching the community through the formal and informal training

In Dandora 15 out of the 17 key informants interviewed were tier 3 and therefore intended to be the ‘end consumers’ of the training. By this is it meant that they were only expected to use the training to better their own lives and to engage in community benefiting projects on their own or as part of a team. At the most beneficiaries are encouraged to continue the ‘leadership conversation’ (Waldock, 2015b). However what we find is that people are inspired by what they have learned to the point that they want to pass the full training on to others, formally or informally.

“I want to deliver this to as many people as possible.” **D3.1.1**

“It was me who started the savings group and it has been difficult to earn trust where money is concerned, especially as the people in the savings group did not attend CCL. I had to share these leadership values with the group first.” **D3.2.1**

“When you start a business people see you as a target. I don’t know whether people are customers or robbers and travelling with money is a risk. I am now better equipped to deal with this as when I open a business because I can teach the people around me to change their mind-sets.” **D3.2.5**

The Diagram below shows this new, informally trained tier:
In Kisumu, because the vast majority of informants were from tiers 2 and 2a and therefore already tasked with training new beneficiaries, we do not find these types of responses.

6.1.4 Concept Four: Partnerships

Another essential part of the CCL program’s teaching is the need to partner with others in the community on the basis that ‘we can do more together than we can on our own’, as covered in module 2: ‘Lead your Team’. (Waldock, 2014). Therefore any commonly occurring themes that provide evidence that this is taking place are important to the data analysis.

Contributing Themes
Developing Partnerships for Success
By working together we can achieve more than we can on our own

‘Before I was for me, everything was for myself, you learn to survive on your own. Now I see the importance of sharing and the power of a team in order to start successful projects and better your circumstances’. D3.1.1

“I am now working with the other people who were in my training class and we are taking parts of the training into schools to educate the youth. We are focusing on module one ‘lead yourself’.” D3.1.5

“I have partnered with a friend who runs a computer gaming shop where people pay to play games. I asked him if I could bring my Playstation2 in and he agreed. Now we run
the shop together and keep our respective incomes. We lead each other even though he is older than me by 12 years. This is a partnership I would not have thought of before CCL” D3.2.5

We have also formed out of the training Kisumu East Corporative Society which is enlightening us to know what is expected of us as farmers and how can we cope with such kind of disasters whether they be flood, drought, famine, disease outbreaks and conflicts; we are more able to deal with all of them’. K2a.1.4

However, we also find that the meaning of partnerships, in the way that the program teaches is it, is not clear in some places. Emerging Leaders believes that partnerships within the grass-roots, or put differently the grass-roots partnering with the grass-roots, is what is required, but a number of participants seemed to understand the term to mean partnering with formal organisations and NGOs. Whilst this type of partnership is not discouraged it is seen to be secondary to first attempting to achieve as a community without outside help.

For example some key informants who when asked if they had created any new partnerships first gave the responses:

I have joined a voluntary community health programme where I go around the community to see if people need medical attention and then go to the hospital and inform them of the people they need to visit.’ D3.1.1

‘Since the training we have approached other NGOs such as Plan International and Care International to see what help they can give us’ D3.1.3

‘The county government has allocated 160 million to mobilise the youth and we now need to partner with them to make sure it is spent in the right places’. K2a.1.3

From this it can be seen that whilst the idea of partnering, as defined by the CCL program has been understood, the initial thoughts provoked by the term ‘partnership’ remain consistent with those involving formal organisations.
6.2 Section 2: Community Development

The theoretical rationale behind the leadership development approach of Emerging Leaders have been understood through several development theories including Capacity Building, the Sustainable Livelihoods Approach, Asset Based Community Development and Community Empowerment. As such any themes arising that substantiate this rationale are of interest to the research. The next four concept cover the themes which support these concepts.

6.2.1 Concept Five: Capacity Building

With regards to capacity building there are no contributing themes, however we do find explicit mention of capacity building itself. One of the key informants was Josphat, the director of the Dandora Community Hall where the interviews were held.

“"It was a very good initiative. After the training we came to note that there were things, some capabilities that we were lacking. I myself learned a lot, I got some skills, some knowledge and some leadership. It is actually assisting me and the leaders that we are working with in Dandora. We are seeing a very positive impact in the community. We would like more programmes to further capacity build our leaders and to continue training other leaders.” D3.3.1

Of all the key informants interviewed in both case studies, Josphat was the only one who specifically mentioned the need to continue building the leadership ‘capacity’ of the community. However as shown in concept one, this leadership capacity building has been highly successful and examples of people leading their own lives and the lives of others are many.

6.2.2 Concept 6: Generating Sustainable Livelihoods

Contributing Themes
Income generation and Employment
Crime and Threats to the Community
Savings and budgeting
Returning to the sustainable livelihoods approach theory we understand that a livelihood becomes sustainable when it can recover from shocks and stresses (Chambers and Conway, 1991) and that both soft and hard assets can be used to achieve this (Sanderson, 2009). One category of hard assets is ‘financial’ which includes cash, savings, stocks and remittances. From our key informant interviews we see strong understanding of the need to save and many examples of successful saving. The creation of ‘table banking’ groups was found to be particularly common. Table banking is a system where a group of people build up a pool of joint savings over time and each member is allowed to borrow a certain amount at a time (usually two or three times their actual share) and then repay this loan over a set amount of time at a certain interest rate. The following quotes demonstrate this new understanding and an appreciation of savings as a ‘hard’ asset.

“I have started earning an income to pay for school fees and I have started saving for the future.” D3.1.3

“I have trained many youths, and one in particular group of 12 started a table banking scheme and since the 21st of September last year has raised 2.5million shillings. They want to buy a Matatu (a minibus used for local public transport).” D3.2.3

‘LD has made the community realise that when they have money they need to save enough so that they are able to recover from floods. Although they are unlikely to be able to save enough to make full repairs after damage has occurred all they need is enough to repair a small plot of land to get started again’ K2.1.1

Yes the majority are involved in table banking/village saving and loaning. Some are doing poultry farming, some are doing horticulture, some are doing rice farming and many are doing cotton farming. K2a.1.4

In fact 8 out of 15 in Dandora reported increased savings, and from these responses it is clear that the plan for these savings, whilst being available to help cope with shocks or ongoing stresses, is to be used to gain other ‘soft’ and ‘hard’ sustainable livelihood assets. Of course increased incomes will enable increased savings, and increasing income through diversified streams can be categorised as ‘livelihood diversification’ which according to Scoones (1998) increases sustainability. In order to generate these new income streams many key informants
had developed new skills (human capital). On this basis the following responses support the impact of increased sustainable livelihoods:

“Business has grown. Before it was quite small but now I have learned how to handle people and manage the business. The business has been here for three years but profit was low and I never took it seriously. Now when I hire out or repair speakers I save some of the money, and reinvest some of the money so I can buy more. Before I had 2 speakers and now I have 10. Initially I was working with one person, and now there are 4 of us and we are matching the demand for our speakers. These are people that I have employed.” D3.2.4

“From the table banking group a number of small projects have started including a salon, a shop baking cakes and a soap making business. All the loans taken have been paid back with interest. These businesses have generated employment for other members of the group which of course then contributes to the savings scheme.” D3.3.2

Again in Kisumu we find the same phenomenon:

After high school I ended up addicted to drugs. In March I took the CCL training and it has changed my life. I had been idle. I realised that no one in the town was baking cakes and that all the vendors were purchasing from elsewhere. I bake the cakes through the night and sell them to the shop owners for 10 Kenyan Shillings per cake. K2a.2.3

Before I wasn’t doing anything for income generation. I have now raised my head and have been seeking new opportunities. I have started poultry farming. I want to grow this business and by December I shall have 50 hens to sell for good prices over the Christmas period. K3.2.7

The term ‘Non-Specific Sustainable Livelihood Tool’ is now re-introduced. As discussed, the conventional SLA focuses on generating sustainability through specific, often technocratic methods. In comparison to this, leadership development is training people to identify the methods of creating SL based on their own respective situations. This theory is supported by the fact that the same training has been delivered within both case studies but the characteristics of the case studies differ greatly, especially with regards to how people generate these
livelihoods initially. Thus leadership training, as a general approach is being used effectively to boost the sustainability of these.

It is also possible to approach the SLA equation from a different angle by looking at how reducing ‘shocks and stresses’ can increase sustainability. 12 of 15 key informants in Dandora stated that insecurity was the biggest threat to their day to day lives. When asked whether LD could be used to reduce this the following responses were given:

“The biggest threat in Dandora is security. I believe that leadership training increases people’s ability to create a legal source of income, reducing crime.” **D3.1.4**

“The youth dropping out of school, commonly between class 8 and form 2. This leads them to resort to crime and join gangs. I believe this results because they don’t know how to lead themselves. We need to get leadership development into the schools and teach young people before they reach class 8. This year we have buried 17 young boys, but I believe that LD training has empowered some of these youths. I personally have trained around 20 and the majority of these have felt empowered enough to start working and saving.” **D3.2.3**

In Kisumu security was also seen as one of the most prominent threats to daily life:

‘Hopelessness is now reduced as people are involved in activities, especially the youth and women. There was a lot of theft and laziness and trainings based around economic impact, from other NGOs and the local administration but these have had very little impact. The EL training however has had a direct, stronger, personal impact’ **K2a.1.2**

I think that when people start their projects following CCL this income will remove the need for theft. For example the broiler farmers are in fact mostly men, even though this is typically a women’s job. Through their focus on business the idleness is removed and I think this can reduce crime over time. **K2a.1.5**

However in Kisumu the biggest conceived threat was extreme weather conditions, namely drought and flooding, and the impact of this on food security. The following quotes
demonstrate people view of the relationship between this threat and the CCL program they attended:

We are happy that after the training we came back and disseminated this information to our people to tell them exactly what is expected of them during floods, what it is they are supposed to do to help food security in times of famine, what they do to measure how to cope with the droughts K2a.1.4

For example a typical example of food security. In this area we used to have some cash crop farming, but they were not doing well due to inadequate knowledge of the floods. We have looked into how we can prevent the floods and created a report for our partners highlighting that we needed the waterways in the village excavated and this has been done. Now the volume of water is reduced K2a.1.4

It is clear then that people within the Kisumu case study believe that CCL programme could be used to reduce the ongoing stress of extreme weather. From cross case analysis then we can see that whilst the threats to sustainable livelihoods differ, leadership development as a solution remains constant. Re-affirming our theory of it as a ‘Non-specific Sustainable Livelihood Tool’.

The final point for discussion within this concept regards the involvement of NGOs and the ongoing assistance they provide. In Kisumu it was understood by one key informant that this ongoing assistance was not sustainable and that the CCL program had enabled the community to realise that eventual inter-community sustainability was essential.

We are determined to become fully sustainable and not rely on NGOs for support. To do this we will use the training we were given to know where we are, where we need to be and what we need to do to get there. Dependency is so bad and it contributes to poverty. We need to stamp out this reliance which creates ignorance. K2a.1.4
6.2.3 Concept 7: Asset Based Community Development

Contributing Themes
Establishing and using existing resources

As established, in the Asset Based Community Development model development is supported through an understanding of the resources already available to individuals and communities as opposed to the awarding of new ones. We find many examples of key informants discovering these existing resources as a result of attendance of the program.

‘The most common projects that people are doing are first coming together as a group and thinking about how they can start saving and how they can start small income generating activities. People first think ‘what skills do I have?’ For example somebody thinks ‘ahh I am so good at writing, why don’t I think of a way I can start a business doing this’. There was a group of artists who were doing music as a hobby, but after the training they are now doing it as a business selling CDs and T-shirts. In module one we train what are our dreams, what legacy do we want to leave and what relationships do we have. So people identify what they are good at and use it to better their financial positions D2.1.7

‘After the training I came home and looked around and realised that I had a large area of grass available to be harvested for hay. It was as if money was growing all around me. I have turned my parent’s old house into a store where I can dry out the grass and have bought the equipment to manually bail the hay. I sell this for 300 shilling per bail’ K 2.4

6.2.4 Concept 8: Community Empowerment

Contributing Themes:
Feeling more confident
Develop of partnerships with local authorities and administrations

‘My attitude to life has changed, before I was so shy but now I am more confident. Before I couldn’t speak in front of people but now my self-esteem is higher. I feel that these changes are permanent’ D3.1.4
‘I would request Emerging Leaders to come and further empower our leaders. It is only EL that has actually changed the mind-set of the people living in Dandora’ **D3.3.1**

Here we find some evidence to suggest that community empowerment has taken place but only in an early or preliminary stage. Perhaps with more time the nurturing of these initial personal improvements could lead to community movements that generate empowerment, and therefore it could be argued that the CCL program has generated the initial spark required for this to happen. However this is not a conclusive remark but a minor observation. In Kisumu the case for community empowerment having taken place is much stronger, as quotes like this show:

‘We now have much better local partnerships. We call meeting with the administration, and the local chiefs to talk about community issues. These meeting have happened before but nothing ever came of them, now they are more frequent and have a greater impact’. **K2a.1.2**

‘There is now greater collaboration between the local community and the local administration’ **K2.1.1**

We have managed to get the county government to open up all the rivers and drains to deal with the floods’ **K2a.2.1**

The Administrators of Nycatch area are now communicating with community leaders over community issues. Now we have more meetings and more relevant stakeholders are invited to these. This is empowering the community and increasing the involvement of those most affected by government decisions. **K2a.2.1**

The data collected in Kisumu provides much greater evidence for community empowerment having taken place. One possible reason for this is the use of existing CBOs to deliver the program. Perhaps these more formal structures create better foundations for communities to work together, and are more conducive to community movements generally.

Finally the use of CBOs to deliver the program in Kisumu proved to be particularly effective with regards to community empowerment, and as discussed, it is possible that this is because
these pre-existing formal structures are more conducive to community movements generally. Thus it is recommended that further research is taken into the possibility of utilising these structures, where they exist in Dandora.
Chapter Seven: Conclusion

This research did not set out to establish new theory or to construct a new approach to community development but instead use existing theory to acknowledge and understand the impact of a new development tool; grass roots leadership development as rolled out by Emerging Leaders. Specifically the impact of Emerging Leaders CCL program was researched, with a secondary aim of testing how closely the intended and actual outcomes of the program were. It was established that the research was needed in order to follow up on initial signs that showed the approach to be having a profound impact on the lives of its beneficiaries. The research has demonstrated that the CCL program produces a wide range of tangible impacts that contribute to community development; this has enabled the following two tables to be created. The first table shows the desired impacts found of the CCL program that are intended to catalyse community development, whilst the second table shows the effects of these on community development itself. It was not the aim of the research to make recommendations for program improvement, however this has been done as part of a separate project conducted at the same time as this research.⁸

Table 5: Impacts intended to catalyse community development

<table>
<thead>
<tr>
<th>Impact</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Changing mind-sets from hopelessness to hope</td>
<td>Beneficiaries acknowledged the 7 poverty mind-sets and the detrimental effects of these</td>
</tr>
<tr>
<td>Re-defining leadership</td>
<td>Clear understanding that leadership begins with the self</td>
</tr>
<tr>
<td>Taking responsibility for community issues and the solutions available</td>
<td>Clear acknowledgement that this is the first step to improving the community</td>
</tr>
<tr>
<td>Sustainability through on-going mentoring</td>
<td>Trainers felt able to mentor an ever increasing number of people. Trainees felt well supported by their mentors and benefitted from their continual input</td>
</tr>
</tbody>
</table>

Wide spread impact through encouraging beneficiaries to share the training informally

Many of the key informants have shared what they had learned with others. Some were involved with formally training other parts of the community

Development of partnerships

Clear understanding from many key informants that ‘we can do more than we can do on our own’

Table 6: Successful impacts on community development

<table>
<thead>
<tr>
<th>Impact</th>
<th>Evidence</th>
</tr>
</thead>
</table>
| Generating Sustainable livelihoods | New businesses started leading to increased and diversified income (hard asset)  
Greater value placed on education, key informants wanting to go further in education and parents saving more to ensure they can afford school fees (soft asset)  
Budgeting and increased savings (hard asset) commonly through table banking and savings groups  
Better relationships within the family leading to the inclusion of women in income generating activities (increased income and income diversification-hard asset)  
Belief that over time security issues can be tackled through widespread LD (Potential reduction in ongoing stress)  
Better equipped to deal with extreme weather through disaster preparedness training (soft asset)  
Utilisation of extreme weather resistant crops (hard asset) |
| Community Empowerment          | We find many instances of community empowerment having taken place. In Dandora this is largely in the early stages in which increased community confidence is a prerequisite to empowerment. In Kisumu we see community empowerment taking place through increased involved of communities studied with local government and administration. |
| Capacity Building              | Within this theory it can be argued that to achieve all the above the various capacities required must have been built up. We have added that increasing the leadership capacity of a community is |
central to building all other capacities and therefore we can assume that this has taken place.

| Asset Based Community Development | Many examples are given of people using the assets and resources they had prior to the training to better their situations |

From these tables it is possible to offer answers to research questions one to four of the five established in the introduction\(^9\). A wide range of tangible impacts have been given, and it is shown that the outcomes of the CCL program are, at the very least, close to those which are intended. These tangible impacts have been successfully justified as positive through explanations of them using existing development theory. Research question four specifically has been answered using concept two ‘Sustainability through ongoing mentoring’. In relation to research question five, data suggesting that the CCL is transferable is given as the multitude of impacts found within two case studies of differing characteristics and thus, taking into account the research limitations we are able to conclude that this leadership training approach is successful as ‘Non-specific Sustainable Livelihood Tool’. Additional theory has therefore in fact been constructed, as an extension to the SLA.

### 7.1 Areas for further research

As discussed a key limitation of the research is its inability to generalise the findings and claim that these impacts would occur across a larger study. However, having achieved an understanding of the intended and expected impacts of the program the way has been paved for further research to take place to achieve this. Another limitation is the potential bias in the findings that arises through beneficiaries being selected for interview by the partner organisation. Further research could eliminate this bias through using a random sampling method to select interviewees in which there would more likely be a portion who had seen no positive impacts in their lives following the training. It is also the case that no tier four beneficiaries were interviewed, so whilst tier three often claimed to have passed on the training there it is not possible to know whether this has a positive impact or not, on the reverse side of this one potential negative aspect of the training that has possibly been overlooked is it’s potential to create a divide in the community between those who were beneficiaries and those who were not (ie potential tier four beneficiaries). Finally, and perhaps most importantly it is

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\(^9\) See Chapter 1, page 13
necessary to re-acknowledge how young the program is and to accept that the true sustainability of the impacts recorded cannot be measured. In order to measure this, the same research would need to be carried out in the future featuring the same key informants, creating a timeline of data that shows the durability of impacts over time (Gerring, 2007).
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Appendices

Appendix 1: Principle Teaching of the Certificate in Community Leadership Modules

Appendix 2: Tier 2 Interview Guide

Appendix 3: Tier 2a Interview Guide

Appendix 4: Tier 3 Interview Guide

Appendix 5: Aid Flows to Kenya 1980-2006

Appendix 6: Interview with Tier 2 Associate Trainer, Dandora

Appendix 7: Interview held with Tier 3 Beneficiary, Dandora

Appendix 8: Interview held with Tier 2a Beneficiary and Trainer, Kisumu

Appendix 9: Table of Interviewees Case Study One, Dandora

Appendix 10: Table of Interviewees Case Study Two, Kisumu
Appendix 1: Principle Teaching of the Certificate in Community Leadership Modules

<table>
<thead>
<tr>
<th>CCL Module</th>
<th>Leadership Principles Delivered</th>
</tr>
</thead>
</table>
| Module 1: Lead Yourself | • You are what you think. Our thinking controls our actions, and has the ability to keep us small or enable us to fulfil our potential. Change your thinking, change your life.  
• There are 7 poverty mind-sets that generate hopelessness, these are: Hopeless Thinking, Lazy Thinking, Fixed Thinking, Recycled Thinking, Self-Thinking, Stuck Thinking and Unfinished Thinking.  
• Our lives are like stories being written every day, we must write our own stories and not somebody else do this for us.  
• Mind-set 1: Lift up your head- Every day you must wake up and think about what you want to achieve that day. You must foresee tomorrow’s problems and deal with them today.  
• Mind-set 2: See yourself as a leader- How you see yourself shapes how you live. To see yourself as a leader requires you to: Admit- I am a leader, Ask- what would a leader do in this situation, and Act- Do these behaviours until they become a habit  
• Mind-set 3: Be pro-active- be prepared to deal with the challenges the lie ahead.  
• Mind-set 4: See & Take responsibility- leaders see the issues and do something about them.  
• Mind-set 5: Change Something- if something is not working in your life, then change it.  
• Mind-set 6: Focus- Only focus will take you over the wall of hopelessness. Performance = Potential – Interference.  
• Mind-set 7: Appreciative thinking- Asking yourself what is going well, as opposed to what is going wrong.  
• Developing the heart and character of a leader: Our lives exist for the benefit of others.  
• The five stages to writing your story- establish ‘where am I now’, ‘where do I want to be’, ‘what do I need to focus on?’, ‘who do
I need to partner with?’ and ‘what are the steps from here to there?’.

| Module Two: Lead Your Team | • Leadership happens at every level of our lives: Personal, Relationship, Groups & Team, Organisations & Communities  
• ‘We can do more together than we can on our own’  
• Every team must know and understand its purpose, have a shared vision and know where ‘there’ is  
• Every team must know and understand its values  
• A team leader must ensure that this continues to be the case  
• A team must apply the five stages to reaching success as identified in ‘Lead Yourself’  
• Each team member must know there roles and responsibilities, and these must be based on the talents of the individuals  
• A team has lots of different processes, for example how decisions are made, these processes need to be agreed in advance to avoid problems  
• A team leader must be able to lead in all leadership styles including: coaching, mentoring, delegating and direct instruction |

| Module Three: Lead Your Finances | • Money is a leadership issue, if we don’t lead our money, it will lead us. In order to first lead our finances we have to first lead ourselves  
• The importance of saving- consumption, emergency and investment  
• One saves in order to- a) cope with an unexpected emergency b) buy an asset c) invest in an enterprise d) pay for predicted expenses e) for increased future spending  
• Places one can save- a) merry go round b) table banking c) family d) bank  
• Financial goals and savings plans must be written down and time specific |
Accurate budgeting is critical to meeting financial and savings goals

| Module Four: Lead Your Project | • All projects require a passionate purpose  
• Leaders are realists, they understand and tell the truth about where their project is right now  
• Leaders start by looking at what skills knowledge and resources they have to start their projects- ‘what is in my hand’  
• Appreciative thinking- It is important not to be so focused on what we don’t have that we fail to see what we do have already  
• Every project has to focus on a few key areas if it is to succeed  
• We need to partner with people who can make our project a success |

The LfH-CCL is awarded when the participant has demonstrated the following.

| • Attended all four 2.5 hour modules  
• Actively participated in the discussions in each module  
• Demonstrated an action plan for themselves after each module  
• Actively participated in a local leadership ‘café’ group (where leaders meet to share ideas and support each other)  
• Set up and successfully ran a project that benefits their community  
• |
Appendix 2: Tier 2 Interview Guide

1) What do you think of the CCL program?
2) Are there any modules you would change, or things you would add/take away?
3) Do you think the program is more or less effective than LfH?
4) What are the main factors preventing people from moving out of poverty?
5) How many of your trainees begin their own projects?
6) What are the most common projects?
7) What is the common success of these?
8) What are the most common changes you see in the people you train?
9) What level of support do trainees require after they complete the modules?
10) Do you find enough time for this commitment?

Appendix 3: Tier 2a Interview Guide

1) What has changed in your personal life since CCL?
2) Where do you see yourself in 2-5 years?
3) What does hopelessness look like to you and to your community?
4) What leadership principles can be used to overcome this?
5) What is the most common or biggest threat to livelihood in your community?
6) How has or can leadership development be used to overcome this?
7) Have you developed new partnerships since CCL?
8) Who have you trained in CCL?
9) What changes have these people made to their lives?
10) What types of projects have they started?
11) In what ways do you support these projects as a leaders of the CBO and as their trainer?
12) Would you change anything about the program?

Appendix 4: Tier 3 Interview Guide

1) Has any aspect of your life changed after the leadership training? If so what aspect?
2) For each aspect, in which way?
3) Would you say that these changes are long term/sustainable? Where do you see yourself or your project in the next two – five years? (when did you do the training, do you still feel the same as you did directly after)
4) What does hopelessness look like to you?
5) Which areas of your life were feeling hopelessness before the training and now you have hope?
6) Which leadership principles have you used to bring hope into your life?
7) What are the most common threats or problems to your daily lives?
8) Do you think you are better equipped to deal with this?
9) In what ways have you adapted as a result of LfH/CCL
## Appendix 5: Aid Flows to Kenya 1980-2006

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Source: Mwega (2009)
Appendix 6: Interview with Tier 2 Associate Trainer, Dandora

*Generally speaking, the CCL program, what is your opinion of it?*

In general terms, let me said that it is an opportunity for the community to change their mind-sets on how the perceive leadership to be. Because when the people in the slums hear about leaders they only think of those who have been elected. Those people have a title and a position. But the training enables people to understand what leadership actually is. ‘If I am able to lead myself, then I am a leader’. Generally that’s my opinion, that’s my view.

*Is there anything you would add, take away, or change to the CCL program? Or the way that it is taught, or the structure?*

Personally I see the way it is structured is simple which is a good thing, and it is easy to understand. You see we teach people from different levels, from primary school, secondary school and some who have been to university, we put them all in the same level and they can understand it. From the way it is structured: leading yourself, leading you team, leading your project and leading your finances, I have seen it work. Because you can never lead others if you cannot lead yourself. The majority of the projects in the community fail because they don’t know how to lead their project and they don’t know how to lead their finances. So those are the four basic components when you talk about leadership. For me, I wouldn’t change any of the content but as a trainer I would like to do my own research and add some new things. But the way it is structured it is so easy to understand even someone of 8-10 years can be trained. What we are doing is piloting it in Dandora to see if it is workable, and if it can work in Dandora, and I have seen it work here, then we can reach the whole of Dandora. There needs to be a partnership between the trainers, Emerging Leaders and the local community, because remember this is training that is operating on almost a zero budget. For these participant they are volunteering themselves for 2 and half hours at one time the challenge comes when as a trainer I am trying to mobilize the 25 people in order to train them and then I have to find a venue. So you realise there is preparation work to be done before the training can take place. Another thing I ask is how we can partner with community leaders/gate keepers who can be able to identify venues which are maybe free or who can volunteer their space for the training. When we hold the training at the community hall the country government knows what EL is planning to do. So for us we are able to these things here because they already appreciate what we are doing. But Dandora in the way it is big, trying to get people from different areas I need to find venues that are nearby to all of them.

*So you think the impact of CCL is greater than that of CCL?*

Last time when I spoke to Trevor I told him that when you go for LfH training after the three days you are like, so energised, you have this energy to just go and start something out there. But the difference between LfH and CCL is that if you have good trainers and a good connection with the community then the sustainability of each project created by the groups becomes easier. When I look around at the people I have trained in CCL who have a project they are always so happy in saying that it only took a sentence from one module to enable us to start it. After one week or a month we are still able to meet and discuss the project and talk
about it and that is the difference to LfH. In a smaller group it becomes even easier. As the modules are only 2 and a half hours it is so easy from a person who has a business to lend their time, however in LfH 3 days in a row is a long time to be away from your daily activities. The LfH is very good because it has a lot of inspiration and so many things put together but the one with the long term sustainability structure is CCL.

As a % how many of the people you have trained have started or been involved as a project?

Between 60-70%

And how many of these do you think are going to be successful? How realistic are they?

Some of them are not very realistic, but the most inspiring thing as a trainer that even the worst ideas that are only dreams, in time with opportunity can become the best. They may not be a realistic but at least that somebody believes in themselves as has already started something

What are the most common projects that people start?

The most common projects that people are doing are first coming together as a group and thinking about how they can start saving. In CCL they think about small income generating activities. Remember is CCL they are talking about activities to sustain yourself. So people ask themselves what projects can I do? So people first think what projects and skills do I have?

So you think people focus more on what they already have access to. Do think people discover the ability to acknowledge and access their skills?

Actually that is what is really happening. Somebody thinks ‘ahh I am so good at writing, why don’t I think of a way I can start a business doing this’. There was a group of artists who were doing music as a hobby, but after the training they are now doing it as a business. They did a recording and they were able to produce and brand some CDs and charge 100 shillings in the community for them. They even had t-shirts printed and have sold these. So the kind of business that people are starting is somebody realising, because in module one we train what are our dreams, what legacy do we want to leave, what relationships; that’s how you identify the kind of story that you want. So people identify what they are good at, ‘I am so good at speaking, maybe I can be a trainer, and mobiliser’ or ‘I am so confident I don’t shy away to anyone so if you need me to help mobilise then just call me’.

Once you have trained all these people you then have an ongoing mentoring role. Do you think you will reach a level where you don’t have enough time to mentor them all?

Personally, yes we do have that one on one relationship with people, but what we normally encourage is as a trainer I would rather visit you as a group and have discussion as a team and I give them, let’s say one hour mentoring session with them. So I don’t encourage that every time you need me I will be available but through proper planning we can decide when the best time is. If I am coming to your group I don’t want to find two people there I want at least 5 people so we can have a meaningful conversation.
How many people have you trained in CCL?

I am training with Stephen, and we divide the modules between us. We have trained about 200 people. We started in February and have done about 12 groups. Some have 15 some have 25.

So realistically at the moment you have time to support these people through follow-up meeting?

Yes. The first thing that usual happens is they start savings. So when we meet we are usually discussing two things, how best can we grow our money, and after a week has contributed for 4 weeks they start asking what we shall we do with this money? Shall we start a business together or shall we loan it to some of the members. But majority will lend to people within the group.

Would you like more formal materials for these follow up meetings?

We would only encourage that if the group has grown. For example there was one group of 10 guys but by the time I saw them again they were 20 so it would be good in this scenario to teach the four modules over a one hour session. But the best thing to do is to identify the need of the individual group, for example how to lead your team.

So you are quite comfortable establishing what that need is?

Yes. If a group is experiencing a problems what I usually do identify what the problem is and go to my manual and establish which module it falls under. For example if a group says that they started a project but in the middle of it some members say we should do something a different way, then I can see that the issue of shared division wasn’t truly addressed then I can go a cover this aspect again.

Is there anything else you would like to add?

One thing I have seen is a difference is the organisation in the way they do their things in the community and none of them is doing leadership. The majority are doing things like peace and entrepreneurship. But whilst emerging leaders in doing leadership it is also focusing of projects and when you talk about a project and you tell people you need to go and start a project at times there are some groups think that Emerging Leaders will be helping directly with the projects. In this pilot process lots of people ask how many projects have been started, but by pressuring people to start projects they may only start them because it was one of the requirements of the training. But I have seen people who have changed in their lifestyle and in their relationships but they have not started an income generating or community project. The first team that we trained with, most of them did not start a project but most of them went back to school or became employed. So what I am saying is that this is not a bad thing and maybe there are career people who want to become doctors or lawyers. If that person comes to this class and hears that they have to come up with a project then this can be discouraging. Because of the training I may now be more successful in an interview and be more likely to get a job.
I also think we need a better way of tracking groups. I am doing this piloting on two different levels. Firstly I am training groups that have already formed, and therefore have their own structure etc and I go and talk to their leaders and I arrange for them to come and be taught. The second type of training is through mobilizing individuals and forming new training groups. I need a way to track the progress of these individuals which is harder as they do all reside in the same place. We do not want these people to think that we are like other NGOs who just put on projects because they have some funding and then leave never to be seen again. We want to, after training this group, to be able to hold monthly motivational meetings of which a couple of members from each group we have trained can attend. Holding these ‘leadership caffes’ can spur on the leadership development. It should be a requirement of each training group that 2 members must be in attendance of these meetings in order that they take the take the information and motivation back to their groups.

There is an issue of trust when carrying out training programs. People wonder whether you have been given money to buy refreshment and have just kept it for yourself. People usually don’t understand what leadership development is and this makes it much harder to get people to attend. ‘You expect me to come for two and a half hours and you aren’t even providing refreshments’. It is hard to convey that the content of the training is worth more than a soda! Some people in the community will only come for this, but then at the end of the day you can see someone become transformed. I am not saying we need this I am just saying what other organisations are doing. Remember this is CCL, this is not LfH. LfH you have people from institutions such as Vegpro so mobilisation becomes very easy as they are paid to attend by their employers. But in the community this is not the case. It is this mind-set that we need to change. When NGOs come to Dandora the people will go and see what is being offered and decide whether it is worth their time. When people attend CCL they still have to go and hustle to try and get something to eat after the training. Even if you tell them that what we are providing only a cup of tea or water this can have a huge impact. In this pilot we are not paying any venue charges or material charges. So maybe we need to show them that we value their time, not to bribe them but to make a gesture. The time spent mobilising just one person can be huge. If you just advertise for 50 spaces over the month you may only get half.
Appendix 7: Interview Held with Tier 3 Beneficiary, Dandora

What do you think of the CCL program?

It was a very good initiative. After the training we came to note that there were things, some capabilities that we were lacking. I myself learned a lot, I got some skills, some knowledge and some leadership. It is actually assisting me and the leaders that we are working with in Dandora. We are seeing a very positive impact in the community.

In what ways specifically is this impact visible?

One, after the training we actually took a different route and direction. Before we thought we were doing good but after the training we realised that we are in front and we have to lead by example. You have to show the people where you are going and you have to guage in terms of where you are and where you want to be. You have to have a vision.

So you would say that Emerging Leaders helped you to create that vision?

Yes.

Would you say that LfH or CCL is more beneficial to the community?

Both are very beneficial because, as we speak, we are able to bring the leaders together and train those who have not been trained in leadership. We are seeing these people understand that leadership is about leading yourself and creating an impact within the community. And out of that we have started so many activities which are beneficial to the community. For example in February we sat down and said, as leaders, that we have to bring the young people together and see how we can positively impact their lives. So held a cultural festival for all the performing artists in Embakasi which has 5 sub-counties with a population of 350,000 people. The event was held in Kioni social hall as this was the central place. We managed to mobilise 500 youths. So as leaders we wanted these young people to be able to display their arts. We tried to bring on board some other organisations to help with funding but they said that their mandates did not match ours and they couldn’t help. We had learned that as a leader you must lead from the front. So we sat down and said, as leaders, how can we make this happen? We decided on strategies to meet our goals and reviewed what assets and resources we had available to us. Without a penny for anyone else we managed to put the event on.

Can you see the benefits of the CCL system, compared to that of Leadership for Hope?

Yes because now the leaders, especially Stephen and Peter are driving the projects that driving our community and especially those of the young people. The table banking system in particular is a great success.

What would you say is the biggest threat to livelihoods here?

In Dandora, there is a bad history of insecurity. The problem is the dumpsite which is the location of all the rubbish from all over the city. As a result our young people have formed
illegal groups who live and transact business among the garbage. Any vehicle bringing rubbish to the site is charged.

There is also the problem of the unemployment rate which increases the insecurity. We are now planning with other leaders to see whether we can bring on board the young people to see whether we can change their lives. In fact as we speak there is a church minister who we want to train to bring the young people through the church and out of the dump site, in order to change their fixed mind-sets. On the other side the government has brought in an investor to begin a recycling plant which will create employment.

Do you think these leadership ideas that you are talking about have come from the leadership development programmes you have attended?

Yes the leadership we are using to bring the community together has come from Emerging Leaders. It has changed my attitude to everything.

Is there anything you wanted to add with regards to anything we have spoken about?

Yes I would request Emerging Leaders to come and further empower our leaders. It is only EL that has actually changed the mind-set of the people living in Dandora. We would like more programmes to further capacity build our leaders to continue training other leaders because every week here those leaders that are trained by Trevor and the Emerging Leaders per se are still training other leaders and this is changing the mind-sets and attitudes of the community.
Appendix 8: Interview with Tier 2a Beneficiary, Kisumu

This interviewee was the chairman of a disaster preparedness CBO

What changes have you seen in your personal life as a result of the training?

One, I would say I was partially blind before the training and it was not easy for me to know the direction I was taking my people. But having gone through that training it has shed a lot of light for me and now I can lead my people with confidence. In relation to what we have regarding disaster this is a flood prone area and generally when there is rains uphill it end comes downhill and ends up here. It is worse when it happened at night and takes us by surprise. So we asked ourselves what is the way forward. Talking about disaster preparedness was not enough. We said to ourselves, ‘are we doing it blindly or in the correct way?’ During my training we found that most of us as leaders live within the comfort zone which is misleading because it is not exposing you to the outside world, which means you cannot take information from others and you cannot give yourself a benchmark. The training gave me understanding of how I can monitor and evaluate my performance together with my people. Out of the training we have been able to partner with other development partners, including World Vision, micro-finance organisations like AFC (agricultural farmers corporation), CODA (cotton development authority, and the ASDP and the county government. We have also formed out of the training Kisumu East Corporative Society which is enlightening us to know what is expected of us as farmers and how can we cope with such kind of disasters whether they be flood, drought, famine, disease outbreaks and conflicts; we are more able to deal with all of them. We are happy that after the training we came back and disseminated this information to our people to tell them exactly what is expected of them during floods, what it is they are supposed to do to help food security in times of famine, what they do to measure how to cope with the droughts. What they need to do in case of any disease outbreak. We were already a registered group, but from the training we can see that most of us were living within the comfort zone, and that if this is not helping the community then we can explore other areas and make changes and try other strategies. For example a typical example of food security. In this area we used to have some cash crop farming, but they were not doing well due to inadequate knowledge of the floods. We have looked into how we can prevent the floods and created a report for our partners highlighting that we needed the waterways in the village excavated and this has been done. Now the volume of water is reduced. So then we asked what other crops we can have in our farms. We are now addressing cotton farming. We have partnered with the local government to get training in cotton farming, and they have given us cotton seeds to start production. We are also applying to the minister of agriculture from education on starting up fisheries, poultry farming. So we are trying to move out of our comfort zone. But still what we are lacking so much is the ability to get this training to all the people. We do not have the means to do this, the means to hold events. So although this training has brought us a lot of hope we need more training within the community because education is a continuous process.

We are asking ourselves, ‘if the normal cereals are not doing well then what can we change?’ Cotton farming is just one example of this as it is a drought resistant crop. Training is important and we ask if there is any opening that we can send more members of the community. When the training was on first I went alone. What is also lacking is other resources, we have human and time resource but we are lacking training materials.
We are determined to become fully sustainable and not rely on NGOs for support. To do this we will use the training we were given to know where we are, where we need to be and what we need to do to get there. Dependency is so bad and it contributes to poverty. We need to stamp out this reliance which creates ignorance.

Currently we don’t have an evacuation centre during floods, currently everyone just head for higher ground but when the floods come at night this is not possible.

**How many people did you train in CCL?**

There were 45 in group. The modules were spaced out weekly.

**What does hopelessness look like to the community?**

Because of rampant poverty and orphans as a result of HIV, you find that a child wakes up in the morning and knows maybe only a meal in a day. And especially during floods when everything has been washed away you find the community has been living a hopeless life. The crops have been washed away and whatever cereals they had have been soaked through. This is result to a lot of divorce and separation cases. This can overcome by a continuous education in leadership which will teach groups to use the available resources.

**Have many of the people you have trained started income generating or community projects?**

Yes the majority are involved in table banking/village saving and loaning. Some are doing poultry farming, some are doing horticulture, some are doing rice farming and many are doing cotton farming.

**Do you find that these people rely on you as a mentor?**

Yes they rely on me because I have that knowledge to impart to them.

**And how often do you help these people with their project?**

Once they have been trained I have what is called follow-up. And through these follow-ups I am able to monitor, to spot check and to correct. So if any problems arise I can always correct. So I have ‘continuous spot-checks’ of the projects that have been initiated, and from there we can evaluate, using objectives, whether they are being achieved or not.
## Appendix 9: Table of Interviewees Case Study One, Dandora

<table>
<thead>
<tr>
<th>Interviewee</th>
<th>Type</th>
<th>Age</th>
<th>Gender</th>
<th>Data</th>
</tr>
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<tbody>
<tr>
<td><strong>Day 1</strong></td>
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<td></td>
<td></td>
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</tr>
<tr>
<td>1. Dandora Tier 3</td>
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<td>24</td>
<td>Male</td>
<td>25/05/2015</td>
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<td>2. Dandora Tier 2</td>
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<td>34</td>
<td>Male</td>
<td>25/05/2015</td>
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<tr>
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<td>25</td>
<td>Female</td>
<td>25/05/2015</td>
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<td>25/05/2015</td>
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<tr>
<td>5. Dandora Tier 3</td>
<td>Semi structured</td>
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<td>Female</td>
<td>25/05/2015</td>
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<td>6. Dandora Tier 3</td>
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<td>Female</td>
<td>25/05/2015</td>
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<td>7. Dandora Tier 3</td>
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<td>Male</td>
<td>25/05/2015</td>
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<td></td>
<td></td>
</tr>
<tr>
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<td>2. Dandora Tier 3</td>
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<td>Male</td>
<td>26/05/2015</td>
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<tr>
<td>3. Dandora Tier 3</td>
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<td>26/05/2015</td>
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<td>4. Dandora Tier 3</td>
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<td>Male</td>
<td>26/05/2015</td>
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<td>5. Dandora Tier 3</td>
<td>Semi structured</td>
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<td>Male</td>
<td>26/05/2015</td>
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<td><strong>Day 3</strong></td>
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<td>3. Dandora Tier 3</td>
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<td>Male</td>
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## Appendix 10: Table of Interviewees Case Study Two, Kisumu

<table>
<thead>
<tr>
<th>Interviewee</th>
<th>Type</th>
<th>Age</th>
<th>Gender</th>
<th>Data</th>
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<tr>
<td><strong>Day 1</strong></td>
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<td></td>
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<td>1. Kisumu Tier 2</td>
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<tr>
<td>2. Kisumu Tier 2a</td>
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<td>02/06/2015</td>
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<td>3. Kisumu Tier 2a</td>
<td>Semi structured</td>
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<td>Female</td>
<td>02/06/2015</td>
</tr>
<tr>
<td>4. Kisumu Tier 2a</td>
<td>Semi structured</td>
<td>48</td>
<td>Male</td>
<td>02/06/2015</td>
</tr>
<tr>
<td>5. Kisumu Tier 2a</td>
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<td>Male</td>
<td>02/06/2015</td>
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<tr>
<td>Day 2</td>
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<td>Male</td>
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<td>2. Kisumu Tier 3</td>
<td>Group Interview: 9 key informants</td>
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<td>5x Male 4x Female</td>
<td>03/06/2015</td>
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<tr>
<td>3. Kisumu Tier 3</td>
<td>Semi structured</td>
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<td>Male</td>
<td>03/06/2015</td>
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<tr>
<td>4. Kisumu Tier 3</td>
<td>Group Interview: 11 key informants</td>
<td>20-60</td>
<td>5x Male 6x Female</td>
<td>03/06/2015</td>
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<td>5. Kisumu Tier 2a</td>
<td>Semi structured</td>
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<td>Male</td>
<td>03/06/2015</td>
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<tr>
<td>6. Kisumu Tier 3</td>
<td>Group Interview: 3 key informants</td>
<td>25-60</td>
<td>1x Male 2x Female</td>
<td>03/06/2015</td>
</tr>
</tbody>
</table>
Faculty of Technology, Design and Environment

Ethics Review Form E1

This form should be completed by the Principal Investigator / Supervisor / Student undertaking a research project which involves human participants. The form will identify whether a more detailed E2 form needs to be submitted to the Faculty Research Ethics Officer.

Before completing this form, please refer to the University Code of Practice for the Ethical Standards for Research involving Human Participants, available at http://www.brookes.ac.uk/Research/Research-ethics/, and to any guidelines provided by relevant academic or professional associations.

It is the Principal Investigator / Supervisor who is responsible for exercising appropriate professional judgement in this review. Note that all necessary forms should be fully completed and signed before fieldwork commences.

Project Title:

Principal Investigator / Supervisor:

Student Investigator:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Does the study involve participants who are unable to give informed consent? (e.g. children, people with learning disabilities, unconscious patients)</td>
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<tr>
<td>2.</td>
<td>If the study will involve participants who are unable to give informed consent (e.g. children under the age of 16, people with learning disabilities), will you be unable to obtain permission from their parents or guardians (as appropriate)?</td>
</tr>
<tr>
<td>3.</td>
<td>Will the study require the cooperation of a gatekeeper for initial access to groups or individuals to be recruited? (e.g. students, members of a self-help group, employees of a company, residents of a nursing home)</td>
</tr>
<tr>
<td>4.</td>
<td>Are there any problems with the participants’ right to remain anonymous, or to have the information they give not identifiable as theirs?</td>
</tr>
<tr>
<td>5.</td>
<td>Will it be necessary for the participants to take part in the study without their knowledge/consent at the time? (e.g. covert observation of people in non-public places?)</td>
</tr>
<tr>
<td>6.</td>
<td>Will the study involve discussion of or responses to questions the participants might find sensitive? (e.g. own drug use, own traumatic experiences)</td>
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<tr>
<td></td>
<td>Question</td>
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<td>7</td>
<td>Are drugs, placebos or other substances (e.g. food substances, vitamins) to be administered to the study participants?</td>
</tr>
<tr>
<td>8</td>
<td>Will blood or tissue samples be obtained from participants?</td>
</tr>
<tr>
<td>9</td>
<td>Is pain or more than mild discomfort likely to result from the study?</td>
</tr>
<tr>
<td>10</td>
<td>Could the study induce psychological stress or anxiety?</td>
</tr>
<tr>
<td>11</td>
<td>Will the study involve prolonged or repetitive testing of participants?</td>
</tr>
<tr>
<td>12</td>
<td>Will financial inducements (other than reasonable expenses and compensation for time) be offered to participants?</td>
</tr>
<tr>
<td>13</td>
<td>Will deception of participants be necessary during the study?</td>
</tr>
<tr>
<td>14</td>
<td>Will the study involve NHS patients, staff, carers or premises?</td>
</tr>
</tbody>
</table>

If you have answered 'no' to all the above questions, send the completed form to your Module Leader and keep the original in case you need to submit it with your work.

If you have answered 'yes' to any of the above questions, you should complete the Form E2 available at [http://www.brookes.ac.uk/Research/Research-ethics/Ethics-review-forms/](http://www.brookes.ac.uk/Research/Research-ethics/Ethics-review-forms/) and, together with this E1 Form, email it to the Faculty Research Ethics Officer, whose name can be found at [http://www.brookes.ac.uk/Research/Research-ethics/Research-ethics-officers/](http://www.brookes.ac.uk/Research/Research-ethics/Research-ethics-officers/)

If you answered 'yes' to any of questions 1-13 and 'yes' to question 14, an application must be submitted to the appropriate NHS research ethics committee.

Signed: [Signature]  Principal Investigator /Supervisor  
Signed: [Signature]  Student Investigator  

Date: 13.05.15