EAST AFRICAN COMMUNITY
LAKE VICTORIA BASIN COMMISSION SECRETARIAT

POPULATION, HEALTH AND ENVIRONMENT (PHE)

DRAFT PROTOTYPE
POPULATION, HEALTH AND ENVIRONMENT (PHE)
TRAINING MANUAL

USAID
FROM THE AMERICAN PEOPLE
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Table of Contents

FOREWORD ................................................................................................................................. v
ACKNOWLEDGEMENTS ................................................................................................................ v
ACRONYMS ................................................................................................................................. vii
BACKGROUND AND RATIONALE OF PROTOTYPE PHE CURRICULUM ................................. 8
Introduction .................................................................................................................................... 8
Who is the Manual For? .............................................................................................................. 9
Structure of Manual .................................................................................................................... 9
Climate Setting ........................................................................................................................... 10
Preparation ..................................................................................................................................... 10

MODULE 1: POPULATION HEALTH AND ENVIRONMENT BASICS ........................................... 11
1.1. Introduction ......................................................................................................................... 11
Session 1: Definition of PHE Concepts ...................................................................................... 13
Session 2: Linkages among PHE issues ..................................................................................... 14
Session 3: PHE Programme Background .................................................................................. 16
Session 4: Models of PHE & Community Mobilization ............................................................ 19
Session 5: Future Directions and challenges .......................................................................... 20

MODULE 2: ADVOCACY AND COMMUNICATION OF PHE ....................................................... 22
2.1 Introduction ........................................................................................................................... 22
Session 1: Definition of PHE Concepts (RECAP) ..................................................................... 24
Session 2: Advocacy Strategy .................................................................................................... 28
Session 3: Policy engagement process ....................................................................................... 30
Session 4: Use of BCC to communicate PHE Results ............................................................... 31
2.7 Evaluation ............................................................................................................................. 34

MODULE 3 – GENDER AND PHE .............................................................................................. 35
Session 1: Definition ................................................................................................................. 35
Session 2: Types of Power ......................................................................................................... 36
Session 3: Roles of Men and Women........................................................................................ 37

MODULE 4: RESOURCE MOBILIZATION FOR PHE ................................................................. 43
Session 1 Introduction ............................................................................................................... 43
Session 2: Definition of concepts .............................................................................................. 44
Session 3: Use of Strength, Opportunities Areas of Improvement and Challenges (SOAC) Process to Create IGA Ideas .................................................................................. 45
Session 4: Common Elements of Grant Proposal ................................................................... 53
The Lake Victoria Basin Commission recognizes the strong inter-linkages and interrelationships between health and environment. It is a known fact that people's health relies on the health of their environment and damage to or disruption of the environment can have severe consequences on human health. Likewise, poor health leads the people to destroy the environment on which they depend for their livelihoods. These multifaceted health and environmental challenges therefore call for integrated solutions. The Lake Victoria Basin Commission received funds from the USAID East Africa to implement an Integrated Population, Health and Environment (PHE) Program. The Integrated PHE Program addresses health and environmental challenges in the basin in an integrated manner.

As part of its broad regional coordination mandate provided for in the Protocol for Sustainable Development of Lake Victoria Basin, LVBC provides technical guidance to state and non-state actors involved in PHE Programming in Lake Victoria Basin. This mandate of LVBC therefore prompted the need to develop a document that could guide training of all stakeholders in PHE Programming. Capacity building is necessary to enable stakeholders implement targeted PHE initiatives. Against this background, the LVBC PHE Program commissioned development of a regional prototype PHE training manual.

This manual was developed through a consultative process that involved collection of views from EAC Partner States, various governmental and non-governmental stakeholders as well as review of existing similar and related curricula globally and in the region. The manual is an interactive tool that actively involves participants in the learning processes of discussions, identification of trainer’s own learning style, training exercises, conducting training needs assessments, developing action plans, and visual aids as well as training practice sessions which are critiqued. The training manual is, therefore, designed in such a way that the trainers, who are the target consumers/users of this curriculum, can cascade it at all levels of need that is national, regional, local/district and community across the member states. Each module has a set of trainer resources, participant materials, training evaluation tools, and reference materials for further reading. In addition the manual also presents instructions to the trainers, pre-test and post-tests as well as a sample seven-day training programme.

I therefore wish to make a special appeal to all our EAC Partner States to support the adoption and implementation of this PHE Prototype training Manual. I also urge all stakeholders involved in PHE Programming in the basin to use PHE Prototype training Manual for training needs of their programmes.

LVBC wishes to thank all those who contributed in various ways towards the development of this PHE Prototype training Manual. Specifically, we wish to thank USAID EA for the financial support.

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ACKNOWLEDGEMENTS

The preparation of this PHE Prototype training manual could not have been possible without the support of a number of individuals and Institutions. I therefore wish to thank the Lake Victoria Basin Commission Secretariat for entrusting me with the task of preparing this manual. I specifically thank Dr. Doreen Othero the LVBC Regional Program Coordinator for the Population, Health and Environment (PHE) Program for her invaluable technical support.

I also sincerely thank the various respondents from governmental and non-governmental organizations in the EAC Partner States in general and the National PHE Networks in particular for their invaluable contribution that led to the success in data collection. These formed the basis for identifying the training needs that informed development of the manual.

I wish to thank Pathfinder International, Population Reference Bureau, PHE Technical Working Group members, all the CSOs that provided valuable inputs for the development and validation of the Prototype training Manual. My gratitude to Nestor Mburente (AVEDEC- Burundi); Abdul Karim Utazirubanda of Rwanda and Milton Bwibo (Population Studies & Research Institute, University of Nairobi/Kenya) for their assistance with data collection in Partner states. I also thank Charles Khakali Olenja (Demographer/Freelance consultant, Kenya) for his important insights and information for the preparation of the manual.

Preparation of this manual would not have been possible without the use of numerous materials from existing Population Health and Environment training manuals from the Global Health Learning website; Measure Evaluation; Pathfinder International, USAID, Population Reference Bureau (PRB); IPPF among others.

Finally, my sincere gratitude go to the Regional PHE Technical Working Group and the team of validators from the EAC Partner States whose inputs immensely improved the quality of the manual.

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ACRONYMS

AusAID – Australian Agency for International Development
CBO – Community Based Organization
CBWs – Community Based Workers
EAC – East Africa Community
FP – Family Planning
IGAS – Income Generating Activities
IPPF – International Planned Parenthood Federation
IPOPCORM - Integrated Population and Coastal Resource Management
LVB – Lake Victoria Basin
LVBC – Lake Victoria Basin Commission
M&E - Monitoring and Evaluation
NGO – Non-Governmental Organization
PHE – Population Health and Environment
PRB – Population Reference Bureau
RH – Reproductive Health
SOAC – Strength, opportunities, Areas of improvement and Challenges
SDG – Sustainable Development Goals
SDC – Swiss Agency for Development and Cooperation
TOT – Training of Trainers
UNDP – United Nations Development Programme
USAID – United States Agency for International Development
WHO – World Health Organization
**Introduction**

Evolution of population, health and environment approach commenced some three or so decades ago with some community-based development and conservation projects experimenting by combining efforts to help communities manage and conserve their natural resource base with efforts to improve their health and access to family planning information and services. The projects that came about as conservation or community development projects focusing on natural resource management found that women presented themselves and requested for assistance to plan pregnancies and improve the health of their communities. Those projects or programmes evolved into the current population, health, and environment (PHE) projects leading to the PHE approach in development programmes.

Population dynamics, human health and well-being and environmental sustainability are interlinked. By 2050 the world’s population is projected to increase from 7 billion in 2011 to 9.6 billion. The growing population is influencing demand for critical natural resources and services alongside the considerable environmental pressures resulting from unsustainable consumption patterns. Advancing the multi-sectoral integrated Population, Health and Environment (PHE) approach therefore offers an opportunity for sustainable development. PHE can positively influence population growth, health and environmental conservation patterns by enhancing resilience of communities, helping balance environmental protection, natural resource use and human well-being.

PHE initiatives use an integrated approach to achieve sustainable development by improving access to health services, especially family planning and reproductive health (FP/RH), while also helping communities improve livelihoods, manage natural resources, and conserve critical ecosystems. The PHE approach could therefore be an integral part of the implementation process of the 2015 Sustainable Development Goals (SDGs). In addition, opportunities exist for the PHE community to collaborate with other environment and development sectors such as the resilience and climate change communities, which are looking at environmental change and community response, to demonstrate the benefits that PHE integration can provide.

The Lake Victoria Basin Commission (LVBC), a specialized institution of the East African Community (EAC), is provided for under Article 114 of the Treaty for Establishment of the East African Community (1999) and specifically under Article 33 of the Protocol for Sustainable Development of Lake Victoria Basin (LVB). The LVBC is responsible for coordinating the sustainable development agenda of the Lake Victoria Basin. The LVBC commissioned the development of a proto-type PHE training curriculum to be used to build capacity of different target groups at national, regional, district and community levels within the EAC member states. The PHE Programme is funded by the United...
States Agency for International Development (USAID) East Africa office. The LVBC has identified a need for capacity building in order to implement the PHE programme at various levels targeting different groups involved in the PHE programme.

Who is the Manual For?
The PHE prototype curriculum for LVBC is designed for policy and decision-makers, programmers, implementers, researchers, and target beneficiaries. It is an interactive tool that actively involves participants in the learning processes of discussions, identification of trainee's own learning style, training exercises, conducting training needs assessments, developing action plans, and visual aids as well as training practice sessions which are critiqued. The inherent assumption is that for sustainable development agenda to be realized the use of integrated PHE development approach, is necessary. The training manual is, therefore, designed in such a way that policy and decision-makers, programmers, implementers, researchers, and target beneficiaries, who are the target consumers/users of this curriculum, can cascade it at all levels of need that is national, regional, local/district and community across the member states. Adult learning principles are applied throughout the training to guide and assist the participants to retain the information learned. The prototype curriculum is designed to actively involve the participants in the learning process. Each module has a set of trainer resources, participant materials, training evaluation tools, and reference materials for further reading.

Development of the Manual
The preparation of this manual was informed by a review of sector specific training manuals from some partner states as well as specific policies and a training needs assessment survey carried out in EAC member states (detailed results are in the process report). Further a review of manuals from non-partner states was also undertaken as well as a review of past PHE projects.

Structure of Manual
The training prototype curriculum manual has a background and rational section, and six modules. The contents of the manual are: 1) Background and Rationale 2) PHE Basics, 3) PHE Advocacy and Communication, 4) Gender and PHE 5) Resource Mobilization and Livelihoods 6) PHE Sustainability and 7) PHE Monitoring and Evaluation. These modules are explained in detail in subsequent sections below. The identification of these six key areas was derived from the analysis of the training needs’ assessment carried out in the member states during August/September 2015.
Climate Setting

Preparation

- Collect the materials needed:
  - Flipchart stand
  - Masking tape
  - Coloured marker pens
  - Scissors
  - Name tags of participants
  - Basket or paper box
  - A notebook (pad of paper) for each participant
  - A pen for each participant
- Label one flipchart paper (newsprint) for each of curriculum foe PHE, the following words: “Expectations” and “House Rules”, respectively
- Make one flipchart paper (newsprint) with the objectives sections set out details process of the training and the training agenda

Instructions:

1. Welcome everyone.
2. Pass around a basket or box with nametags of all participants. Ask for each person to pick a nametag of one of the participants and try to find that person.
3. Once they locate that person, they should interview him/her.
4. Give the participants 10 minutes for the interview, in which they ask the following questions (list these on flipchart paper beforehand):
   - Who are you?
   - Share one positive childhood memory.
   - What do you wish to learn from this training?
5. Ask participants to introduce the person they interviewed to the rest of the group and state their expectations from the training. (Note: List these on a flipchart paper labeled “Expectations”)
6. Review participants’ expectations.
7. Review workshop objectives prepared in advance on flipchart paper or power point presentation. Compare these with participants’ expectations. If there are participant expectations that will not be met during this workshop, assure participants these will be considered for future trainings.
8. Review the agenda for the training and explain how the agenda links to achieving the workshop objectives.
9. Discuss house rules that the participants would like to adopt for the duration of the training to help achieve the workshop’s objectives and agenda. (Note: List the rules that were agreed upon by the group on the flipchart paper labeled ”House Rules” and post the list on the wall.)
**Introductory Session**

Population, health, and environment (PHE) is an approach to Sustainable Development that integrates health and environmental conservation initiatives in order to seek synergistic successes for greater conservation and human welfare outcomes contrary to sector-specific approaches.

Globally, community-based development programmes that link interventions in PHE have demonstrated promising results in communities around the world. Evolution of PHE approach and programmes demonstrate the critical and important role integrated PHE concept plays in areas where demographic trends such as growth and migration place pressure on the environment; where degraded natural resources impact the health and livelihoods of local communities; and where a lack of effective health services, including reproductive health, threaten human livelihoods and long-term prospects for sustainable development. The integration of interventions in the PHE sectors is leading, anecdotally, to greater outcomes than if the interventions are implemented separately. PHE operates with the assumption that people, their health, and the environment are interrelated and interdependent; changes in the number, state, and/or distribution of any of the above affects the others because human needs, their livelihood and a healthy environment are linked by chains of cause and effect.

**Learning Objectives:**
The aim of this module to provide a broad-based knowledge of the integrated population, health and environment approach that fosters improved livelihoods and long-term sustainable development at various levels: local (community/district), national and regional (East African Community) for the inhabitants of the Lake Victoria Basin.
Module objectives
Specifically the learners will be expected to:

- To define population (P), health (H) and environment (E)
- To articulate linkages among PHE issues
- To identify the historical precursors of PHE programmes
- To recall the defining characteristics of PHE programmes worldwide and provide examples of the kinds of interventions associated with them
- To list the benefits that can result from implementing PHE interventions in an integrated manner
- To indicate the ways in which community participation is a central component of PHE programme design and implementation, and outline various models of community involvement in PHE projects
- To list some of the current challenges and future directions of PHE programming

Target Audience

- Programme Managers/Implementers
- Policy/decision-makers/planners
- Community-based organizations (CBOs)
- Non-governmental Organizations (NGOs)

Content

- Session 1: Definition of PHE concepts
- Session 2: Linkages among PHE issues
- Session 3: PHE Programme Background
- Session 4: PHE Programming
- Session 5: Models of PHE and Community mobilization
- Session 6: Future Directions and challenges

Materials Required

- Flipcharts Paper and Stand
- Markers (Assorted Colours)
- Writing pads and pens
- LCD and Laptop Plus Screen

Methodology

The training will incorporates a mix of PowerPoint presentations, small group tasks, case studies and plenary discussions. There will also be site visits as well as audio presentations

Evaluation

Module Evaluation will be carried out through pre and post-test questionnaires
**Session 1: Definition of PHE Concepts**

**Facilitator Notes/Instructions**
1. Ask participants what they understand about PHE. Write their answers on a flipchart.
2. Review what PHE is.

**Definition of Population (P), Health (H) and Environment (E)**

**P** = Population and it is the number of people and changes taking place among the numbers for example increase through births and in-migration and reduction through deaths and outmigration. Management of population involves provision of services such as voluntary family planning information and services to address increasing numbers through births and promote birth-spacing, maternal and new born health care, and other reproductive health (RH) practices.

**H** = Health can be a variety of interventions but usually involves water, hygiene, sanitation and/or maternal and child health, Malaria prevention, nutrition, HIV/AIDS among others

**E** = Environment can include protected area management and biodiversity conservation (preserving the abundance and variety of all species including endemic, endangered, microscopic and more complex organisms on land and water). It can involve a variety of approaches—watershed management, sustainable agriculture, climate change, natural resources management

PHE projects also often include targeted additional components that go beyond the P, H, and E pillars while supporting the integration of the components. Such components include focused efforts to support greater gender equity and improved alternative livelihoods, such as female and youth engagement in: natural resource management governance; adoption of time, health and fuel-saving technologies such as fuel-saving stoves; and/or alternative livelihoods that improve environmental health and improved household health or income, such as launching tree nurseries or bee keeping initiatives.

PHE is an approach to sustainable development that combines population, health and environmental initiatives in order to achieve synergistic successes for greater conservation and human welfare outcomes than single sector approaches.

The assumption inherent in this approach is that human populations, their health and particularly their sexual and reproductive health and rights-and the environment are closely interrelated, and any change in either of them affects the others. Changes in the environment affect human health and changes in human population affect the environment.
**Reasons for PHE Integration are:**

- It addresses root causes of development challenges
- It enhances relationships among groups and individuals
- It addresses needs of different communities at the same time
- It achieves economic efficiencies
- It builds upon existing frameworks
- It encourages broader community participation
- It fosters synergy from combination in:
  - Social systems & ecosystems that are interrelated and linked
  - Whatever effects one system affects the other system
  - Small improvements in either system reinforce each other
  - Turning around both systems from degradation to health

**Types of integration for PHE**

1. **Parallel:** Activities/projects are performed or conducted in a single area or space without any coordination among them or among organizations
2. **Coordinated:** Activities/projects are performed or conducted in a same area or space, where some level of coordination exists among entities or organizations without necessarily working in a formal way together but rather coordinating efforts on separate activities or projects.
3. **Cross-sectoral:** Activities/projects that involve different sectors, though they may not fully unify their efforts. This type of integration aims to link the different sectors at least conceptually, but may not link them operationally
4. **Integrated:** Activities/projects involving several sectors that are conceptually and operationally linked.

**Session 2: Linkages among PHE issues**

**Facilitator Notes/Instructions**

1. The session should start with a brainstorming session on the participants’ understanding of the linkages between PHE by giving examples
2. The responses should be written on the Flipchart.
3. This should be followed by the Power Point presentation o which highlights the following:

**Overview of population dynamics**

Population studies and demography is concerned with the study of human population with respect to its size, composition and distribution and causes and consequences of changes in these characteristics. Population change takes place through fertility, mortality and migration.

Changes in fertility are caused by background characteristics and intermediate factors which could be biological or behavioral. Causes of mortality include background factors,
biological and environmental factors. Push and pull factors lead to migration.

**Overview of health dynamics**
Availability of adequate health-care services for any population requires a delicate balance between a population's health needs, available resources and state of environment. This also requires equitable and efficient allocation and use of available resources. To achieve quality health care requires proper strategies since good health is a prerequisite to socio-economic development.

**Overview of the environment sector**
Human populations are intimately reliant on the environment for survival. Societies all over the world require land, water and the atmosphere for basic requirements in life. The environment sector is the bedrock for the economic, social and political pillars in development as the principal source of natural assets. A good state of environment is necessary for economic development, high standards of living and good health. However, there is a limit to the population size which the environment can support in harmony with other species and ecosystems that are needed to make the human existence possible.

While these environmental limits can be stretched significantly with advances in technology, extremely rapid population growth coupled with large inequities of growth, wealth, and rights across an economy and the somewhat sluggish improvements in technology experienced by many developing economies, will lead to rapid degradation of natural resources and stagnating or increasing levels of poverty, poor health, and persistent and economically stifling gender inequalities across an economy.

**Interrelationships between PHE**
PHE integration is a development approach that recognizes the interconnectedness between people and their environment and supports multi-sector collaboration and coordination. Integrated projects incorporate both reproductive health and environmental interventions which can lead to potentially synergistic successes and more fruitful and sustainable greater outcomes. This concept is defined by Population Action International (PAI) as “linkage” within a community or group of communities, of natural resource management or similar environmental activities and improvement of reproductive health, always including but not limited to provision of family planning services” (Engelman, 2005, p14). The Population Reference Bureau (PRB) defines PHE as an “approach to development that recognizes the interconnectedness between people and their environment and supports multi-sectoral collaboration and coordination.

For the last few decades, population and health interventions generally involve the delivery of family planning information and services and increasingly have ensured support for basic maternal and reproductive health care, and STIs and HIV/AIDS prevention education and care. Current PHE projects also, integrate water, sanitation,
malaria prevention or child health. Environmental goals of these projects include biodiversity conservation and sustainable natural resource management such as sustainable agriculture, sustainable fisheries and community conservancies.

**Session 3: PHE Programme Background**

*Facilitator Notes/Instructions*

1. The session should start with a PowerPoint presentation on PHE programme background
2. The presentation highlights the following:
   - That PHE programmes are founded on integrated rural development programmes and integrated conservation and development projects of the 1970s and 1980s
   - There is no single universally accepted model of PHE integrated programmes
   - PHE programme is a *coordinated set of activities that includes goals and interventions in the population, health, and environment sectors*
   - *Integration of interventions in these sectors can lead to greater outcomes than single sector interventions*

Should include elements of:
- Livelihood development
- Poverty reduction
- Food security
- Good governance

- PHE programmes arise when an ongoing programme (e.g., a programme focusing on community-based natural resource management) integrates new activities from a different sector
- Many PHE projects arise out of the expressed needs of the community
- Although PHE programmes are as varied as the conditions they address, *most are implemented at the community level and community mobilization is a key component*
- PHE programmes are *best suited in areas with one or more of the following prevailing conditions:*
  - Where demographic trends such as growth and migration place pressure on the environment
  - Where degraded natural resources impact the health and livelihoods of local communities
  - Where a lack of effective comprehensive health services, including reproductive health, threaten long-term prospects for sustainable development

*Designing a PHE programme could mean:*
- Creating a new project from the ground up
- Adding new interventions to an existing programme, or
- Finding ways to improve the coordination of single-sector activities that are already occurring in your area
There are a number of PHE projects and programmes in the East Africa Region that have been funded through donor support more specifically by USAID; Woodrow Johnson, Path among others.

**Session 4 PHE Programming**

By the end of the session participants should be able to:

- List the benefits that can result from implementing PHE interventions in an integrated manner
- Articulate PHE linkages
- Select PHE Interventions

**Facilitator Instructions**

1. Ask participants to list benefits that can accrue from implementing PHE interventions in an integrated manner.
2. Write the responses on a flipchart
3. Power point presentation on PGHE programming
4. The presentation highlights the following:
   - *A successful PHE programme does NOT try to address ALL the environment, health, or population challenges in a community.*
   - A critical assessment of the nature of PHE linkages at the local level can take time and effort, but a clear articulation of the linkages is critical to selecting appropriate and effective interventions.
   - When PHE interventions are planned and implemented in an integrated fashion, greater results can be achieved than single-sector interventions or interventions in several sectors that are carried out side-by-side.
   - In comparison to single-sector projects, family planning efforts that are part of a PHE programme can gain greater access to and interaction with men and adolescent boys.
   - PHE programme activities have also contributed to positive changes in community perception of women, which can create a more supportive atmosphere for family planning service delivery.
   - PHE projects have also helped health practitioners reach remote, previously inaccessible audiences.
   - Programmatic synergy: The outcomes of an integrated PHE programme are greater than what could be achieved if the activities were carried out in a non-integrated fashion.
   - Operational efficiency: PHE programmes frequently benefit from efficiencies such as greater community receptivity and programme cost-sharing.
   - Added-value benefits: PHE programmes often encourage additional positive outcomes in reaching non-traditional audiences and addressing gender inequities.
   - PHE programmes can improve health outcomes by directly addressing environmental conditions that have health impacts.
• Approximately 60% of the benefits that the global ecosystem provides to support life on Earth (e.g., fresh water, clean air, and a relatively stable climate) are being degraded or used unsustainably.
• Harmful consequences of this degradation to human health are already being felt and could grow significantly worse over the next 50 years.
• *PHE integration promotes interventions that mutually reinforce each other*
• PHE programmes often encourage *additional positive outcomes* by:
  • Reaching non-traditional audiences
  • Addressing gender inequities
  • Providing a platform for good governance through community engagement strategies
Session 5: Models of PHE & Community Mobilization

By the end of the session participants should be able to:

- Demonstrate the ways in which community participation is a central component of PHE programme design and implementation, and outline various models of community involvement in PHE projects

Facilitator Notes/Instructions

1. The session should start with a PowerPoint presentation on PHE programme background

2. The presentation highlights the following:
   i. Active community involvement in PHE programmes frequently provides a platform for broader community engagement and advocacy.
   ii. *Interventions* that can effectively capture and capitalize on the relationships between the population, health, and environment (PHE) sectors *requires a detailed understanding of the target community* - an understanding of:
   iii. How the community interacts with the environment
   iv. What community members perceive to be their greatest needs
   v. How they perceive the links between their well-being and the health of the natural resources around them.
   vi. See the Burundi example for illustration. Key highlights include the following:
   vii. Adults in their prime working years are the most active in land and resource management.
   viii. When these adults die due to HIV/AIDS, their traditional knowledge of natural resource management is lost and resources are used in less appropriate ways.
   ix. Community-based natural resource management programmes become vulnerable as communities lose leadership and capacity, and care for the sick or adapting family livelihoods take priority.
Activity
   i. Group Work: Divide the participants according to the Partner States.
   ii. Ask them to Identify an intervention that required community participation and how it was achieved
   iii. Present in Plenary

Session 6: Future Directions and challenges

Learning Objective

By the end of the session participants should be able to
   • Reflect on the future of PHE
   • As the experience with community-based PHE programming grows, more and more practitioners are considering the ways in which PHE successes can be scaled up to reach greater numbers of people and achieve a greater impact.
   • As the wealth of experience in PHE programming grows, finding ways to communicate linkages and successes with community members, donors, policy makers, and other development practitioners becomes increasingly valuable in sustaining and expanding interest in and support of PHE programs.
   • Effective monitoring and evaluation of PHE programs is challenging yet essential for improving project management, building an evidence base for the value of integration, and using program resources more efficiently.

Looking Toward the Future of PHE

To be sure, the design and implementation of an effective population, health, and environment (PHE) program can be challenging. But as experience with community-based PHE programming grows, practitioners are beginning to look beyond their site-specific experiences to identify the challenges facing the practice of PHE, and opportunities to share information that can advance that practice.

   • Some of the key issues that embody these challenges and opportunities include:
     - Maintaining effective partnerships
     - Scaling up PHE programs
     - Communicating PHE concepts

1.8 Evaluation

The module will be evaluated through pre and post evaluation questionnaires. There will also be a follow up of participants using the next steps plan they will develop during the training. Based on the next steps plan and other monitoring and evaluation tools, assessment of the participants at work stations will be instituted to check the application of knowledge gained in their daily work for example: Is PHE reflected in policies and strategies at national and regional levels? What strategies have been developed for implementation of PHE programmes/projects at various levels (regional,
national, local)? Are PHE programmes integrated in approach or are they still sectoral? What types of reports are available on PHE programmes?

While reviewing the work of the participants, special attention will be paid to the following themes:

- Definitions and Rationale of PHE
- Define PHE
- Assess Relevance for PHE
- Why PHE integration
- What are types of PHE integration
- What linkage issues exist among PHE sectors
- What is status of each PHE sector?
- What are the interrelationships between PHE?
- How are PHE programmes/projects conceptualized and designed?
- What are the PHE programme/project interventions?
- Document status of PHE programme/project performance at each stage of monitoring and evaluation

**Facilitator Instructions/Notes**

1. Brainstorm on the meanings of PHE
2. Record responses on Flipchart paper
3. Discuss the rationale and relevance for, tools and approaches to PHE
4. Discuss the interrelationships between PHE
5. Discuss programme/project conceptualization and design
6. Discuss PHE programme/project interventions and their rationalization
7. Present power point

**REFERENCE MATERIALS**

i. Designing and Implementing Integrated Approaches to Population, Health and Environment (PHE): Workshop for Planners and Managers, USAID, January 2009
MODULE 2: ADVOCACY AND COMMUNICATION OF PHE

Introductory Session

Introducing an important innovative concept or approach such as PHE integrated programmes/projects at community level requires support from the beneficiaries including the policy and decision-makers. Support from stakeholders is crucial for any integration efforts as this would lead to viability and sustainability of any new concept or approach. This support requires good communication at every level of programme interventions. Communication entails establishment of communication objectives, identification of communication objectives, shaping of messages to the needs and interests of the audience and select channel(s) to reach the intended audience.

Advocacy, communication and outreach are used widely to create awareness regarding the value addition of using any new concept/approach including PHE approach to meet the needs of communities. Strategies used include communicating precisely the meaning of PHE, PHE approach, mechanisms of developing and implementing PHE programmes, and results of PHE efforts to a variety of stakeholders including policy and decision makers, programme managers/implementers, researchers and beneficiary communities with a view to spreading the benefits of PHE approach. Advocacy campaigns can be undertaken through various strategies such as use of Information, Education and Communication (IEC), lobbying for supportive policy frameworks and holding consultative meetings among others.

Learning Objectives:
The aim of the module is to create increased understanding of the inter-linkages of PHE issues and the benefits of the PHE approach in to enhance the capacity of key stakeholders to communicate effectively the PHE approach; and create a platform for policy dialogue to influence regional and national stakeholders to integrate PHE into development programmes.
Specifically, the module seeks to:

i. To define PHE and give examples in each case and how these can be advocated for and communicated effectively to target groups at various levels (regional, national, local)

ii. To outline advocacy and communication for PHE integration in the Lake Victoria Basin taking into account language diversities at community level

iii. To design an advocacy and publicity communication strategy for PHE integration

iv. Define various strategies for advocacy and communication in PHE integration

**Target Audience**

- Media managers and journalists
- Programme Managers/Implementers
- Policy/Decision Makers/Planners
- Government Officials
- Researchers
- CBOs
- NGOs
- Community/Opinion Leaders
- Civil/Religious leaders

**Content**

- Session 1: PHE Definitions, Rationale and Value Addition (RECAP)
- Session 2: Definition of Terms (Advocacy and Communication)
- Session 3: Advocacy and communication Strategy
- Session 4: Process of policy engagement
- Session 5: Use of BCC to communicate PHE Results

**Materials Required**

- Flipcharts Paper and Stand
- Markers (Assorted Colours)
- Writing pads and pens
- PRB Engage Video (YouTube)
- Case Study and Teaching Guide for Facilitators
- LCD projector and Laptop
Session 1: Definition of PHE Concepts (RECAP)

N/B: The session will consist of a recap of Module 1 and is expected to take 15 minutes. It will be an interactive session facilitated by participants.

Session 2: Definition of Terms

Session Objectives:
At the end of the session, the participants should be able to:

- Define Advocacy
- Define Communication
- Describe the rationale for advocacy and communication for PHE Programming

Definition of Terms

Facilitator Notes/ Instructions

Activity 1
1. After watching the presentation, ask the participants to Identify key advocacy messages
2. Write the messages on the Flipchart and use these for definition of advocacy and communication

The following are some highlights from the video:

Key Messages

- Integrated Population Health Environment Projects are improving the lives of women and families around the world.

- Communities like the ones around Saadani National Park in Tanzania face challenges providing for their families and keeping them healthy, and diminishing natural resources are making this more difficult.

- After providing for the household’s immediate needs (such as food, water, fuel, and child care), women often have little time or resources available to access health services for themselves or their children.

- Basic health services, such as maternal and child health services and access to family planning, are out of their reach.
• For women who want to delay or space their pregnancies or don’t want to have any more children, lack of family planning programmes can result in early childbearing, unintended pregnancies, and larger-than-desired family size.

• Communities are affected too: large families mean that the local population has grown, and with it so have the demands on local resources, including land, fuel, wood, building materials, and fish.

• These challenges are all connected, making it difficult to address any one of the problems alone.

• Health, livelihoods, food security, environment, and population are all important pieces of this puzzle.

• Population, Health, and Environment, or PHE, is an integrated approach to improving access to health services, including voluntary family planning and reproductive health, while helping communities to manage natural resources and conserve the critical ecosystems on which they depend.

The PHE approach has been tested by environmental and health organizations

• Around the world. PHE projects often work with people beyond the reach of health systems in remote and hard-to-reach areas.

• They have proven to be more effective than single-sector efforts, saving organizations and communities’ time.

• They are often more responsive to people’s priority needs thus gaining greater community support. They often lead to greater involvement of men in health and women in environment and livelihood activities.

Activity 2

After going through the case study,
1. Ask participants what they understand by Advocacy and Communication and Write their answers on a flipchart.
2. Review what Advocacy and communication mean
Advocacy

Advocacy represents the strategies devised, actions taken and solutions proposed to influence decision-making on a particular cause/issue. The purpose of advocacy is to create change for people and their environments. Individuals, organizations, businesses and governments can all engage in advocacy activities. Advocacy can also be defined as the act of persuasion to create interest in something so that there is participation by those people whose interests have been created. It is important to note that in order to advocate for acceptance of new ideas, there must be sufficient evidence to support the case. In the case of the Lake Victoria Basin, there are examples of livelihoods that are intertwined in PHE for example a fisherman fishes fish for both family food and sale to earn money for buying clothing, medicines, housing construction materials, educating children etc. From this simple action of fishing, it is evident that population, health and environmental issues are emerging. It is therefore important to bring to the attention of the fishing groups these interrelationships and how they impact on their daily livelihoods.

In order to have meaningful and integrated projects within the fishing community, advocacy of the PHE becomes imperative at the fishing community level. Upon acceptance of the advocated PHE idea(s) of direct relevance to this community, the how aspect i.e. communication crops in to ensure full understanding of what PHE is and why it is necessary for the community. Apart from the fisherman example, there many other examples that can be advocated for and communicated: firewood harvesting and its effects to vegetation cover and consequential soil erosion and land degradation; inadequate toilet facilities in the informal settlements in the urban areas and related disposal that pollutes water leading to waterborne diseases such as cholera, typhoid etc. need to be advocated for and communicated in simple, clear and understandable language for each target group/audience. Given the level of formal education development and language diversity in the Lake Victoria Basin, it is prudent to translate the messages for advocacy and communication in local languages at the local/community level.

Communication

Is imparting or interchange of thoughts, opinions, or information by speech, writing or signs? Communication can also be said to be:

- The shortest definition--communication is about creating meaning through content and relationship building (social interactions).
- For this training, communication will mean: exchanging information (messages) [not 'to'] with the targeted stakeholders [audiences] to achieve understanding (meaning), changing attitudes and practices (behaviours) that are potentially or actually constraining the process of attaining development objectives using a variety of communication channels.
Note:
Communication will be incomplete until the desired feedback is attained. And, this feedback should not always be positive.

Session 3: Advocacy and Communication of PHE

Advocacy and communication are jointly used in a variety of settings for PHE activities and projects. Some ideas on how to reach different audiences in different or same settings with PHE information are presented below:

Policy-makers
Initial approach is made to policy makers through talking about PHE approach in broad development terms and advancing the usefulness of the approach. Upon winning the buy-in, more formal initiatives are made to hold meetings and explain more in-depth the basics of PHE, how they impact on each other and shape development in a defined environment. Through these meetings, suggestions to hold workshops for policy makers from various sectors of the economy are made. Usually the policy makers from ministries of planning and development, health, education and environment are initial targets. Advocacy through print and electronic media is advanced, and advocates of PHE are interviewed and these sessions are reported through print, electronic and social media.

Policy makers' buy-in of PHE is critical as they lead the process in communicating the need for policy dialogue on PHE and when converted, they cascade the messages to all units of public sector and engage in development of policies that address PHE. In order to operationalize PHE, there is need to have a pool of advocates who will sell out the concept. However, for PHE concept to be advanced efficiently and effectively the pool or
team of advocates must understand fully the concept and its application. Noting the recent emerging of PHE into the development agenda, there are hardly any PHE professionals to propagate the integrated PHE approach that is needed to improve and sustain peoples livelihoods especially at community levels. This, therefore, calls for training of a core team of advocates. These advocates should be at different levels in society and they need to be:

- Educated about the mutually reinforcing relationships between population, health and environment

- Informed of how the PHE approach works for both men and women to improve lives and protect natural resources

- Informed of how to target individuals in different settings/environments with information about the PHE approach

**Other audiences**

A part from policy makers, other groups of advocates include:

1. Civic and Religious Leaders who should be educated about the benefits that the PHE approach may have for individuals, families, households and communities in a given environment or setting.

2. Media professionals, particularly those dealing with news gathering and presentation, should be educated on the PHE approach using the ENGAGE presentation as a teaching tool. Take the news media professionals to PHE project sites to appreciate the benefits of the PHE approach, provide a platform for television and radio talk shows with PHE experts; and prepare PHE best practice documentaries and air them.

**Session 4: Advocacy Strategy**

**Facilitator/Notes/Instructions:**

The process of designing an advocacy strategy is not linear and will vary depending on the issue, policy, context and the advocacy group or network. However, each advocacy strategy should involve the following actions, using evidence to make informed decisions throughout the process: The following chart presents 10 steps to building an effective advocacy strategy.
Activity 3
Using the steps outlined above, ask participants to develop an advocacy strategy for PHE for the partner state member organizations

**Steps in Developing a Communication Plan**
1. understanding people; their beliefs and values, social and cultural norms that shape their lives;
2. Engaging communities and listening to people as they identify their problems, propose solutions and act upon them.
3. Centring Communication at the heart of development—it catalyses dialogue, performances,
4. Planning & checking results
Session 5: Policy engagement process

The PRB Policy Process: A Theoretical Framework

Advocacy groups often need to communicate and combine their efforts to link research findings to policy actions. These groups may undertake three types of activities that help create a window of opportunity for policy change: focus attention on getting issues on the policy agenda (agenda setting); create or strengthen coalitions that sustain attention around issues (coalition building); and increase decision makers’ and opinion leaders’ knowledge about issues (policy learning). Source: Lori S. Ashford et al.

Use of BCC to communicate PHE Results

Desired change using BCC requires:
- generating evidence (through consultative & participatory process);
- using generated evidence(data) to design communication tools responsive to household issues;
- focusing on individual as the locus of change (household level);
- If there are community (social values) acting as barriers to change, address them before focusing on the household level because for behaviours to change, certain harmful cultural practices, societal norms and structural inequalities have to be considered and addressed.

Stages of Behaviour Change

The diagram above describes the stages of behavior change

Facilitator Notes/Instructions:
Ask Participants to use the information in the diagram to identify the following stages:
- Existence of family planning methods in rural underserved communities. And why?
- strengthen voluntary family planning efforts in remote underserved communities. Why
- Youths who have understood the benefits of protected sex, but still resisting to use it 'shyness.' Why?
- Sustainable farming practices for youth living around the Lake Basin. And why?

**How to address the issues as per stage of behavior change**

<table>
<thead>
<tr>
<th>Stage</th>
<th>Filling the Gap</th>
<th>Proposed Communication Tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Totally Unaware (Many People are in this stage) of the problem</td>
<td>1. Awareness Creation&lt;br&gt;2. State a problem&lt;br&gt;3. State action/solution&lt;br&gt;4. Guide adoption of acquisition of the solution</td>
<td>- Inter-personal communication: Meetings (conversational) - Bill Posters, Leaflets Boards, Call in- Radio programs - Community talk shows - Drama/theatre</td>
</tr>
<tr>
<td>Aware but so what &quot;I act I don't care but inside it hurts&quot;</td>
<td>1. Identify perceived barriers and benefits to behavior change&lt;br&gt;2. Provide logistical information, use community groups to counsel and motivate</td>
<td>- Use testimonials of acceptors and early adopters (avoid sceptics and resisters) through the mass media - Reinforce these messages with scientific research resonating with testimonies of adopters and early acceptors.</td>
</tr>
<tr>
<td>I intend to take action</td>
<td>1. Identify the barriers against action-taking&lt;br&gt;2. Demonstrate examples of good change for acceptors&lt;br&gt;3. Encourage continued use by emphasizing benefits</td>
<td>- Community Mobilization, opinion leaders, community radio-talk etc (communication mix) to influence a shift in behaviour</td>
</tr>
<tr>
<td>Action Taken and practiced</td>
<td>1. Reduce barriers through problem solving Build skill through behavior trials&lt;br&gt;2. Social Support</td>
<td>- Awarding best practices: Use of genuine acceptors to change others (agents of change) - Create visibility for their good actions through the media: communication mix</td>
</tr>
<tr>
<td>Maintenance of Actions</td>
<td>1. Recall benefits of new behavior&lt;br&gt;2. Assure ability to sustain behavior&lt;br&gt;3. Social Support&lt;br&gt;4. Emphasize and remind benefits of acquired behaviour</td>
<td>- Testimonies of those who adopted and maintained behavior - Show the impact of project/program: before, during and after knowledge gained</td>
</tr>
</tbody>
</table>

**Why BCC for PHE?**

1. BCC focuses on people, their interactions and relationships. The key determinants of people's interactions and relationships are what they share: KAP. Some of these practices are harmful to environment and people's health. BCC uses the most powerful human interactions ingredient--communication--to positively influence social and behavioural dimensions that have an interplay with other factors such as environment, etc.
2. One of the objectives of PHE is to promote the generation of PHE data, knowledge and information. BCC approach is premised on the fact that sustainable change should be informed by evidence--this is precursor influencing knowledge, attitude and practice change;

3. PHE touches and targets different actors as beneficiaries of its interventions: men, youth, women, children, etc. BCC proposes that changing behaviours of these categories requires going beyond delivery of a simple massage or slogan, it requires a full range of ways in which people individually or collectively convey and get meaning. Examples are mass media, community level activities,

Discuss with participants the steps to apply to behavior change communication as outlined in the table below.

**Steps to apply to behavior Change communication**

<table>
<thead>
<tr>
<th>STEP</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Observe Behaviour</td>
</tr>
<tr>
<td>2</td>
<td>Listen to People</td>
</tr>
<tr>
<td>3</td>
<td>Decide what matters</td>
</tr>
<tr>
<td>4</td>
<td>Generalize Facts</td>
</tr>
<tr>
<td>5</td>
<td>Deliver Benefits</td>
</tr>
<tr>
<td>6</td>
<td>Monitor Effects</td>
</tr>
</tbody>
</table>
Session Evaluation

The module will be evaluated through pre and post evaluation questionnaires. There will also be a follow up of participants using the next steps plan they will develop during the training. Based on the next steps plan and other monitoring and evaluation tools, assessment of the participants at work stations will be instituted to check the application of knowledge gained in their daily work for example: Is PHE reflected in advocacy and communication policies and strategies at national and regional levels? What strategies have been developed create PHE awareness at various levels (regional, national, local)? Are PHE advocacy and communication projects integrated in approach or are they still sectoral? What types of advocacy and communication reports are available on PHE programmes?

While reviewing the work of the participants, special attention will be paid to the following themes:

- Definitions and Rationale of Advocacy and Communication
- Define Advocacy and Communication
- Assess Relevance for Advocacy and Communication
- What are key messages of Advocacy and Communication,
- What are advocacy and Communication tools and approaches
- Document levels of Advocacy and Communication and their effects
- Monitor status of Capacity-building at each stage of monitoring and evaluation

Facilitator Instructions/Notes
1. Brainstorm on the meanings of Advocacy and Communication
2. Record responses on Flipchart paper
3. Discuss the rationale and relevance for, tools and approaches to Advocacy and Communication
4. Present the PowerPoint

RESOURCES

2. The black box of “behaviour change”: Using marketing to promote PHEUs by Population Services International, 2007
5. Health of People and the Environment in the Lake Victoria Basin's (HoPE-LVB's) Advocacy in Action by Friends of Lake Victoria et al May 2014
6. Risk assessment and risk communication in environmental health in Poland by Ewa Marchwin’ ska-Wyrwal et al 2011
7. K4HealthToolkits webpage
**Introductory Session**

As part of the PHE approach, it is important not only to collaborate across sectors but to reach out to include all members of the communities in which you work. It is also critical to ensure that women play an equal role in the development, implementation, and benefits of PHE programs. Therefore, PHE programs should set and maintain a positive example by promoting the inclusion of women in all aspects of society, including involvement in population, health and environment programming and policy. This means including women as decision makers, participants, and leaders throughout the program design, planning, and implementation stages. “Integrating gender” means thinking about gender starting at the program design phase and carrying through to the program completion – seeking, including, solidifying women’s active engagement at all levels and stages of the programme.

Gender is a good example of a value added component of integrated PHE programs. For example, in many PHE efforts, programs reach out to both men and women in conservation decisions or in programs aimed at livelihoods development. By seeking the active and equal participation of all members of the household, including men and women [and possibly youth if this is your programmatic focus], it is hoped that shared decision making in conservation activities could translate to a more equitable voice for both men and women in health and family planning decisions as well as in society in general.
Learning Objectives
The aim of this module is to enhance the understanding of gender roles in PHE programmes
Specifically, learners’ will be expected to:

- Define key concepts in gender analysis
- Identify types of Power Relations in Gender
- Articulate roles of men and women

Content

Session 1: Definition of “Power”
Session 2: Types of Power
Session 3: Roles of Men and Women

Materials

- Flip chart stand
- flipchart paper (newsprint/manila paper)
- Colored paper and Masking tape

Target Audience

- CBOs
- NGO Staff
- Policy/decision Makers
- Government Officers
- CSO
- Conservationist
- Population Officers
- Health officers
- Researchers
- Planners

Session 1: Definition

Gender: Refers to socially constructed roles responsibilities and relationships between men and women. These roles which are learned change over time and vary widely within and between cultures. Thus it identifies the cultural relationships and how those are socially determined or perceived. It is a central concern in any effort aimed to achieve sustainable development, where both men and women should participate and benefit from the development process.
**Gender roles:** Are different patterns of behavior in terms of rights duties and responsibilities assigned to males and females in a given society. Gender roles differ from place to place, change over time, are society constructed and learnt. Gender roles are influenced by many factors such as religion, economy, education, technology etc.

**Gender roles include:-**

**Productive roles:** Includes all types of work done by women and men for pay in cash, or kind, for marketing or for home consumption for women in agricultural production work done as independent farmers, farmers wives, and wage workers.

**Reproductive Role:** These include activities such as child bearing/rearing responsibilities and domestic tasks done by women and men to maintain and sustain the family.

**Trainer’s Instructions:**

Tape together four sheets of flipchart to make one large square. Tape the large square of flipchart paper to the wall. Prepare a sheet of flipchart paper with Paul and Flora story (see Trainer’s Resources) and set it aside. Make enough copies of the handout of Paul and Flora’s story and the “The Types of Power in SASA!” for all participants – see Trainer’s Resources Identify a space where participants can easily move (run) around where there is approximately 10 meters between two points. Label on one site (wall or tree) as, ”Men/Boys” and the other site (wall or tree) as, “Women/Girls”.

A. Understanding Power (30 minutes)

1. Write the word “power” in the middle of a large square of flipchart paper (Note. This square should be prepared beforehand – see Preparation notes).
2. Ask participants to take turns contributing words and expressions that mean “power.”
3. Write all contributions on the flipchart, around the word “power.” Keep this process at the pace of a fast brainstorm. (Contributions could include: strength, ability, authority, violence, force, prestige, control, money, energy, etc.)
4. Thank participants for their contributions.
5. Ask and discuss: “Would you consider power as positive or negative? Why?”
6. Distribute the handout with Paul and Flora’s story and the Types of Power and explain that there are many types of power which can be used positively or negatively.
7. Hang the prepared flipchart with the Paul and Flora story on the wall. (Note: prepared beforehand – see Preparation notes.)
8. Read the story on the flipchart. Read “mmmm” when you encounter a gap (indicated by a space____) in the text.
9. Ask participants to find a partner. Explain the exercise as follows:

   a. “Working with your neighbor, try to complete the spaces in the text on the flipchart [using the four words from the handout: ‘within’, ‘over’, ‘with’, ‘to’].”
b. Try to fill in one word in each space. The spaces are numbered from one to four.
c. “You will have 3 minutes to do this.”

10. Ensure there are no questions. Then ask participants to turn to their neighbor and begin the exercise.
11. After 3 minutes, ask participants to stop the exercise.
12. Ask participants to suggest the words that fill in the four spaces [in Paul and Flora’s story]. Discuss [the words] until you reach an agreement.
13. As a group, fill in the missing words on the flipchart, in a different colour than the text, if possible. Below the words that should be in each blank space:
   a. Within
   b. Over
   c. With
   d. To

Session 2: Types of Power

Instructions
14. Explain that there are different kinds of power:
   - power within oneself
   - power over someone
   - power with others
   - Power to do something.
15. Point out that power can be used positively and negatively.
16. Ask participants to return to their neighbour and discuss what they understand by each of these types of power. Give participants 5 minutes for this discussion.
17. Facilitate a discussion with the entire group about the four types of power, drawing attention to the difference between positive power and negative power. (Note: Refer to “The Types of Power in SASA!” handout for detailed information.)
18. Summarize as follows:
   There are different types of power.
   Power can be used positively and negatively.
   - We all have power within us, even if at times we don’t realize it.
   - We can join our power with others to give support.
   - We all have power to do something, to act.
19. Ask if participants they have any questions before proceeding.

Session 3: Roles of Men and Women

Facilitator Instructions
Ask participants to brain storm on the roles of women and men in natural resource management
Write the responses on flipchart paper

Explain
How Gender Influences Natural Resource Use
Gender refers to the different social roles that women and men play, and the power relations between them. Gender relations influence how communities, households, and institutions are organized, how decisions are made, and how resources are used. To understand how gender shapes activities that affect the environment, it is necessary to examine women’s and men’s roles and responsibilities, access to and control over resources, knowledge of resources, and authority to make decisions about resource use.

Roles and Responsibilities
In most regions of the world, men play a greater role than women in the exploitation of natural resources for commercial purposes - logging, grazing livestock, fishing, mining, and extracting various tree products. While both women and men are involved in economic activities such as farming, women have additional domestic responsibilities such as food preparation, water and fuelwood collection, child care, and maintaining family health. Men’s domestic responsibilities may be limited. An important indication of the differences in these roles is how women and men spend their time.

Example:
HOPE-LVB Gender Equality: At the Center of Health, Rights, and Sustainability
A successful population, health, and environment (PHE) project requires the full and equal participation of women and girls and men and boys. In order to address the urgent, interconnected challenges in the Lake Victoria Basin poor maternal and child health, a lack of access to contraception, dwindling fish supply, deforestation, and more interventions must also work towards gender equality. Women must be able to exercise their right to sexual and reproductive health care services, including their ability to choose if or when to have children. They must be able to participate in income-generating activities, which improve their economic situation and better equip them to protect their families and the natural resources they depend on.

The Health of People and the Environment in the Lake Victoria Basin (HoPE-LVB) project works to promote gender equality. HoPE-LVB implements a range of activities, including training women's and young mother’s groups on integrated health and conservation practices and conducting community dialogue sessions surrounding their
intersection between gender, sexual and reproductive health, and the environment to bridge gender divides and encourage input and support from all community members.

Further, in biodiversity hotspots and wilderness areas worldwide, women and men have different gender-based roles and responsibilities in their lives, families, households, communities, societies, and nations. They have different knowledge of, access to, and control over natural resources and different opportunities to participate in decisions that directly and indirectly affect biodiversity. They are also affected differently by environmental and climatic change. There are many ways in which gender-based differences are important to the success of conservation, and project results suggest that certain improvements in gender equity may lead to improved conservation results. Some of the lessons learned include: gender analysis can pose challenges for many of the field staff members and it takes time to acquire solid understanding of the definitions and ideas; projects need to have solid M&E plans and data collection systems in place; and need to know whether there are potential resources for capacity building assistance at the regional and national levels.

**Increased male support for and involvement in family planning**
When family planning messages are presented jointly with messages from other sectors, men may be more receptive to them and/or more willing to become involved by using family planning themselves, educating peers, or being supportive of their spouse's use of family planning. A number of projects reported increases in men's support for or involvement in family planning.

**Increased women's involvement in environment and natural resource management**
Integrated nature of PHE projects/Programmes, particularly the emphasis on family planning, encourages women to get involved in natural resource management, and they are increasingly active in PHE trainings and community meetings. For example, the HoPE LVB project in Uganda and Kenya reported a greater number of women participating in conservation efforts (tree planting) and in beach management units (BMUs) (HoPE-LVB 2014).

**Activity**

B. Men and Women Roles Game (30 minutes)
1. Show participants the two locations where the group activity will take place. (Note: Beforehand, identify two spaces about 10 meters apart and label one site as, “Men/Boys” and the other as, “Women/Girls” – see preparation notes).
2. Ask the group to form a circle and read this out loud: “Today we are going to talk about what it means to be a man or a woman.”

3. Divide the participants into two groups: one group with women and another group with men.

4. Show the groups where the “Women/Girls” group is located and where the “Men/Boys” group is located.

5. Select a spot in the middle of the two locations and call this “BOTH MEN/BOYS AND WOMEN/GIRLS”.

6. Explain the following instructions:
   I am going to say a word.
   I want you to run to the location where you think that word belongs.
   For example, if I say the word “mother,” you run to the “WOMEN” location because only women can be mothers. If I say the word “tall” and you think both men and women can be tall, you run to the space for “BOTH MEN/BOYS AND WOMEN/GIRLS.”

7. Read the first word from the Table below.

8. Once everyone runs to a location, ask at least two participants from each side to tell you why they chose that location. Encourage the others to share and debate as well.

9. When they finish discussing, repeat the process for the remaining words in the list.

<table>
<thead>
<tr>
<th>Strong</th>
<th>Financially</th>
<th>Catches fish</th>
</tr>
</thead>
<tbody>
<tr>
<td>A good communicator</td>
<td>Financially</td>
<td>Takes care of children</td>
</tr>
<tr>
<td>Collects firewood</td>
<td>successful</td>
<td>Decision-maker in family</td>
</tr>
<tr>
<td>Works the farm</td>
<td>Leader</td>
<td>Loving</td>
</tr>
<tr>
<td>Unfaithful</td>
<td>Weak</td>
<td>Member of Beach management unit</td>
</tr>
<tr>
<td>Spends money</td>
<td>Saves money</td>
<td>Energy saving stoves</td>
</tr>
<tr>
<td>Votes in BMU</td>
<td>Washes clothes</td>
<td>Cares for the farm animals</td>
</tr>
<tr>
<td>Goes to school</td>
<td>Violent</td>
<td>Manages the money in the household</td>
</tr>
<tr>
<td>Fetches water</td>
<td>PHE champion</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Owns land</td>
<td></td>
</tr>
</tbody>
</table>


**Trainer’s Resources**

*Write on flipchart the Paul and Flora Story*

Paul and Flora are husband and wife. They are activists in the community. As individuals, they both have power (a) ____ themselves. Paul was married once before, but his wife left him, because he was using his power (b) ____ her by trying to control everything she did. But in his relationship with Flora, Paul has changed. Now, each of them join power (c) ____ the other as they support each other and any friends trying to have equal and respectful relationships. They believe that relationships between women and men are happiest and safest this way, and that is why they have decided to
use their power (d) _____ foster a change in community norms and create a community that encourages non-violence.

**Understanding Power Handout**

Paul and Flora are husband and wife. They are activists in the community. As individuals, they both have power (a) ____ themselves. Paul was married once before, but his wife left him, because he was using his power (b) _____ her by trying to control everything she did. But in his relationship with Flora, Paul has changed. Now, each of them join power (c) _____ the other as they support each other and any friends trying to have equal and respectful relationships. They believe that relationships between women and men are happiest and safest this way, and that is why they have decided to use their power (d) _____ foster a change in community norms and create a community that encourages non-violence.

**Types of Power Handout**


*Power within* is the strength that arises from inside ourselves when we recognize the equal ability within all of us to positively influence our own lives and community. By discovering the positive *power within* ourselves, we are compelled to address the negative uses of power that create injustice in our communities.

*Power over* means the power that one person or group uses to control another person or group. This control might come from direct violence or more indirectly, from the community beliefs and practices that position men as superior to women. Using one’s *power over* another is injustice.

*Power with* means the power felt when two or more people come together to do something that they could not do alone. *Power with* includes joining our power with individuals as well as groups to respond to injustice with positive energy and support.

*“Power to”* is the belief, energy and actions that individuals and groups use to create positive change. *“Power to”* is when individuals proactively work to ensure that all community members enjoy the full spectrum of human rights and are able to achieve their full potential.

**PHE and SDG 5: Achieve gender equality and empower all women and girls**

Ensuring universal access to sexual and reproductive health and reproductive rights is fundamental to achieving gender equality and PHE has proven to be an effective way to spread this message to new audiences (Show Participants the PRB engage Video).
**Introductory Session**

The biggest challenge facing NGOs/CBOs implementing or initiating PHE Projects or programmes is resources. NGOs/CBOs single out inadequate funding almost to the exclusion of all else as their primary problem. This is often cited as the reason for delays, inability to meet development targets and failure. Most NGOs/CBOs do not include long term financial sustainability in their strategic plan. Indeed, few organizations have 'financial sustainability' as a major component of their strategic orientation. Even fewer organizations, including those seeking to establish endowments, make specific mention of domestic resource mobilisation as a strategy and a basis for action. Not many civil society organizations seem to believe in local sources of funding and other forms of support from local institutions. This module is designed to assist local NGOs/CBOs staff and members to device innovative ways of mobilizing financial resources for their projects/programmes.

**Aim of the Training:**
The aim of this training module is to build the capability of the CBOs, PHE networks, implementers and managers and coordinators on resource mobilization.

**Module objectives**
By the end of this session, participants will be able to:
- Define the term resource mobilization
- Define the term income generating activity (IGA).
- Describe how to use the SOAC process to create IGA ideas.
- Describe common elements of a grant proposal.
- Identify the stages in the grant application process.
- Identify strategies for resource mobilization that they can implement in their organizations.

**Target Audience**
- Programme Managers/Implementers
- Coordinators
- PHE Networks
- CBOs & CSOs
- NGOs
- Government officials

**Content**
- Session 1: Definition of concepts
• Session 2: Use of SOAC Process to Create IGA Ideas
• Session 3: Common Elements of Grant Proposal
• Session 4: Stages in grant Application Process
• Session 5: Strategies for Resource Mobilization

Materials Required
• Flip Chart, paper, and markers
• LCD and Laptop or Overhead Projector Plus Screen
• Writing pads and pens
• Slides
• Worksheet 1: Planning for IGAs
• Handout 2: Key Terms for Resource Mobilization
• Handout 3: Types of Grants
• Handout 4: Grant Application Terms
• Handout 5: Common Elements of a Grant Proposal
• Handout 6: Sample Budget Forms
• Worksheet 3.3.7: Identifying Resource Mobilization Strategies

Methodology
The training will incorporates a mix of PowerPoint presentations, small group tasks, case studies and plenary discussions. There will also be site visits where possible.

Evaluation
The module will be evaluated through pre and post evaluation questionnaire
There will also be a follow up of participants using the next steps plan they will develop during the training.

Session 1: Definition of concepts
By the end of the session participants should be able to:

• Define Concepts of Resource Mobilization and IGAs
• Describe the Rationale for PHE Approach

Facilitator Notes/Instructions

INTRODUCE Session to participants.
Ask Participants to state what they understand by resource mobilization, IG, IGA and Livelihood
Write Responses on Flip chart paper
Summarise Using the participants responses and as follows:
**What is resource mobilization?**
Resource mobilisation is about an organisation getting the resources that are needed to be able to do the work it has planned. Resource mobilisation is more than just fundraising - it is about getting a range of resources, from a wide range of resource providers (or donors), through a number of different mechanisms.

**What is income Generation?**
Interventions that attempt to address poverty, unemployment, and lack of economic opportunities to increase participants’ ability to generate income and secure livelihoods. ‘Income-generating activities’ will be considered those initiatives that affect the economic aspects of people’s lives through the use of economic tools such as credit

**Livelihood**
A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stress and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base. (Chambers & Conway, 1991).

**Rationale for Resource Mobilization**
ASK participants:
• Why do organizations need to raise funds or generate income?

ALLOW a few moments for participants to brainstorm.

WRITE participant responses on flipchart.

REVIEW list, building off of participant responses.

ASK if there are other items that we should add to the list.

*Answers may include: providing services, supporting constituents, purchasing teaching and learning materials for students, building improvement projects, etc.*

**Session 2: Use of Strength, Opportunities Areas of Improvement and Challenges (SOAC) Process to Create IGA Ideas**

**Learning Objectives**
At the end of the sessions participants will be able to:
- Describe ways that organizations like yours might mobilize financial resources
- Describe their experience with resource mobilization
- Describe types of IGAs
- Outline parameters of IGA
- List examples of IGAs
- Discuss the advantages and challenges of IGAs
• Describe features of a viable IGA

**Types of IGAs**

**EXPLAIN** to participants that:
• IGA can be a one-time event, or it can be ongoing.

**Cost recovery:**
• A means to recover a percentage of the costs to deliver a service or to fund a specific activity related to the organization's mission.
• Examples include special events, conference fees, paid training, and fee-for-service are examples.
• Cost recovery activities are linked to programs; once a program ends, the related cost recovery activities are terminated.

**Earned Income (ongoing)**
• Provides a stream of unrestricted revenue to the organization, generated through activities both related and unrelated to the mission.
• Examples include sales of publications and products, or consulting services.
• Earned income activities are rooted in operations.

*Source: Dawans, Vincent. The Four Lenses Strategic Framework: Toward an Integrated Social Enterprise Methodology. Available at: [http://www.4lenses.org/setypology/iga](http://www.4lenses.org/setypology/iga)*

**EXPLAIN** to participants that:
• Income generating activities involve creativity, entrepreneurship, and innovation.

**Parameters of IGA**

![Diagram of Parameters of IGA](image)

Source:

**ASK** participants:
• What is creativity?

**ALLOW** a few participants to respond

**WRITE** responses on flipchart/board
ASK participants:
• What are some examples of financial creativity in your organization?

EXPLAIN that:
• Creativity is the process of bringing something new into being.
• It requires passion and commitment.
• Creativity by individuals and teams is the starting point for innovation.

ASK participants:
• What is innovation?
• What are some examples of financial innovation in your organization?

ALLOW a few responses.

WRITE responses on flipchart/board

EXPLAIN to participants that:
• Innovation is the production or implementation of an idea.
• Innovation typically involves creativity, but creativity and innovation are not the same.
• Innovation is a multi-stage process of transforming ideas into products, services, or new ways of working that allow an organization to be competitive in their marketplace.
• Innovation requires tools, rules, and discipline.
• Government procedures, standing orders, and staff circulars are key references in the managerial process when initiating an IGA

ASK participants:
• What is entrepreneurship?
• What are some examples of entrepreneurship in your organization?

ALLOW a few responses.

WRITE responses on flipchart/board

EXPLAIN to participants that:
• A common misconception is that any person who starts a business is an entrepreneur. However, according to economists, starting a business is not the main component of entrepreneurship.
• Entrepreneurship is concerned with stimulating economic progress through innovation, by finding new and better ways of doing things. They seek to maximize the use of resources.

INFORM participants that:
• Entrepreneurs need courage to take calculated risks – sometimes even doing things that others think are unwise or impossible to achieve.

• Entrepreneurs also need patience and perseverance to carry a project through to completion, in the face of setbacks and challenges.

• Entrepreneurs need problem-solving skills, and the ability to engage with, thrive on, and find solutions to problems.

Entrepreneurs need motivation to change situations that are difficult or unpleasant.

_Examples of IGAs_

**FACILITATE** brainstorm and discussion.

**ASK** participants:

• What are some examples of IGAs in their organizations?
  
  o Do you know an organization successfully implementing this idea? If so, where?

**ALLOW** participants to brainstorm.

**WRITE** ideas on a flipchart.

**EXPLAIN** that this list describes some IGA ideas that have been tried by other organizations.

**NOTE** that:

• Some of these ideas were profitable, and some were not.
  
  o For example, raising animals – the costs of keeping animals fed, having adequate space, keeping the animal healthy, etc. was eating into profits.
  
  o We will talk more about how to create a viable IGA later.

• Some activities create revenue streams directly for the organization, and some are operated independently by a group of employees with shares in the IGA.

**THANK** everyone for their creative ideas and participation.

_Advantages of IGAs_

**ASK** participants:

• What are some of the advantages of an IGA for their PHE?

**ALLOW** a few responses.

**Possible responses:**

• Increase operating costs
• Provide funding for supplementary income
• Provide funding for small scale projects and repairs
• Can provide funding for large improvements
• Can provide funds for livelihoods
• Can provide funding for long term sustainability

**Challenges**

**ASK** participants:
• What are some of the challenges of implementing an IGA for a PHE Project?

**ALLOW** a few responses.

**WRITE** responses on flipchart.

**Possible Responses**
- **Require resources to operate and manage**
  - Human resources, operating resources (electricity, space, etc.), time, infrastructure
- **May require “seed money” or capital to start**
- **Requires accounting & management of funds**
  - Tracking revenues, expenditures, and profits in a clear, transparent manner
- **Requires periodic review and evaluation**
  - Is this IGA scheme still successful/profitable?
  - Is it worth our investment of time and money?
- **Require a viable idea and plan**

**NOTE** that this list is not comprehensive, but does include some of the key challenges.

**Viable IGA**

**ASK** participants:
• What does an organization need in place to have a viable and successful IGA?

**ALLOW** a few responses.

**WRITE** responses on flipchart/board

Key points, building from participant responses.
- **Novel thinking** (innovation & creativity)
  - What service or good can you provide that will meet a need in your area, or for your clients?
- **Management buy-in**
  - Is it OK for the organization to take this risk?
  - Is the process and management transparent?
- **Sense of ownership**
  - Workers and staff are supportive, willing to help make IGA successful
- **Not resource-intensive**
  - Simple ideas that do not require additional staff, high start-up funding, or have high operating cost
Use of SOAC Analysis to Identify Viable IGAs

ASK participants the following questions:
• What tools or methods can you use to determine whether an idea for IGA might be viable?

ALLOW few participants to respond

WRITE their responses on the flip chart/board

EXPLAIN to participants that:
We can use a process called SOAC analysis to think critically about an idea for an IGA.

How to Identify Viable IGAs
Internal and external factors can help or hinder the initiation of IGAs.

Potential IGAs can be identified using a process called SOAC:

• Strength
• Opportunities
• Areas of Improvement
• Challenge

Strengths consist of areas that facilitate initiation of IGAs.

These include the resources of PHE Projects/programmes that can be used to develop IGAs:

• Employee’s skills
• Buildings and equipment that can potentially be used to generate additional income.

Opportunities are areas where the organization may have a competitive advantage over other organizations.

Examples include:

• Customer base
• Land
• Buildings and equipment of the PHE Projects/programmes

Areas of improvement include areas where the organization has the potential to maximize their income through perhaps minimal additional effort.
Examples include charging user fees for hall and conference rentals, copy machine use, etc.

**Challenges** are issues that could be detrimental to the organization or IGA. These can be:

**External threats**
Competitors or policy changes that negatively impact a PHE Projects/programmes

**Internal challenges**
Unfilled management positions which may cause a lack of leadership

**EMPHASIZE** that:

- By analysing their external and internal outlook, PHE Projects/programmes can use creativity, innovation and entrepreneurship to initiate IGAs.

**ASK** if participants have any questions.

**Starting and Managing an IGA (1)**

- Before you start an IGA, you need to have plans and systems in place.
- IGAs require processes for recording, analyzing, reporting, and evaluating.
- You will need to have a clear proposal and plan for your IGA, and an estimated operating budget
- You need to have adequate capacity to operate the IGA, and a system of accounting for funds.
- You need to have approval of the proper stakeholders, who will review the IGA idea and ensure that a transparent system is in place for recording, analysis, and review.

**ASK** if participants have any questions before continuing.

You need to have the following in place for starting and managing an IGA:

**Plan**

What is the product/service? Who will you serve?

How will the IGA benefit your organization?

How will the IGA be staffed and managed?

What is the timeline for implementation?

Do you need start-up funds? How will you get them?

**Budget**

Simple budget with expected operation and implementation costs, expected revenue

**Capacity**

Accounting and financial management capability
Operating costs

Management and Stakeholder Approval

Review viability of IGA proposal

Ensure system for recording, analysis, and review

ASK if participants have any questions before continuing.

Activity: Planning IGA

Work in small groups to develop an IGA plan.

Use Worksheet 3.1 to guide your discussion.

You will have 5 minutes to present your idea to the class.

FACILITATE activity using instructions below. This activity will take **45 minutes**.

DIVIDE participants into groups of 4-6. If possible, group participants together by organization or network.

REFER participants to Worksheet 1: Planning for IGAs,

INSTRUCT small groups as follows:

- In your small groups, brainstorm ideas for an IGA for your organization.
- Select one IGA idea, and develop a plan for how you could implement this IGA in your organization.
- Use the worksheet to guide your work.
- Each group will have 20 minutes to brainstorm and develop your plan.
- Each group will briefly present their ideas back to the large group. (You will be limited to 5 minutes.)
- Remember: your idea and plan do not have to be perfect – this activity is only a starting point.
- You may wish to continue this work when you return to your organizations.

ALLOW 20 minutes for small group work.

REMIND participants when there are 10 minutes and 5 minutes left.

INVITE each group to present for 5 minutes.

If there is time, invite the large group to provide constructive feedback.

THANK everyone for their creativity, innovation, and participation!

ENCOURAGE participants to continue sharing ideas and feedback with one another after this course.
Session 3: Common Elements of Grant Proposal

Learning Objectives:
At the end of the session participants should be able to:

- Define “grant”, “contribution-in-Kind”, “Development partner” and “loan”
- Describe types of grants
- Identify sources of grants
- Describe the process of grant writing

Facilitator Notes/Instructions

Definitions
- REFER participants to Handout 2: Key Terms for Resource Mobilization
- REVIEW the definition of grant with participants.

What is a grant?

A sum of money, given by a government, non-profit organization, philanthropic foundation, charity, or other agency for a specified purpose.

Usually, a grant is awarded as a result of a formal decision-making process involving a written or oral presentation and review.

Do not include terms of repayment.

NOTE that:

- Grants do not have to be re-paid, but grant recipients are accountable for how they use the money they receive.
- Grant recipients must demonstrate that they have the capacity to manage grant funds, that they have used funds appropriately, and that they are achieving goals and objectives.

Grants can serve many purposes:

- Program or project implementation, service delivery
- Research
- Education
- Capital improvements.

Grants usually involve accountability to the funder or development partner financial reporting, progress reporting, etc.

REVIEW the definition of in-kind contribution with participants.

EXPLAIN to participants that:

Sometimes, development partners like to make a specific donation of goods, services, or expertise, rather than providing money.
These are called “in-kind contributions” or “in-kind gifts”.

**What is in Kind contribution?**

In-kind contributions are gifts of goods or services, other than cash grants. Common types of in-kind contributions include:

- **Goods**
- **Computers, software, furniture, equipment**
- **Services**
  - Meeting space, administrative or financial support
  - Expertise
- **Expertise**
  - Legal, tax, or business advice; marketing, advertising, or website development; strategic planning, etc.

**ASK** participants:

What is a development partner?
Can you name some development partners that work in your country?

**NOTE** that the term “development partners” includes a wide array of organizations, governments, and agencies.

**ASK** participants if they can think of any additional types of development partners.

**NOTE** that sometimes, we also use the terms “funding agency,” “donor,” or “donor agency.”

**Examples:**

- **National governments**: State Governments, U.S. government USAID, Japanese government JICA, etc.
- **Multilateral agencies**: World Bank, UNICEF, UNDP, etc.
- **NGOs**: I-TECH, JHPIEGO, AMREF, Engender Health, PATH, Pathfinder International, etc.
- **Philanthropic organizations**: Gates Foundation
- **Faith-Based Organizations**: World Vision, Mercy Corps, etc.

**Source:**

SIL International. What is a donor agency? Available at:
http://www.sil.org/lingualinks/literacy/referencematerials/glossaryofliteracyterms/whatisadonoragency.htm

**Review:**

**What is a development Partner?**

An organization that gives funds for projects of a development nature. Development partners include:

- **National governments**
- **Multilateral agencies**
- **Non-Governmental Organizations (NGOs)**
• Philanthropic/charitable foundations
• Faith-based organizations

REVIEW the definition of loan and microfinance with participants.

NOTE that we will not be discussing loans or microfinance in this session – but it is important to clarify how a loan is different than a grant.

What is a loan?

A sum of money which an individual, group or other organization borrows from another individual, group, agency or institution on the condition that it be returned or repaid at a later date, often at interest.

Microloans are common in developing countries.

Microfinance is a type of lending involving small, non-collateralized loans to low-income, typically self-employed, workers who do not have access to traditional financial lending services

Types of Grants

REFER participants to Handout 3: Types of Grants

REVIEW descriptions of grants in the handout.

EXPLAIN to participants that:

• There are many different types of grants.
• Common types include funds to implement specific programs or projects, conduct research, support education, provide or deliver services, or to complete capital improvements (building renovations, etc.).
• Other terms for grants: cooperative agreement, contract, subcontract.

Grant funding is available for many different purposes and types of activities.

ASK participants if they have any questions.

Source: I-TECH.

ASK participants:

Where could one learn about grant opportunities?

ALLOW participants to brainstorm.

WRITE responses on flipchart.
REVIEW building off participant responses.

NOTE that this list does not include every source for grants.

- Many grant opportunities are announced in the newspaper.
- NGOs and development partners also circulate announcements for grant opportunities.
- Networking, building relationships, and communicating frequently with colleagues and partners in other organizations is key to learning about opportunities that may be available.
- Governments and foundations may offer grant opportunities.
- Private companies and individuals may offer donations.
- Many grant opportunities can be found on the internet, through search engines.
- The internet can also be a useful tool for researching development partners.

EXPLAIN to participants that:

- Grants are usually awarded on a competitive basis, and you will probably be competing with other organizations.
- You should look for grants that you could actually win – where your competitive advantage, organizational capacity, project, or need matches with what the development partner is looking for.
- In general, it is a good idea to focus on your organization’s strengths, and look for funding that aligns with those, rather than “chasing the money.” Develop your project idea before you find a grant to fund it.

Source: I-TECH

EXPLAIN to participants that:

- When looking for grants, there are some key questions that you should consider before applying.
- These questions help you to know whether a grant fits your organization – including your strengths and priorities, and whether you are eligible to apply.
- Applying for grants is time-consuming and you need to be strategic!

Source: I-TECH.

EXPLAIN to participants that:

- It is also a good idea to research the development partner or funding agency to see if they are a good match.
- Do their priorities and values align with yours?
- Have they funded similar organizations and projects?
- Have they funded your organization in the past? Do you have a good relationship?
- What areas or regions do they work in?
• How much money will they award? Is this enough to fund your project? Can you manage this amount effectively?
• You should look for development partners who have funded your work previously, who fund work similar to what you are doing, or who are interested in your region/area or specialty.
• For example, TACAIDS only offers funding for HIV/AIDS-related work and projects. If HIV/AIDS is a key component of your work, it would be wise to pursue opportunities with this development partner. If your organization has other priorities, you may want to look for more strategic partnerships.

**Process of Grant Application**

REFER participants to Handout 4: Grant Application Terms

EXPLAIN to participants that there are many complicated and confusing terms related to grant applications!

INFORM participants that this handout includes many common terms and acronyms that relate to the grant application process. They should use it as a reference.

Note: there is not enough time in the session to review this handout in great detail – emphasize that participants can use it as a reference.

**Key elements of grant Application**

REFER participants to: Handout 5: Common Elements of a Grant Proposal

EXPLAIN to participants that there are many sections to a grant proposal.

EMPHASIZE that:

• Each funding agency or development partners will have specific instructions – every item on this list may not be required; however, these elements are common to most grant proposals.
• It is always important to refer to specific guidelines for each grant, and ask for clarification as needed.
• INFORM participants that this handout includes detailed descriptions of what to include in each section of the proposal. They should use it as a reference.
• Note: there is not enough time in the session to review this handout in great detail – emphasize that participants can use it as a reference.

**Review: Common Elements of a Grant Proposal**

• Cover page & Table of Contents
• Executive Summary
• Narrative
• Justification/Need Statement
• Goal and Objectives
• Activities
• Monitoring & Evaluation Plan
Timelines for Applying to a Grant

ASK participants:
What factors affect the amount of time it will take to prepare, write, and submit a grant application?

ALLOW a few responses.

REMIND participants:
- Your timeline will depend on many different factors.
- The process will take more time if the application is complicated, if you are collaborating with partners or stakeholders, if you have to create new material (rather than draw from previous materials), if you need a lot of outside material.
- You also have to consider how much staff time can be dedicated to grant writing and support. Grant writing is usually a team approach – working collaboratively can add time.
- Everything takes longer than you expect!
- There are many detailed steps in writing a grant application. It is helpful to assign deadlines to each step.
- Many steps are dependent on others – you have to complete some tasks before you can complete others (such as the executive summary).
- Plan enough time to deal with unexpected events – like the printer or photocopier breaking.

Session 4: Stages in the Grant Application Process

Learning Objectives:
At the end of the session participants should be able to:

- Describe the stages in grant application process
- Describe the characteristics of a good grant proposal
Review: the stages in the grant application process.

Writing Stage

- Investing in advance preparation makes the writing stage easier.
- Start by defining your project
- Identify appropriate funding sources
- Remember to pay attention to the type of grant, and research the funding agency’s priorities
- Contact the donor to inform them of your intent to apply.
- Read the proposal guidelines thoroughly, and contact the Program Officer or representative for clarification.
- Confirm the submission deadline.
- Determine your personnel needs – who will collaborate on the writing?
- Create your timeline – remember to set target deadlines for each step.

Adapted from:

Corporation for Public Broadcasting. “Grant Proposal Writing Tips”. Available at: http://www.cpb.org/grants/grantwriting.html
NOTE that specific guidance for what to include in each section is included in Handout 5: Common Elements of a Grant Proposal

**REVIEW** tips for writing the proposal.

**EMPHASIZE** that:

- Whenever possible, build in enough time to have trusted colleagues give you feedback.
- This will help you catch any errors. The goal is to be error-free!
- Take breaks, review what you have written, and revise your proposal to make it stronger.
- Try to avoid jargon.

**REFER** participants to Handout 6: Sample Budget Formats

**EXPLAIN** to participants that:

- These sample budget worksheets show many common expenses that you have to plan for and include.
- The detailed budget worksheet should be completed before the summary budget.
- Many funding agencies only need to see the summary budget and explanatory budget notes.

*Developing a Budget*

**EMPHASIZE** that:

- The budget is one of the most important pieces of the grant application.
- You can expect the funding agency to review the budget in detail.

**NOTE** that:

- You can contact a representative from the funding agency if you have questions about how to present the budget.

*Note:* there is not enough time in the session to review this handout in great detail – emphasize that participants can use it as a tool/reference.

**Proposal Submission**

**REVIEW** tips for submitting the proposal.

**EXPLAIN** to participants that:

- A submission checklist can be helpful to ensure that all pieces of the grant application have been completed and are included.
Follow-Up

REVIEW key points about the follow-up stage.

- Contact the program officer or other representative of the funding agency to follow-up.
- Be professional and courteous.
- It is OK to follow-up, but do not overburden the funding agency with too many requests.

What makes a strong Proposal?

EXPLAIN to participants that:

- The key to a strong grant application is ensuring that your proposal captures the interest of the funding agency, and that it follows the guidelines.
- It is very important to follow the guidelines – do not exceed the number of pages, include all information that the funding agency has requested, and do not forget your contact information!
- Following the guidelines helps to demonstrate attention to detail.

Session 5: Strategies for Resource Mobilization

Learning Objectives:

At the end of the session participants should be able to:

- Describe approaches to resource mobilization

FACILITATE the activity according to instructions below.

EMPHASIZE that:
This presentation is just the beginning – it is up to you to move forward and find opportunities to practice skills and approaches to grant writing, income generating activities, and resource mobilization.

REFER participants to Worksheet 7: Identifying Resource Mobilization Strategies

INSTRUCT participants:
Take a moment to think about the approaches to resource mobilization that we discussed – income generating activities, and grant writing.
Take a few minutes to reflect on your organization:
What are its strengths? What opportunities do you see?
Write your answers on the top of the worksheet.

ALLOW 3-4 minutes for participants to reflect.
Now, consider the ideas for resource mobilization that you and your colleagues have voiced today. What ideas have you heard that align with your organization’s strengths? Write your answers in the worksheet.

ALLOW 3-4 minutes for participants to reflect.

Select two strategies – one related to IGA, and one related to grant writing – that you could try. Describe them in the worksheet.

ALLOW 10 minutes for participants to complete the worksheet.

INVITE a few participants to briefly share their ideas with the group.

THANK everyone for their participation and attention.

REVIEW key points from this session.

ASK if participants have any comments or questions.

THANK everyone for their attention and participation.
**Introductory Session**

“Sustainability” refers to the continuation of a project’s goals, principles, and efforts to achieve desired outcomes long after the project is terminated. Although many grantees think that guaranteeing sustainability of a project means finding the financial resources to continue it “as is” beyond the grant period, but sustainability really means making sure that the goals of the project continue to be met through activities that are consistent with the current conditions and workforce development needs of a given environment, including the needs of foremost the community and both workers and organization in the environment where the activities are undertaken. For continuity to occur, a basic requirement is to put in place institutional mechanisms that form the pillars for propagating the ideals of any concept or process initiated through a project or programme. In the case of the Lake Victoria Basin for example PHE is a process.

The aim of the sustainability for PHE policy and programming module is to help policy and decision makers, planners, programme managers /implementers, researchers and beneficiary communities (youth, women and men) understand the concept of sustainability and its application to PHE approach in the member states of the East African Community with a view to ensuring that resources will continue to be availed for PHE programmes as an integral component of overall regional and specific national development processes. In this regard, there is need to look at various levels of operations – regional, national, county/district and community and determine what is required for sustainability that is policies, strategies, regulations, setting up and or reinforcing institutions and their structures and ensuring that necessary resources are regularly and consistently available.

**Learning Objectives:**
- To define sustainability and describe the rationale for PHE
- To describe PHE sustainability needs
- To describe the Pillars of sustainability
- To highlight PHE success stories based on sustainability i.e. long-term PHE programmes that have transformed populations, environments and health.
- To describe Sustainability Strategies
- To outline tips for sustainability plan
- To outline steps of developing a sustainability Plan

**Content**
Session 1: definition of sustainability and Rationale
Session 2: Approaches to sustainability
Session 3: Strategies for Sustainability

**Target Audience**
Programme Managers/Implementers
Policy/decision makers/planners
Government officers
CBOs/NGOs
Researchers

**Methodology**
Brainstorming
Case studies
Small Group work/discussions
PowerPoint Presentations

**Evaluation**
The module will be evaluated through pre and post evaluation questionnaire
There will also be a follow up of participants using the next steps plan they will develop during the training.

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**Session 1: Definition of sustainability and Rationale**

**Session Objectives**
At the end the session the participants should be able to:

- Define sustainability
- Describe Rationale for sustainability
- Describe the Pillars of sustainability
- Outline the features of Sustainability training

**Facilitator Instructions/Notes**
1. Brainstorm on the meaning of sustainability
2. Record responses on Flipchart paper
3. Discuss the rationale for sustainability
4. Present the PowerPoint

The following should be the highlights of the presentation:

**Definition**
Sustainability is the ability to continue a defined behavior indefinitely by harvesting or using a resource such that the resource is not depleted or permanently damaged for example forests should be used in a such way that forest cover remains in place through replacement of tree planting as some forest trees are cut for human use. Sustainability is frequently presented as the balance among environment, economy, and social dynamics: components that are interdependent. The goal of sustainability is to improve life for future generations. Traditionally, sustainability is rooted in resource conservation and management and its efforts have focused on environmental and economic elements, at times neglecting human population health as an important aspect of the social component. Improving quality of life for future generations requires protecting environmental health and well-being of today's children and women of reproductive age. Generally, Sustainable Development (SD) is often well-defined and
applied than sustainability. It is defined as “…. development that meets the needs of the present without compromising the ability of future generations to meet their own needs.” (WECD 1987)

**Pillars of Sustainability:**
There are three pillars of sustainability, namely:

- **Environmental sustainability** is the ability to maintain rates of renewable resources’ harvest, pollution creation, and non-renewable resources’ depletion that can be continued indefinitely.
- **Economic sustainability** is the ability to support a defined level of economic production indefinitely. The economic dimension of sustainability concerns the organization’s and individual’s impacts on the economic conditions of stakeholders and on economic systems at local, national, and global levels. It does not focus on the financial condition of an organization or individual.
- **Social sustainability** is the ability of a social system, such as a country or a community to function at a defined level of social wellbeing indefinitely. Health is usually subsumed under the social pillar, though it can be argued that health is a cross-cutting theme or an outcome of sustainability.

Sustainability can be achieved when equal weight is given to all the three pillars in decision-making processes across sectors at policy and strategy levels. Creating and maintaining conditions under which man and nature can exist in productive harmony, and fulfill the social, economic, and other requirements of present and future generations forms the basis of sustainability. Sustainability, therefore, is achievable through human (population) activities. Human beings therefore need to consider the following points for meaningful sustainability that is less costly in terms of money i.e. a non-monetary-based sustainability approach.

1. **All concerned (stakeholders) agree: What will the defined (stakeholders) community look like if stakeholders are successful?**

   If stakeholders are to build strong efforts to benefit their communities - the reason an implementing organization exists in the first place - it is important to first look beyond the implementing of funding organizations and out towards that intended beneficiary community. Generally, the most important reason why people want support for their community is that in reality, few people care about the implementing or funding organization nearly as much as they care about their community.

   It is critical to identify what the REAL goal is. And that real goal is the stakeholders/ultimate beneficiary community be better in some way, and hopefully significantly better.
Consider “Community Success” through the eyes of a food bank.

- Is your definition of success “a community where everyone who needs food has access to the food bank?”

  OR

- Would success be a community where everyone who needs food has just access to food?

  OR

- Might you define even larger success, perhaps a community where everyone has all their basic needs met?

2. **Build Strong Infrastructure**

   *What resources can stakeholders share?*

A strong programme needs a strong infrastructure. The strongest infrastructure is one that tightly interweaves resources from all across the defined community, building engaged strength into the very skeleton of the programme. When building the infrastructure of programmes by interweaving the resources of others in defined communities, stakeholders are building a foundation that is resilient, that cannot be easily dismantled when times get tough. To achieve this, stakeholders must first map out the programme - What happens first? Then what? Then what?

The infrastructure strength that comes from building community programmes on a base of shared resources is more than the obvious - that it will likely cost less to build a defined programme. The real strength comes from the strength of that interwoven fabric. By building upon the community’s existing resources, one is building a programme that cannot be easily wound on closure of development partner assistance. In addition, every one of those partners (stakeholders) will feel ownership of the defined programme in a way that builds engagement directly into the core of the programme.

By building programmes upon a base of shared resources i.e. integrated and community-based, we are building strong engaged programmes while simultaneously building community strength and thus building a spirit of cooperation in our communities through the simple act of building a single programme of integrated PHE.

Generally, there is the tendency to look to external development partners to provide the base for alleged development globally without the exception of the member states of the East African Community. This tendency has led to loss of sight of the existing resources at regional, national and localized levels (for instance the LVB). Land, forestry, water and wild life are some of the resources in the LVB that can be leveraged upon with
minimal monetary inputs to sustain PHE programmes. Establishment of PHE coordinating structures such as steering committees, technical committees, planning committees at district/county and community levels will form institutional pillars on which PHE approach will thrive as a home-grown concept for many years to come since its support and benefits are entrenched in the localities.

3. **Build Engaged Support**

*How can efforts be strengthened by engaging others?*

Engaging a given community in development project or programme is not about fund-raising. To build real project or programme strength that will remain for years, engagement is a real two-way relationship and commitment. The project must talk to people whose lives are touched by the project activities in any way and asking for their ideas, wisdom and experiences. Engagement means making real friends – those who are friends will do anything in the world for their friend(s) because of their commitment to what the project cares about. From project/programme development to increasing seasoned volunteer pool to advocating to the local authority (like city council) to performing daily work can change the way we, as a community, think about those tasks and include engagement upfront instead of it as an afterthought. This approach will lead to ease of doing things such as approaching the city council, volunteers etc for the project implementation.

Through engaged support, a number of institutions come into play to assist the PHE processes for instance establishment of PHE oriented CBOs with emphasis on women and youth empowerment; ascertaining alternative livelihoods and income generating activities (IGAs) to improve the livelihoods of the people; and tapping into other forms of resource mobilization for example savings and credit cooperatives, loans, and grants from within the region or member states.

In essence sustainability can be achieved without reliance on external funding. Some of the examples that create sustainability are that people:

- Take responsibility for life in all its forms, and respect human work and aspirations
- Respect individual rights and community responsibilities
- Recognize social, environmental, economic and political systems to be inter-dependent
- Weigh costs and benefits of decisions fully, including long-term costs and benefits to future generations
- Acknowledge that resources are finite and that there are limits to growth
- Assume control of their destinies
- Recognize that the ability to see the needs of the future is limited, and any attempt to define sustainability should remain as open and flexible as possible

The diagram below illustrates the linkages between environment, health and development at the present and in the future.
The Need for Sustainability
Initiatives and research show that sustainability is a mother lode of organizational and technological innovations that yield both bottom-line and top-line returns. Becoming environment-friendly lowers costs because companies/organizations end up reducing the inputs they use. Sustainability process generates additional revenues from better products or enables companies/organizations/communities to create new businesses.

Sustainability from a practical perspective is an interactive learning process designed to help people/employees build long-lasting mechanisms into their everyday operations of their business. Sustainability provides role-based, on-demand, at-your-fingertips training for employees at all levels – management, operations, products, services, marketing and more, and for inhabitants at community, district, county, national and regional levels supported by policy, strategies and programmes/projects. Such a web provides a cohesive approach for integrated PHE programming as all entities are aware of the integrated approach, which is broader in outlook as opposed to sectoral approach.

Session 3: Approaches to sustainability
Session Objectives
At the end of the session participants should be able to:
- Describe skills required for sustainability
To develop sustainability plan

From a progressive and more pragmatic point of view, sustainability should be mirrored on a community-driven approach that aims at building and sustaining programmes with a broader view of the perceived sustainability. That view should aim first at the real reason why any entity: organization or otherwise should exist that is to benefit a defined community. From there, the community-driven approach to sustainability aims to build on the community’s strengths to create strong, engaged programmes - programmes with a sound infrastructure for example establishing institutional frameworks (policies, strategies, guidelines, rules etc.), and with hordes of people who care and utilize those institutional frameworks. For sustainability to take root, implementing “organizational survival mandate” routinely means the organization must stay solvent ahead of ends providing maximum benefit to the defined community and not the implementing organization itself.

When one considers sustainability from the perspective of a person who is always thinking of others, one aims first at building sustainability for defined communities. The defined community hence the necessity of community-based institutions is what matters most. The mandate is that one must build programme or project strength in ways that simultaneously build community strength. There is no working at cross-purposes, no struggle and hence there is alignment. And when times get tough, the community provides more support even to the implementing organization and other institutions.

In the context of the Lake Victoria basin or other parts of the East African community, sustainability for PHE should be approached from regional, national, county/district and community perspectives delineating specific needs at each level. For example at regional and national levels there should be enabling policies and strategies that promote PHE approach and consequently development of infrastructure (institutions, organizations, networks, inter-sectoral committees) for PHE. This infrastructure is then used to lobby/advocacy and influence review of existing situation and determine how best to approach and institutionalize PHE in overall development processes at regional and national levels. In tandem there should be efforts at the county/district and community levels of initiating consultative process on PHE approach taking account of the inhabitants’ needs and priorities as well as their perceived solutions to those needs and the identified issues can be resolved for example through group formations with relevant leadership mechanisms put in place. This approach will build on the regional and national infrastructure and consequently this infrastructure will by extension lead to establishment of specific committees and localized non-state organizations that will support state policies and strategies to operationalize PHE process in terms of developing projects that address the specific PHE issues in those localities using both available local resources and externally-generated resources.
Sustainability Skills
Sustainability training generally reflects industry's best practices and provides applicable know-how, such that lessons can be put right to work. Courses are built with instructional design rigor and produced to deliver an engaging and interactive experience for learners. However, this sustainability approach is known as traditional as it focuses on a sector and therefore misses the integrated or community-driven approach that puts the community’s interest first and foremost. The intent here is of Community Benefit Organizations where selflessness of building a better world is advanced. That intent is aimed at helping people and animals, preserving history and natural environment, educating and inspiring human beings, providing outlets for artistic expression and artistic appreciation and consequently laying strong foundations upon which future generations will be anchored.

It is time the organizations doing that incredible work had tools and systems that can simultaneously build strong communities and build strong, sustainable programs to serve those communities. For the Lake Victoria Basin, there is need for examining the existing infrastructures in member states in terms of environmental and health policies, strategies and frameworks and determine those that can foster integration from a PHE perspective and lead to establishing PHE oriented community-based organizations in the member states.

Sustainability Training

<table>
<thead>
<tr>
<th>TRACK</th>
<th>TOPICS</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Everyone</td>
<td>What is a sustainable business? Why do it? Key sustainability concepts. Language of sustainability. Viewing products as systems. Climate change and flooding or drought. What can people do in their organizations or environments today?</td>
</tr>
<tr>
<td>Operations</td>
<td>How to apply sustainability principles into the demand and supply? Understanding cost and benefits of sustainable activities e.g. renewable energy, afforestation, land conservation, balanced human fertility etc.</td>
</tr>
<tr>
<td>Marketing and Products</td>
<td>How to appeal to conscious consumers and customers?</td>
</tr>
<tr>
<td></td>
<td>How to improve product branding and messaging while avoiding costly mistakes?</td>
</tr>
<tr>
<td></td>
<td>How to use lifecycle considerations to make more sustainable products?</td>
</tr>
<tr>
<td></td>
<td>Transition some products into services?</td>
</tr>
<tr>
<td></td>
<td>Promote innovation. Build the ‘product brand within.’</td>
</tr>
</tbody>
</table>
### Management

What does it mean to go integrated PHE and be sustainable?

- How to apply the sustainability lens across the PHE projects/programmes?
- Treating sustainability as an investment rather than a cost. Accounting for project/programme-based results.
- Getting your people engaged to help drive results and improve PHE culture.

Any sustainability training can be customized to tailor course content for the specific needs of a project/organization/grouping. Customization can include modifying the courseware to reflect the brand identity of your project/organization, reorganizing courses using a custom list of topics, modifying content to match the tone and terminology for your organization, and integrating new content to address topics critical for the group or organization.

**Facilitator Instructions/Notes**

1. Ask participants to discuss in groups why they should think of sustainability
2. Plenary presentations
3. PowerPoint presentation for highlights

**Start Thinking About Sustainability Now**

Thinking about sustainability is not something that should be left until your grant is coming to an end. You will need time to:

- Identify short-term and long-term sustainability strategies that will work for your organization.
- Conduct an assessment of your current project, and use the data collected on the performance of your grant to help you determine specific activities that can and should be continued, any additional labour pools to focus on, and the desired scale of activities that you want to sustain.
- Conduct a planning process for sustainability.
- Identify what resources are needed to sustain your project (e.g. faculty, staff, equipment, space, etc.) and work toward obtaining them.

### Session 3: Sustainability Strategies

**Session Objectives**

At the ends of the session participants should be able to:

- Outline steps of developing a sustainability plan
- Describe tips for sustainability

Sustainability strategies that you may want to pursue include:

- Establish a formal or informal group to address sustainability—do this early!
• Write out what your vision and goals for the project are, and consider if you want to make any changes.
• Look at how you expect to fund sustainability, considering the preferences, needs, and desired outcomes
• Develop buy-in among your strategic partners for the aspects of your project that you plan to sustain, especially those partners that provided leveraged resources during the life of your grant or are likely to provide leveraged
• Market the idea, both internally, within your company/organization, and externally, to your colleagues, strategic partners, board members, industry associations, and other state or national organizations of which you may be a part. Conducting a SWOT analysis of your environment may help you determine the best channels through which to market.

**Develop a Sustainability Plan for PHE**
As worthy as your project may be, it is not going to sustain itself. You need to plan your effort carefully and then systematically undertake the appropriate steps. These include; Base your decisions on data, to the extent that you can. A good starting point is your quarterly performance reports. An assessment of your project’s current and past performance can allow project staff and partners to make informed decisions when planning sustainability.

Specify whom you want to serve. Identify whether the activities will be available to all or focused on one or more specific groups such as dislocated workers, incumbent workers, or youth. This will help in determining additional project funding sources. Which ones will be maintained? Which ones will change? You do not have to sustain all of your activities, just the ones that are intended to achieve your desired outcomes. You may even want to add some new activities.

Identify what you need to manage and operate the activities you have selected. Once the project activities have been established, you may decide that either a smaller or larger commitment of management resources within your organization is necessary.

Are current and potential partners and other stakeholders aware of your sustainability planning activities? Include dissemination about your project in both your planning and your budget.

Find champions – organizations and interest groups – that benefit from your project’s activities or who are interested in the target groups you are serving can be great allies!

**Facilitator Instructions/Notes**
1. Using the above steps of developing a sustainability plan, ask the participant to develop their plan. This is group work
2. This should be presented in plenary
**Sustainability Tips**

- Take sustainability seriously – Don’t assume that if the idea is good it will automatically attract future support. Sustainability must be planned.
- Set clear and realistic expectations – What do you hope to sustain? What makes the most sense?
- Build capacity – Consider whether or not to build the capacity of your organization in order to foster sustainability, such as developing new training activities that meet the workforce and industry demands in your local or regional area, or increasing the number of faculty, staff, or training courses currently offered.
- Consider ways to institutionalize, or incorporate all or some part of the effort into existing, ongoing organizational or community operations, rather than continuing it as a separate project. Collaborate with partners – on an ongoing basis.
- Make sure your partners realize the benefit of participating in your project, are kept up to date on how the project is doing, and feel involved. Build into the project design a role for partners in developing and implementing the sustainability plan.
- Document and evaluate outputs and outcomes as marketing tools – Produce data and reports that can be used as tools to explain the initiative’s mission and successes and to serve as outreach tools to garner further support. Toot your own horn as you go along. Don’t wait until the end of the grant to get the word out about your successes.
- Actively pursue the resources needed to ensure sustainability – Make sure specific staff members are tasked with pursuing needed resources. If possible, assemble a team to identify public and private resources that best align with what you wish to sustain, as well as any issues or challenges that may need to be addressed in order to successfully pursue those resources.
- Look at what others have done to sustain their projects

**Scaling Up**

Scaling-up has three components: expansion, replication, and collaboration. The opportunities for scaling-up, such as reaching out to new locations and people, extending pilot projects to policies at local and national levels, and expanding services to current clients exist in successful PHE projects. Another key factor to scaling-up the PHE approach is strengthening the national PHE network.

**RESOURCES**

1. The Urban Institute report on the High Growth Job Training Initiative, which is available at http://www.urban.org/publications/411556.html, includes grantee contacts and a summary of their sustainability strategies.

2. Visit www.workforce3one.org, to access High Growth and Community-Based grantee solutions. These solutions include curriculum, competency models, distance learning tools, career awareness and outreach materials, research findings, case studies, career lattices, Web sites, and more! You can search and download all of the solutions for free on Workforce3One.org. Look at what other
projects have done to see how they have sustained themselves and see what ideas might be adaptable to your project.

3. Do Population-Health-Environment (PHE) initiatives work? Evidence from WWF-sponsored projects in Africa and Asia by David López-Carr

4. Children’s environmental health indicators as tools to measure progress toward sustainability by Rebecca Rehr1, Gregory Miller2, & Brenda Foos, 2014

Introduction Session

The monitoring and evaluation (M&E) of Population, Health and Environment (PHE) programmes, including integrated community development efforts, requires an innovative approach to reflect the small-scale, community-based, and multi-sectoral nature of these projects. These diverse programmes require M&E training and tools that address the smaller staffs and budgets as well as the remote locations and community focus that characterize many of these programmes. The M & E training is cognizant of the complexity of working across population, health and environment sectors. In spite of the complexities, there are linkages between these sectors that are critical for the well-being of human populations, their health and well-managed natural resources. These linkages underpin the necessity of having cross-sectoral programmes as well as measurement of their performance to determine their usefulness (or not useful) to both human populations and natural environments.

This module is adapted from the materials developed by Measure Evaluation for training those involved in the implementation of integrated PHE projects/Programmes and those who have the potential of implementing such Programmes and taken account of the LVBC Monitoring and Evaluation Framework and Plan as well as the Operational Plan (2015 – 2020) for the Lake Victoria Basin.
Learning Objectives
The aim of the module is to create a reservoir of skilled Monitoring and Evaluation expert teams, through participatory approaches, at different levels (regional, national, district and community) committed to developing and implementing programme M&E plans that facilitate measuring performance of PHE programmes in the Lake Victoria Basin.

At the end of the training participants should be able to:
• Define the basic concepts and practical approaches for performance monitoring and evaluation for integrated population, health and environment programmes
• Describe state-of-the-art tools and techniques used specifically to monitor and evaluate population, health and environment programmes
• Identify and differentiate between conceptual frameworks, results frameworks and logic models;
• Design components of monitoring and evaluation plans for population, health and environment programmes

Target Audience
• Policy- and decision-makers
• Programme Managers and officers
• M&E Managers and officers
• Data managers and officers

Content
• Session 1: Principles of Monitoring and Evaluation
• Session 2: Conceptual Frameworks for Monitoring and Evaluation
• Session 3: Monitoring and Evaluation Indicators
• Session 4: Monitoring and Evaluation Plan
• Session 5: Information Use
Session 1: Principles of Monitoring and Evaluation

Facilitator Notes/Instructions:
1. Ask participants to state what they understand by Monitoring and Evaluation using examples from their daily routine with particular emphasis on population, health and environment (PHE).
2. Write the responses on a flipchart
3. Discuss the responses in the context of PHE approach focusing on what exists or should exist in terms of PHE policies and legal frameworks, networks, integrated programmes and resources (finance/human/physical facilities) in the East African Community member states. Critical review of regional (trans-boundary), national, district and community-based contexts and the extent to which M & E principles are being practiced.

Take Home Messages

Monitoring is a continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (OECD, 2002a).

Monitoring: What are we doing?

From a PHE perspective, monitoring may collect information on examples such as: types of integrated messages/materials developed for different level/groups (regional, national, county, and district as well as community-based); number of new PHE partnerships created that have linkages to different sectors; number of plans formulated (regional, national, county, and district as well as community-based) applying multi-sectoral conceptual approaches. It should be pointed out that whereas these indicators are critical, sectoral indicators such as proportion of population aged less than 15 years; estimated number of malaria cases; household head knows cause(s) of soil degradation cannot be ignored in the integrated approach as they remain core business that lead to development of composite indicators in any given project or programme.

Evaluation is the systematic and objective assessment of an ongoing or completed project, programme or policy including its design, implementation and results.

Evaluation: What have we achieved?

• M&E provides organizations with a tool to measure programme effectiveness
• M&E provides organizations with a tool to monitor how efficiently the programme is performing
• Main purpose of M&E is information generation, analysis and use
• M&E promotes organizational/programme learning

Give the participants a summary of key elements of Monitoring and Evaluation as summarized below.
<table>
<thead>
<tr>
<th>Monitoring Elements</th>
<th>Evaluation Elements</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Covers wide range of activities and requires routinely data collection</td>
<td>• Determines the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability through measurement of services’ relevance, efficiency and effectiveness</td>
</tr>
<tr>
<td>• Implies analysis and use of data</td>
<td>• Provides credible and useful information, enabling the incorporation of lessons learned into decision-making process of both recipients, development partners and any other stakeholders</td>
</tr>
<tr>
<td>• Level that records information should be able to use the information</td>
<td>• Assesses achievement against preset / pre-determined criteria</td>
</tr>
<tr>
<td>• Designing data collection systems with utilization principle in mind helps improve chances that the data will be collected carefully and put to use at every level</td>
<td>• Serves variety of purposes, and follows distinct methodologies (process, outcome, performance)</td>
</tr>
<tr>
<td>• Provides platform for review of information on programme implementation, coverage and use</td>
<td>• Systematically determines extent of achievement of service needs and results, and analyses reasons for status</td>
</tr>
<tr>
<td>• Serves as early warning on project/intervention shortcomings</td>
<td>• Measures whether and extent a programme’s inputs and services are improving quality of people’s lives</td>
</tr>
<tr>
<td>• Provides elements of analysis on performance to determine type of progress</td>
<td>• Identifies both intended and unintended results whether positive or negative</td>
</tr>
</tbody>
</table>

There are many different understandings of the words, “monitoring” and “evaluation”. This session provides a general understanding of the key concepts behind these terms. It is also important to understand how they apply to the PHE work that you are doing.
Session 2: Conceptual Monitoring and Evaluation Frameworks

Session Objectives
At the end of the session the participants should be able to
- Define conceptual framework and its purpose in M&E
- Develop a conceptual framework for the PHE Projects/Programmes
- Describe the purpose of the logical model in PHE projects/Programmes
- Describe the Results chain

Facilitator Notes/Instructions:
1. Ask participants to state what they understand by a) Framework b) Monitoring and Evaluation Frameworks. They should give examples from their daily work with particular emphasis on population, health and environment (PHE).
2. Write the responses on a flipchart
3. Discuss the responses in the context of PHE approach focusing on what exists or should exist in terms of PHE monitoring and evaluation frameworks at global, region (East African Community), national and local (district & community-based). Critical review of regional (trans-boundary), national, district and community-based contexts and the extent to which M & E frameworks exist and are being practiced.

Conceptual framework
Definition:
Conceptual framework is a diagram that identifies and illustrates relationships between all relevant systemic, organizational, individual, or other salient factors that may influence programme or project operation and the successful achievement of programme or project goals.

Purpose for M&E Conceptual Framework in PHE:
- To show where the programme fits into wider context for example the Lake Victoria Basin PHE operational plan (2015 – 2020)
- To clarify assumptions about causal relationships
- To describe causal pathways

Importance of Conceptual Frameworks for M&E of PHE
- Demonstrate knowledge or understanding of the problematic context – situation analysis.
- Show the linkages between PHE programme areas, demonstrating the synergies between integrated problems for example high population growth versus land depletion i.e. soil erosion and integrated solutions for example tree planting, terracing, family planning services.
- Draw or explain relationships between the problems that a programme/project addresses and the external context (environmental factors), demonstrating ways that programme activities may affect knowledge, attitudes, skills, and behaviors of the target population.
- Help identify what monitoring and evaluation information might be useful to measure programme success.
A conceptual framework is usually disaggregated to more practical realities in the form of a logical framework approach (LFA). Normally LFA has five components which describe the various events in a programme during implementation that is inputs, activities, outputs, outcomes and impact. Implementation of programmes is based on a defined goal (impact) to be achieved; purpose (outcome) to be realized in the medium term (3 – 5 years); output/target and inputs/activities. Inputs/Activities and the resultant outputs for the monitoring system of a project or programme whereas the outcomes/purpose and the goal/impact form the evaluation system.

In the LVB PHE programme context, it is important to look at monitoring and evaluation from a hierarchical perspective of policy, strategy and operations since the PHE concept or approach is still in its infancy and needs nurturing to take root in all the EAC member states. In this regard, there is need to monitor whether PHE policies, strategies and operations exist in the member states and determine the respective status for each of these hierarchies. Depending on the status, it is also important to institute evaluative mechanisms on the performance of each of the components: policy, strategy and operations (programmes) as deemed appropriate. Indicative LFA would be:
# Logical PHE Framework for the Lake Victoria Basin

<table>
<thead>
<tr>
<th>Hierarchy Level</th>
<th>Description of Event</th>
<th>Indicator(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Policy objective</strong></td>
<td>• Regional PHE framework for cooperation in the Lake Victoria Basin developed</td>
<td>Regional PHE framework for cooperation in the Lake Victoria Basin developed</td>
</tr>
<tr>
<td></td>
<td>• Regional PHE framework for cooperation in the Lake Victoria Basin operationalized</td>
<td>Level of operationalization of regional PHE framework in the Lake Victoria Basin</td>
</tr>
<tr>
<td><strong>Specific objective</strong></td>
<td>• PHE coordination at local (community &amp; district), national and regional levels strengthened</td>
<td>Harmonized implementation mechanisms at local (community &amp; district), national and regional levels</td>
</tr>
<tr>
<td><strong>Outcomes</strong></td>
<td>• Regional PHE framework for cooperation in the Lake Victoria Basin developed and operationalized</td>
<td>Number of institutions using the Regional PHE framework for cooperation in the Lake Victoria Basin</td>
</tr>
<tr>
<td><strong>Outputs</strong></td>
<td>• Financial, skilled human resources, motor vehicles for transport, office space and equipment availed</td>
<td>• Number of stakeholders’ forum established</td>
</tr>
<tr>
<td></td>
<td>• Stakeholders’ forum established</td>
<td>• Number and type of PHE guiding documents operationalized</td>
</tr>
<tr>
<td></td>
<td>• PHE guiding documents operationalized</td>
<td>• Number of semi-annual PHE Regional Technical Working Group meetings held and minutes of the meetings</td>
</tr>
<tr>
<td></td>
<td>• Semi-annual PHE Regional Technical Working Group meetings held</td>
<td></td>
</tr>
<tr>
<td><strong>Activities</strong></td>
<td>• Establish PHE stakeholders’ forum</td>
<td>Functional PHE stakeholders’ forum</td>
</tr>
<tr>
<td></td>
<td>• Develop PHE guiding documents</td>
<td>Number of PHE guiding documents developed e.g. strategic plans, M &amp; E frameworks, minimum PHE integration package</td>
</tr>
<tr>
<td></td>
<td>• Operationalize PHE guiding documents</td>
<td>PHE guiding documents operationalized</td>
</tr>
<tr>
<td></td>
<td>• Convene semi-annual PHE Regional Technical Working Group meetings</td>
<td>• Number of semi-annual PHE Regional Technical Working Group meetings convened</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Number of semi-annual PHE Regional Technical Working Group meetings’ reports</td>
</tr>
<tr>
<td><strong>Inputs</strong></td>
<td>• Financial, skilled human resources, motor vehicles for transport, office space and equipment</td>
<td>• Amount of financial resources availed; numbers and cadres of skilled human resources available; number/type of motor vehicles; area of office space and type/number of office equipment</td>
</tr>
</tbody>
</table>
What Are Results Chains?
A results chain is a tool that clarifies assumptions about how project or programme activities contribute to reducing threats and achieving thematic targets for example integrated PHE. They are diagrams that map out a series of causal statements that link factors in an “if...then” fashion – for example, if a threat is reduced, then a health target is enhanced or if an opportunity is taken, then a thematic target might be improved. In some organizations, results chains are also termed “logic models.” Results chains focus on the achievement of results to define how one thinks project activities will contribute to one’s goal.

The basis for the chain comes from one’s conceptual model, but one will build on that model to make it more specific and to make the boxes results-oriented. Results chains are composed of an activity or strategy (a group of activities), desired outcomes, and the ultimate impact that these results will have on the biodiversity, sanitation or fishery target. A goal is a formal statement of a desired impact on a target and an objective is a formal statement of a desired outcome.

An Overview of Terms Used to Describe Results
Facilitator Notes/Instruction:
1. Ask participants to state what they understand by a) Results b) Flow diagrams for results. They should give examples from their daily work with particular emphasis on population, health and environment (PHE).
2. Write the responses on a flipchart
3. Discuss the responses in the context of PHE approach focusing on what results are expected from the inputs and activities in the PHE programmes at regional (East African Community), national and local (district & community-based) levels. Critical review of regional (trans-boundary), national, district and community-based contexts and the extent to which results are achievable, giving examples of some of the results particularly at output and intermediate outcome levels.

There is a great deal of confusion in the world over the different terms used to describe the results of a project. What one person calls an “outcome” another calls a “result” and yet a third person calls an “impact.” The following figure shows the terms as they are most commonly used by evaluation experts in different fields such as development and public health.

Flow Diagram of Results

```
[Flow Diagram Image]
```
Definitions of Result and Results’ Terms

Result is a consequence, product, finding, an effect, outcome, upshot, answer, or conclusion. It is a describable or measurable change derived from a cause and effect relationship at level of achievement of projects, programmes or policy.

\[ \text{RESULT} = \text{CHANGE} \]
\[ \text{CAUSE} \rightarrow \text{EFFECT} \]

A result is something that is produced by an activity or operation; an item of information or a quantity or formula obtained by experiment or calculation. It can be satisfactory/favourable or unsatisfactory/unfavourable outcome. It provides insights into any corrective measures for development in a given sector and forms a basis for determining future direction and scale of development in a given sector. There are terms used that yield results. These terms are briefly described below.

- **Activities**: Actions taken or work performed to produce specific outputs through mobilizing resources (inputs)
- **Inputs**: Human, material, financial and other resources required to undertake/perform activities
- **Outputs**: Immediate results from completed activities
- **Outcome**: Likely or achieved short-term to medium-term effects of outputs
- **Impact**: Long-term effects that are logical consequence of achievement of the outcomes

An illustrative results logical model for PHE in the Lake Victoria Basin is provided below.

### Results-based PHE Logic Model for the Lake Victoria Basin

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impact</th>
</tr>
</thead>
</table>
| Human, material, financial and physical resources | • Mobilize and leverage resources for PHE initiatives  
• Establish national PHE networks to propagate PHE networks  
• Build capacity of national PHE networks on PHE | • Established national PHE networks  
• Operational national PHE networks | • Institutionalized integrated PHE approach into national and regional policies | A prosperous population living in a healthy and sustainably managed environment providing equitable opportunities and benefits |
### Session 3: Indicators

**Session Objectives:**
- Define an indicator and its characteristics
- Describe the process of selecting indicators
- Develop an indicator reference sheet for each indicator

**Facilitator Notes/Instructions:**
1. Ask participants to state what they understand by indicator. They should give examples from their daily work with particular emphasis on population, health and environment (PHE).
2. Write the responses on a flipchart
3. Discuss the responses in the context of PHE approach focusing on what indicators exist for PHE monitoring and evaluation at global, regional (East African Community), national and local (district & community-based). Critically review regional (trans-boundary), national, district and community-based contexts and the extent to which the indicators are harmonized and applied.

**Definition**

**Indicator** is a variable that measures one aspect of a programme/project or an outcome. An appropriate set of indicators includes at least one indicator for each significant aspect of the programme or project. For PHE programmes or projects, it is necessary to always include integration and value-added indicators.

**Outcome indicator** identifies a specific *numerical measurement* that tracks progress (or no progress) toward achieving an outcome.

In order to have meaningful outcomes, there is need to set indicators and specifically outcome indicators.

**Measuring “results” is measuring outcomes and impact.** This goes beyond measuring only inputs and outputs. A set of regular measurable performance indicators determines whether outcomes are being achieved or not. The selection process of performance indicators should be guided by knowledge of the concerns of interested stakeholders. Managers must distill stakeholder interests into good, usable performance indicators and outcomes should be disaggregated to ensure that indicators are relevant across the concerns of multiple stakeholder groups. Consideration of what the ideal number of indicators for any one outcome and the minimum number should ensure that the outcome will be achieved.

Indicators must be developed in such a way that they must be:

- **Clear** - precise and unambiguous
- **Relevant** - appropriate to the subject at hand
- **Economic** - available at a reasonable cost
- **Adequate** - provide a sufficient basis to assess performance
- **Monitorable** - amenable to independent validation

These five criteria, referred to as CREAM, are mandatory for the success of formal performance indicators. A results-based M&E system should commence with having a simple, meaningful and quantitatively measurable system.

A **good indicator** is valid and has the following characteristics:

- Measures what it is supposed to measure
- An accurate measure of a behavior, practice, or task
  - Direct measures
  - Proxy measures (substitute measures)
- Straight forward interpretation: change in value signals a change in concept or behaviour
- Is consistently measurable in the same way by different observers or people
- Is precise - operationally defined in clear and understandable terms
Types of errors in measuring indicators:

- Bias: estimates, for example of condom use, may reflect people’s desire to answer questions to please the interviewer

- Personal opinion: indicators that ask for personal judgment such as “quality,” “positive environment,” and “progress.”

Factors to Consider When Selecting Indicators

- Logical – are they linked to framework?
- Programmatic needs – do they provide the information needed for decision making?
- Resources – Are the indicators affordable to collect?
- External requirements – Are they needed for government, donor, headquarters?
- Data availability – Can the needed data be obtained for both numerator and denominator?
- Standardized indicators – Can the data be compared across programmes/countries?
- Is there a “gold standard” for this indicator?
- Are the indicators in the PHE Indicator Guide?
- Select several indicators for any one outcome
- Make sure the interest of multiple stakeholders are considered
- Know that over time, it is ok (and expected) to add new ones and drop old ones
  Have at least three points of measurement before you consider changing your indicator

Examples of Indicators Sector Specific Indicators

<table>
<thead>
<tr>
<th>SECTOR</th>
<th>INDICATOR(S)</th>
<th>SOURCE OF INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population</td>
<td>1. Population aged less than 15 years (%)</td>
<td>Baseline Survey/National Statistical Office</td>
</tr>
<tr>
<td></td>
<td>2. Ratio of female to male enrolment in educational institutions (primary, secondary and tertiary levels)</td>
<td>Baseline Survey/Ministry of Education</td>
</tr>
<tr>
<td></td>
<td>3. Number of people employed by sector</td>
<td>Baseline Survey/National Statistical Office/Ministry of Manpower/Labour</td>
</tr>
<tr>
<td></td>
<td>4. Number of people with knowledge about family planning</td>
<td>Baseline Survey/National Statistical Office/Ministry of Health</td>
</tr>
<tr>
<td></td>
<td>5. Contraceptive prevalence rate – CPR (modern methods)</td>
<td>Baseline Survey/National Statistical Office/Ministry of Health</td>
</tr>
<tr>
<td></td>
<td>1. Diarrhea prevalence in general population</td>
<td>Survey/Ministry of Health</td>
</tr>
</tbody>
</table>
### Health

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Source of Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Fever prevalence in general population</td>
<td>Survey/Ministry of Health</td>
</tr>
<tr>
<td>3. HIV prevalence</td>
<td>Survey/Ministry of Health</td>
</tr>
<tr>
<td>4. Proportion of households using an improved toilet facility (pit/VIP/inside house)</td>
<td>Survey/Ministry of Health</td>
</tr>
<tr>
<td>5. Estimated number of malaria cases</td>
<td>Ministry of Health/National Statistical Office</td>
</tr>
<tr>
<td>6. Number of people who have heard about STIs</td>
<td>Survey/Ministry of Health</td>
</tr>
<tr>
<td>7. Number of people who know about condoms</td>
<td>Survey/Ministry of Health</td>
</tr>
<tr>
<td>8. Number of people who know how to prevent STIs</td>
<td>Survey/Ministry of Health</td>
</tr>
</tbody>
</table>

### Environment

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Source of Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. No. of Household head knows soil degradation</td>
<td>Baseline survey</td>
</tr>
<tr>
<td>2. % of Acreage of land under cultivation</td>
<td>Baseline/Ministry of Agriculture</td>
</tr>
<tr>
<td>3. % Change in types of crops being cultivated</td>
<td>Baseline/Ministry of Agriculture</td>
</tr>
<tr>
<td>4. % Change in annual revenue of farmers</td>
<td>Baseline/Ministry of Agriculture</td>
</tr>
<tr>
<td>5. % of Forest land cover</td>
<td>Ministry of Environment</td>
</tr>
<tr>
<td>6. No. of Household head knows cause(s) of soil degradation</td>
<td>Baseline/Ministry of Agriculture</td>
</tr>
<tr>
<td>7. No. of tree seedlings planted</td>
<td>Baseline/Ministry of Agriculture</td>
</tr>
<tr>
<td>8. No. of Visit(s) by Agricultural Extension Worker</td>
<td>Baseline</td>
</tr>
<tr>
<td>9. % of Wetlands cover</td>
<td>Ministry of Environment</td>
</tr>
</tbody>
</table>

#### Examples of Integrated PHE Indicators

<table>
<thead>
<tr>
<th>INDICATOR(S)</th>
<th>SOURCE OF INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Proportion of institutions in the Lake Victoria Basin with integrated PHE approach in their policies</td>
<td>Lake Victoria Basin Commission/National PHE Coordinating Units/Departments</td>
</tr>
<tr>
<td>2. Proportion of East African Community Partner states with operational PHE networks</td>
<td>Lake Victoria Basin Commission/National PHE Coordinating Units/Departments</td>
</tr>
<tr>
<td>3. PHE Operational information and knowledge management system in place</td>
<td>Lake Victoria Basin Commission/National PHE Coordinating Units/Departments</td>
</tr>
<tr>
<td>4. Number of national and regional PHE studies undertaken</td>
<td>Lake Victoria Basin Commission/National PHE Coordinating Units/Departments</td>
</tr>
<tr>
<td>5. Number of PHE information, Education and communication materials developed</td>
<td>Lake Victoria Basin Commission/National PHE Coordinating Units/Departments</td>
</tr>
<tr>
<td>6. Number of integrated environmental conservation initiatives implemented</td>
<td>Lake Victoria Basin Commission/National PHE Coordinating Units/Departments</td>
</tr>
<tr>
<td>7.</td>
<td>Proportion of targeted population accessing quality population and health services</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>9.</td>
<td>Number of environmental CBOs involved in Population and Health service delivery</td>
</tr>
<tr>
<td>10.</td>
<td>Number of health CBOs involved in environmental conservation</td>
</tr>
<tr>
<td>11.</td>
<td>Number/types of integrated messages/materials created</td>
</tr>
<tr>
<td>12.</td>
<td>Number of placements of integrated PHE messages in print and electronic media by independent sources</td>
</tr>
<tr>
<td>13.</td>
<td>Number of environmental CBOs involved in Population and Health service delivery</td>
</tr>
<tr>
<td>14.</td>
<td>Number and frequency of PHE educational sessions provided in the targets</td>
</tr>
<tr>
<td>15.</td>
<td>Percent of households knowledgeable about a specific PHE issues</td>
</tr>
<tr>
<td>16.</td>
<td>Number of policy-makers knowledgeable about or aware of PHE issues</td>
</tr>
<tr>
<td>17.</td>
<td>Number of local policies/plans that integrate PHE</td>
</tr>
<tr>
<td>18.</td>
<td>Number of new PHE partnerships created that link organizations or institutions from different sectors</td>
</tr>
<tr>
<td>19.</td>
<td>Amount of funding leveraged for PHE activities</td>
</tr>
<tr>
<td>20.</td>
<td>Number of county/district plans formulated using multi-sectoral representation</td>
</tr>
<tr>
<td>21.</td>
<td>Number of PHE management committees headed by women and youth</td>
</tr>
<tr>
<td>22.</td>
<td>Number of PHE model homesteads established</td>
</tr>
</tbody>
</table>

**Why is M&E necessary for PHE programmes?**

- To collect information to make informed and evidence-based decisions.
- To make adjustments during implementation and refine project activities.
- To demonstrate progress and explain unique PHE-related challenges to stakeholders, funders & partners.
- To create records of past and present performance for future assessment and institutional memory.
- To demonstrate the advantages of working across sectors rather than working in a single sector, showing the value of integrated approach

**Session 4: Monitoring &Evaluation Plans**

**Session Objectives**

At the end of the session the participants should be able to:

- Describe the purpose of an M&E Plan in PHE Projects and Programmes
• Describe the elements of an M&E Plan
• Develop an M&E Plan

**Facilitator Notes/Instructions:**
1. Ask participants to state what they understand by a plan. They should give examples from their daily work with particular emphasis on population, health and environment (PHE). Write the responses on a flipchart.
2. Discuss the responses in the context of PHE approach focusing on what plans exist for PHE monitoring and evaluation at global, regional (East African Community), national and local (district & community-based).
3. Critically review regional integrated, national, district and community-based contexts and the extent to which the plans are logical and of good quality.

**Definition**

**M&E plan is a document that:**
- Describes the strategic information your project or programme will gather and use for decision making that will lead to project or programme improvement.
- Holds the programme accountable and tells you whether you succeeded or not.
- It describes in detail what, how, when the various aspects of a project or programme will be monitored and assessed.

**Messages**
- The M&E plan describes the strategic information your programme will gather and use for decision making that will lead to programme improvement.
- It is also the fundamental document that will hold the programme accountable and tell you whether you succeeded or not.
- Monitoring and evaluation are fundamental aspects of good programme management at all levels.
- M&E provides data on programme progress and effectiveness;
  - improves programme management and decision making, allows accountability to stakeholders, including funders;
  - provides data to plan future resource needs, and,
  - provides data useful for policy-making and advocacy.

**Importance of M & E Plan**
- Links information from various data sources to decisions that will improve programmes.
- States how the programme will measure achievements (ensure accountability).
- Documents consensus (encourage transparency and responsibility).
- Guides M&E implementation (standardization and coordination).
- Preserves institutional memory.
- Measures success.
- The M&E plan needs to be adjusted when a programme is modified.
- It also indicates how the various responsibilities and tasks will be shared among the various stakeholders.
NOTE: The goal of the Monitoring and Evaluation plan is to provide information that will enable tracking of progress and reach informed decision-making in the implementation of interventions of the project or programme.

- Usually participatory and qualitative methods are used to develop the plan as a way of consensus building and enhancing ownership and accountability at each stage of implementation.
- To ensure that M&E activities produce useful results, it is essential that you incorporate M&E in the programme design stage.
- Planning an intervention and designing an M&E plan are inseparable activities.
- To ensure the relevance and sustainability of M&E activities, project designers must collaborate with stakeholders and donors to develop an integrated and comprehensive M&E plan.
- Projects at all levels, whether single interventions or multiple integrated projects, should have an M&E plan in place to assess the project’s progress toward achieving its goals and objectives and to inform key stakeholders and programme designers about M&E results.
- An M&E plan should describe:
  - the overall goals and objectives of a programme; the specific M&E questions, methods, and designs to be used;
  - what data will be collected and how;
  - the required resources;
  - who will implement the various components of the M&E plan; and,
  - the time-line of the M&E plan.

Functions of an M&E Plan
- States the objectives of the programme
  - Programme rationale & objectives
- States how programme will measure achievements
  - Accountability
- Documents consensus
  - Transparency
  - Responsibility
- Guides M&E implementation
  - Standardization
  - Coordination
- Preserves institutional memory

At community level:
- Determines participation levels within all sectors
- Supervise community-based workers

At facility level:
- Facilitate cooperation with local providers/partners
- Manage logistics among partner organizations

At district/county level:
- Request resources/encourage collaboration
At national and regional levels:
  • Request resources/advocate for policy changes

**Elements of an M&E Plan**

i. Introduction
ii. Description of the Programme
iii. Indicators & Indicator Reference sheets
iv. Data Sources and Data quality Plan
v. Monitoring Plan
vi. Evaluation Plan
vii. Plans for Dissemination and Use of Information
viii. Capacity and Needs for M&E Plan Implementation
ix. Mechanisms for M&E Plan Update

**When to Plan for M&E**

At the stage of designing a project or programme, M & E specialist must be involved to advice on basic requirements of the planned project or programme for example the clarity of goals, objectives, availability and non-availability of information. Apart from these, the initial project activity plan should include routine monitoring and evaluation.

When planning, there is need to:
  • Identify potential, existing data sources and tools.
  • Create appropriate forms, tools, and guidelines to collect information during implementation.
  • Have integrated development programmes.
  • Plan with partners for shared M&E responsibilities prior to commencing activity implementation.

**Example of PHE Monitoring and Evaluation Plan for the Lake Victoria Basin**

<table>
<thead>
<tr>
<th>Specific Objective</th>
<th>Key Performance Indicator</th>
<th>Key Performance Indicator Definition</th>
<th>Reporting Frequency</th>
<th>Responsibility</th>
<th>Unit of Measure</th>
<th>KPI Baseline</th>
<th>Global Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>To mainstream PHE into regional &amp; national policies</td>
<td>Number of national institutions in partner states with integrated PHE in their policies</td>
<td>Institutions with structured and documented application of integrated PHE approach in their policies</td>
<td>Quarterly, semi-annually and annually</td>
<td>Lake Victoria Basin Commission</td>
<td>Numbers</td>
<td>Not applicable</td>
<td>50</td>
</tr>
<tr>
<td>To promote generation of PHE information and knowledge</td>
<td>Level of utilization of the PHE knowledge management web virtual system</td>
<td>Lake Victoria Basin Commission reports</td>
<td>Semi-annually and annually</td>
<td>Lake Victoria Basin Commission</td>
<td>PHE operational system</td>
<td>Not applicable</td>
<td>1</td>
</tr>
</tbody>
</table>
## Challenges for M&E in PHE Programmes

- Demonstration of integration
- Show partnerships and collaborative efforts between sectors
- Highlight the diverse PHE messages and services provided to communities
- Demonstrate community buy-in to the integrated approach
- Promote the sustainability of PHE
- Indicate the cost-effectiveness of cooperative efforts

1. Value addition:
   - The value added of integrating PHE includes the programmes’ potential to:
   - Achieve results outside of the initial programme plan, including positive effects on, for example, gender, governance, livelihoods, and youth
   - Create broader community-level changes than single sectors programmes
   - Provide more saving of costs and using funds more effectively

## Special Considerations for M&E for PHE

- Multi-sector measurements
- Limited budgets
- Need for lessons learned/best practices in M&E
- Use of both primary and secondary data sources
- Collaboration/cooperation between organizations
- Demonstrating integration
- How do we show others how we work across sectors?
- Issues of “value added”
- How do we demonstrate that our programmes are more than the sum of their parts?

## Overcoming Challenges of M&E for PHE

The training on this module addresses the following challenges:

- Measurement across sectors
- Working on a limited budget
- Alternative assessment techniques
- Determining the quality of secondary data
- Measurement of both integration and value added indicators
- Using standard indicators to measure results
Special M&E Considerations:

Stakeholder: Any person or group with a particular interest in a policy or programme

In PHE programmes, stakeholders may be:
- Government programme managers
- Policy makers
- Journalists/Media
- Private sector
- Donors
- Non-Governmental Organizations
- Service providers
- Beneficiaries
- Community-based workers

In PHE, programmes are complex and therefore require collaborative decision-making efforts in three distinct categories:
- Advocacy and policy formulation (community, district, etc.);
- Programme design and planning; and
- Programme management and operations.

To facilitate good decision-making process, all decision-makers and stakeholders need to understand well:
- How the programmes work, including how they collect information.
- The specific reporting and documentation procedures used by all partners
- Who will analyze the data that is collected, among partners and staff
- Specific information needs by different parties
- How data will be disseminated

Characteristics of Quality Evaluation

- Impartiality: The evaluation information should be free of political or other bias and deliberate distortions. The information should be presented with a description of its strengths and weaknesses.

- Usefulness: Evaluation information needs to be relevant, timely, and written in an understandable form. It also needs to address the questions asked, and be presented in a form desired and best understood by the manager.

- Usefulness: The information needs to meet relevant technical standards—appropriate design, correct sampling procedures, accurate wording of questionnaires and interview guides, appropriate statistical or content analysis, and adequate support for conclusions and recommendations, to name but a few.

- Stakeholder involvement: There should be adequate assurances that the relevant stakeholders have been consulted and involved in the evaluation effort.

- Feedback and dissemination: Sharing information in an appropriate, targeted and timely fashion is a frequent distinguishing characteristic of evaluation utilization. Communication breakdowns arise about findings themselves if: (a) evaluation information is not appropriately shared with those for whom it
is relevant; (b) the evaluator does not plan to systematically disseminate the information and instead presumes that the work is done when the report is provided; and (c) no effort is made to target the information appropriately to the audiences for whom it is intended.

• Value for money: Spend what is needed to gain the information desired, but no more. The cost of the evaluation needs to be proportional to the overall cost of the initiative.

Session 5: Use of Monitoring and Evaluation Information

Session Objectives
At the end of the session the participants should be able to:
• Describe the purpose of Information Use in PHE Projects and Programmes
• Describe the barriers to information Use
• Develop an information Use plan

Uses of Monitoring and Evaluation System and Findings
• M&E systems provide important feedback about progress - success or failure of projects, programmes and policies throughout their respective cycles.

• M&E systems constitute a powerful, continuous public management tool that decision-makers can use to improve performance and demonstrate accountability and transparency with respect to project, programme or policy results

• One way to consider M&E feedback within the development context is as follows: “Evaluation feedback has been broadly defined as a dynamic process which involves the presentation and dissemination of evaluation information in order to ensure its application into new or existing development activities . . . feedback, as distinct from dissemination of evaluation findings, is the process of ensuring that lessons learned are incorporated into new operations” (OECD 2001, p. 60).

• Use of M&E findings promotes knowledge and learning in governments and organizations. (Emphasize local knowledge acquisition, not knowledge transfer from donor to recipient)
• Knowledge and knowledge management are additional key components of using performance findings. New knowledge can be generated through the use of findings on a continuous basis. Knowledge management means capturing findings, institutionalizing learning, and organizing the wealth of information produced continually by the M&E system.

• Results-based monitoring and evaluation systems and units add to the learning and knowledge process. M&E systems can be an institutionalized form of learning and knowledge. Learning must be incorporated into the overall
programming cycle through an effective feedback system. Information must be disseminated and available to potential users in order to become applied knowledge. Learning is a key tool for management and, as such, the strategy for the application of evaluative knowledge is an important means of advancing toward outcomes. Outcomes present more variables around which learning can and must take place

- Monitoring and evaluation reports play many different roles, and information produced by M&E can be put to very different uses to:
  - Demonstrate accountability—delivering on political promises made to citizenry and other stakeholders
  - Convince—using evidence from findings
  - Educate—reporting findings to help organizational learning
  - Explore and investigate—seeing what works, what does not, and why
  - Document—recording and creating an institutional memory
  - Involve—engaging stakeholders through a participatory process
  - Gain support—demonstrating results to help gain support among stakeholders
  - Promote understanding—reporting results to enhance understanding of projects, programmes and policies.

Other uses of M&E findings are:
- Respond to elected officials’ and the public’s demands for accountability
- Help formulate and justify budget requests
- Help in operational resource allocation decision-making process
- Trigger in-depth examinations of existing performance challenges and establish required corrective measures
- Help motivate personnel to continuously improve project implementation
- Formulate and monitor performance of contractors and grantees
- Provide data for special, in-depth project evaluations
- Assist in increasing efficient provision of services
- Support strategic and long-term planning efforts by providing baseline information and later tracking progress
- Facilitate improved communication and building trust with the public

Session 5: Capacity-building for PHE Monitoring and Evaluation

In its broadest interpretation, capacity building encompasses human resource development (HRD) as an essential part of development. It is based on the concept that education and training lie at the heart of development efforts and that without HRD most development interventions will be ineffective. It focuses on a series of actions directed at helping participants in the development process to increase their knowledge, skills and understandings and to develop the attitudes needed to bring about the desired developmental change. The Food and Agricultural Organization
For Monitoring and evaluation, capacities are generally limited given the emerging nature of the M & E discipline in the past two – three decades. Generally most disciplines lack M & E specialists and therefore PHE encounters more serious challenges than any other discipline, given its newness and complexity. A synthesis of the evidence of the impact PHE programmes revealed that major barriers to expanding PHE projects include inadequate funding, a limited evidence base, and limited capacity to implement field programmes. Furthermore effective evaluation of PHE projects is constrained by low investments in monitoring, evaluation, and research, limiting the ability to secure future/longer term funding. Also the short timeframe of many PHE projects is not adequate to learn about PHE, design a project, implement interventions, and report significant results (Yavinsky, Rachel Winnik, Carolyn Lamere, Kristen P. Patterson, and Jason Bremner. 2015).

Based on the above observations, there is the dire need to swiftly invest in M & E component of the Lake Victoria Basin and its associated stakeholders in order to realize the intended outcomes from the PHE programmes. The needed and desired investment goes beyond mere human resource development for PHE. An all rounded development of the PHE system development (human, physical and financial capacities) with particular emphasis on M & E is critical as the M & E component plays an important role in situational analysis, programme identification/justification and performance assessments during programme/ project conceptualization and design, implementation and after closure of the programme(s). There appear to be many opportunities to improve monitoring and evaluation of PHE projects and to develop more robust evidence of the benefits across each sector. There is an opportunity to guide PHE projects to use standard frameworks and metrics to better link PHE integration process with emerging priorities such as resilience and climate change adaptation.

Since the East African Community places priority importance on the Lake Victoria Basin through the Lake Victoria Basin Commission in terms of coordinating the sustainable development agenda of the Lake Victoria Basin, and population/health/ environment combination being the niche for the foreseen sustainable development, it is imperative that critical investment in M & E system’s capacities is undertaken urgently.

M & E capacities at the regional, national and local (county/district/community) levels are mandatory to ensure PHE is entrenched in regional and national policies as well as strategies and programmes. The coordinated nature of developing/building these M & E capacities will go a long way in determining the extent to which PHE approach in the East African Community member states will be achievable and subsequently demonstrate the development levels brought about for the inhabitants of the Lake Victoria Basin in a sustained manner.
RESOURCES

1. Training Modules: Monitoring and Evaluation of Population, Health and Environment (PHE) Programmes by Caryl Feldaker, MEASURE Evaluation
2. Assessing Country Readiness for Results-Based Monitoring and Evaluation to Support Results Informed Budgeting by Jody Zall Kusek 2011
5. Monitoring and evaluation of health systems strengthening: An operational framework by WHO, 2010
6. Results Based Monitoring and Evaluation Toolkit by Freer Spreckley, 2009
9. A guide to Monitoring and Evaluating PHE Programmes, Measure Evaluation
## Appendix I

### Sample Training Schedule/Agenda for a Five Day Training

Introductory session – Evening before the training (if residential and if possible to have all participants present) Introductions Spend an hour in getting to know one another, discussing expectations of the training (Climate Setting) and running through the agenda

<table>
<thead>
<tr>
<th>Day 1</th>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>09:00 – 09:30</td>
<td>Opening Remarks</td>
<td></td>
</tr>
<tr>
<td>09:30 – 10:00</td>
<td>Definition of PHE concepts</td>
<td></td>
</tr>
<tr>
<td>10:00 – 10:45</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>10:45 – 11:30</td>
<td>Linkages among PHE Issues</td>
<td></td>
</tr>
<tr>
<td>11:30 – 12:15</td>
<td>PHE Programming Background</td>
<td></td>
</tr>
<tr>
<td>12:15 – 13:00</td>
<td>PHE Programming</td>
<td></td>
</tr>
<tr>
<td>13:00 – 14:00</td>
<td>Lunch</td>
<td></td>
</tr>
<tr>
<td>14:00 – 14:30</td>
<td>Models of PHE Community Mobilization</td>
<td></td>
</tr>
<tr>
<td>14:30 – 15:00</td>
<td>Future Directions and Challenges</td>
<td></td>
</tr>
<tr>
<td>15:00 – 16:00</td>
<td>Definition of Terms (Advocacy and Communication)</td>
<td></td>
</tr>
<tr>
<td>16:00 – 16:15</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>16:15 – 17:00</td>
<td>Role of Advocacy and Communication in PHE</td>
<td></td>
</tr>
<tr>
<td>17:00 – 18:00</td>
<td>Strategies for Advocacy and communication in PHE Integration</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Day 2</th>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>09:00 – 09:15</td>
<td>Review of previous day</td>
<td></td>
</tr>
<tr>
<td>09:15 – 09:45</td>
<td>Process of Policy engagement</td>
<td></td>
</tr>
<tr>
<td>09:45 – 10:00</td>
<td>Definition of Concepts (Resource Mobilization)</td>
<td></td>
</tr>
<tr>
<td>10:00 – 10:15</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>10:15 – 11:45</td>
<td>Use of SOAC Process to Create IGAs</td>
<td></td>
</tr>
<tr>
<td>12:45 – 13:00</td>
<td>Common Elements of Grant Proposal</td>
<td></td>
</tr>
<tr>
<td>13:00 – 14:00</td>
<td>Lunch</td>
<td></td>
</tr>
<tr>
<td>14:00 – 14:30</td>
<td>Stages in Grant Application</td>
<td></td>
</tr>
<tr>
<td>14:30 – 15:00</td>
<td>Strategies for Resource Mobilization</td>
<td></td>
</tr>
<tr>
<td>15:00 – 15:30</td>
<td>Definition of Concepts and Rationale for Sustainability</td>
<td></td>
</tr>
<tr>
<td>15:15 – 16:00</td>
<td>Why think Sustainability</td>
<td></td>
</tr>
<tr>
<td>16:00 – 16:15</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>16:15 – 17:15</td>
<td>Steps in Developing a sustainability Plan</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Day 3</th>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>09:00 – 09:30</td>
<td>Review of Previous Day</td>
<td></td>
</tr>
<tr>
<td>09:30 – 10:00</td>
<td>Definition of “Power”</td>
<td></td>
</tr>
<tr>
<td>10:00 – 10:15</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>10:15 – 11:00</td>
<td>Types of Power</td>
<td></td>
</tr>
<tr>
<td>11:00 – 11:45</td>
<td>Gender Roles</td>
<td></td>
</tr>
<tr>
<td>11:45 – 13:00</td>
<td>Principles of M&amp;E</td>
<td></td>
</tr>
<tr>
<td>13:00 – 14:00</td>
<td>Lunch</td>
<td></td>
</tr>
<tr>
<td>14:00 – 16:00</td>
<td>Conceptual and Other Frameworks for M&amp;E PHE integration</td>
<td></td>
</tr>
<tr>
<td>16:00 – 16:30</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>16:30 – 17:30</td>
<td>Frameworks (Cont’)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Day 4</th>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>09:00 – 09:30</td>
<td>Review of Previous Day</td>
<td></td>
</tr>
<tr>
<td>09:30 – 10:15</td>
<td>Introduction to M&amp;E Indicators</td>
<td></td>
</tr>
<tr>
<td>Time</td>
<td>Activity</td>
<td></td>
</tr>
<tr>
<td>--------------</td>
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<td></td>
</tr>
<tr>
<td>10:15 - 10:30</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>10:30 - 13:00</td>
<td>Indicators (Cont’)</td>
<td></td>
</tr>
<tr>
<td>13:00 - 14:00</td>
<td>Lunch</td>
<td></td>
</tr>
<tr>
<td>14:00 - 16:00</td>
<td>M&amp;E Plans</td>
<td></td>
</tr>
<tr>
<td>16:00 - 16:15</td>
<td>Tea</td>
<td></td>
</tr>
<tr>
<td>16:15 - 17:30</td>
<td>M&amp;E Plan (con’t)</td>
<td></td>
</tr>
</tbody>
</table>

**Day 5**

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>09:00 - 09:30</td>
<td>Review of Previous Day</td>
</tr>
<tr>
<td>09:30 - 10:00</td>
<td>M&amp;E Plans (Cont’)</td>
</tr>
<tr>
<td>10:00 - 10:15</td>
<td>Tea</td>
</tr>
<tr>
<td>10:15 - 11:15</td>
<td>Results Chain</td>
</tr>
<tr>
<td>11:15 - 13:00</td>
<td>Result Based Management</td>
</tr>
<tr>
<td>13:00 - 14:00</td>
<td>Lunch</td>
</tr>
<tr>
<td>14:00 - 15:00</td>
<td>Evaluation</td>
</tr>
<tr>
<td>15:00 - 17:00</td>
<td>Closing</td>
</tr>
</tbody>
</table>
Appendix II

FACILITATOR NOTES

This section outlines the requirements for preparation of the training. It addresses trainer’s competences, facilitation skills and training facilities among others.

Trainers’ Competencies

It is imperative that the Training of Trainers - TOTs (facilitators) possess skills relevant to PHE approach to ensure there is optimal gain and retention by participants from each training sessions in such a manner that the knowledge imparted will be practically applied at places of work of the trainees. Some of the facilitation skills that yield good results include 1) Good attention skills to participants, 2) Use of good observation skills 3) Preparing for training sessions 4) Knowing your audience 5) Knowing your training facility 6) Checklist of bare essentials (supplies and space) and 7) Knowing your materials.

Facilitation Skills

1. Good attention skills to participants are:
   - Face participants – eye to eye
   - Scan entire group – look at everyone
   - Walk to trainees (to indicate interest)
   - Smile at individuals – demonstrate that you enjoy being with them
   - Nod affirmatively to encourage participation

2. Use of good observation skills:

<table>
<thead>
<tr>
<th>Observed issue on participant(s)</th>
<th>Remedial action on observed issue</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bored</td>
<td>Speed up pace of the training</td>
</tr>
<tr>
<td></td>
<td>Take a break or give a health exercise</td>
</tr>
<tr>
<td></td>
<td>Stop talking and involve more participation, such as asking open-ended questions, conducting role-plays, or allowing trainees to practice</td>
</tr>
<tr>
<td></td>
<td>Change the training style, use different training techniques, such as role-plays, small group work, and practice</td>
</tr>
<tr>
<td></td>
<td>Use good attending skills</td>
</tr>
<tr>
<td>Sleepy</td>
<td>Make sure the room is not too warm or stuffy</td>
</tr>
<tr>
<td></td>
<td>Make sure there is enough light.</td>
</tr>
<tr>
<td></td>
<td>Use a variety of training methods and aids</td>
</tr>
<tr>
<td></td>
<td>Conduct ice-breakers</td>
</tr>
<tr>
<td></td>
<td>Take a break</td>
</tr>
<tr>
<td>Confused</td>
<td>Ask questions to clarify trainee's understanding of the topic</td>
</tr>
<tr>
<td></td>
<td>Give examples</td>
</tr>
<tr>
<td></td>
<td>Have others in the group explain the topic</td>
</tr>
<tr>
<td></td>
<td>Demonstrate</td>
</tr>
<tr>
<td></td>
<td>Let participants practice and provide hands-on assistance, if necessary</td>
</tr>
</tbody>
</table>
Know your Audience

• How many people will attend the training?
• What are the ages, sex, and religious backgrounds (if relevant) of the participants?
• Are the participants from urban or rural areas?
• Do they all speak the same language or have the same language fluency? Is English, or the language you will be conducting the training in, their first language? Will translation be necessary?
• Are the participants from organisations or attending individually? Will some know each other prior to the training?
• Have any participants in the group attended a similar training? Are all participants of the same level of experience/seniority?
• Are there participants with disabilities, in the group? If this be the case, sessions may need to be moulded in such a way that it is inclusive of participants with disabilities.

Know your Training Facility

• Will there be electricity? Is there enough natural light?
• Will there be access to computers, overhead projectors, and/or video equipment?
• Is it a small room; is there space to move around? Some exercises may benefit from being conducted outdoors.
• How long will it take to get to the training venue from where the participants are staying?

Checklist of Bare Essentials (Supplies and Space)

• Agenda
• Suitable room (sound acoustics, natural light, access to restrooms)
• Adequate seating (moveable furniture unless floor seating)
• Personnel (trainers, guest resource persons, administrative support)
• Resource material
• Emergency kit
• Stationery and supplies (for the trainers and participants)

Know your Materials

• Whiteboards, whiteboard markers, duster, flip charts/chart paper, permanent markers, sketch pens and stands
• LCD projector, laptop, speakers, VLC media player (if necessary)
• Photocopied trainee handouts and activity sheets arranged in a folder/binder
• Note books and pens
• A question box (to collect anonymous written questions)
• Evaluation forms
• Movable furniture (unless floor seating is used)
• CDs/DVDs/pen drives of films/music being shown or used as part of the training
Do you have Back-Up Materials in Case Something Unplanned Occurs?

- If you plan on using overhead projectors do you have flipcharts, markers and notes in case the electricity fails?
- Do you have a backup exercise to replace ones that involve screening a film/video over the internet, playing music files, or any other activity where electronic equipment is in the picture?
- Do you have handouts and copies of PowerPoint slides if your computer does not work?
- Can you anticipate any other eventuality that you must be prepared for?
- Do you have a backup exercise planned should all participants not turn up, thus affecting numbers anticipated for the activity in question?

The Advantages of Energisers and Participatory Training Methodologies

Energiser exercises are short, quick ways to boost the energy and morale of the group. It is a great idea to use energisers between modules, after meals, after a difficult or challenging exercise, or right before leaving for the day. They are a lively and effective way to bring people back into the conversations. Exercises in this manual employ participatory training methodologies, which are known to maximise learning by keeping participants engaged and interested throughout the training.

Is your Training Planned as a Residential One? If So, Read On

- Have the rooms been booked in advance?
- Are the rooms equipped with basic amenities like warm water in cold climates or coolers/air conditioners in warm climes?
- A rooming list can be useful if participants are sharing rooms.
- Have participants been sent instructions beforehand about reaching the venue?
- Evenings of entertainment for participants (such as a talk/lecture/cultural show/party etc.) can help forge bonds.
- Is there a medical facility on hand in case of an emergency?

Key Considerations that Aid Successful Trainings

- Preparation in advance on the parts of both facilitators and participants
- Commitments that ensure participants are present for the entire course of the training
- Ensuring punctuality and respecting time slots, schedules and agendas
- Maintaining the confidentiality of the space at all times
- Encouraging participants to respect one another's contributions, ideas and presence
- Encouraging participants to voice their thoughts, ideas and concerns
- Creating an environment in which participants feel comfortable asking questions
- Encouraging participants to make good use of the question box
- Keeping all engagements professional and using participatory methodologies

Setting Expectations and Laying Ground Rules

Arriving at expectations and ground rules at the very beginning of a workshop or training is critical in terms of setting the tone for interactions to follow. Ground rules help ensure that respect and listening to one another become central to the experience of working together. Expectations further serve to help the facilitator identify specific concerns that may need elaboration or revisiting over the course of the training.
**Other Points to Keep in Mind**

- Are participants required to read anything prior to the training? If yes, will you be sending out the reading material in advance?
- Are participants required to bring anything to the training from their organisations like their brochures/publications/a short presentation on their work?
- Do you plan to have a post-training follow-up with the participants, such as setting up an email-group for participants and resource persons to share their ideas and work even after the training process? If yes, what do you need to prepare in advance?
- Should you want to record portions of the session (either as a video recording or as photographs) express permission with consent from all participants is essential.
- It can be useful to have case studies, stories, handouts, articles or other material that require concentrated reading, projected on a screen during sessions. This can be helpful in terms of overcoming language barriers and in terms of processing text heavy material.
- A sample training agenda, pre- and post-training questionnaires as well as feedback forms can be found at the end of the manual, for easy reference.
- Having established the background for this prototype training curriculum for PHE, the following sections set out details and process of training for each module.