# Kenya's Water Towers Protection and Climate Change Mitigation and Adaptation (WaTER) Programme

Component 4: Science to Inform Design of Community-Level Actions and Policy Decisions

Capacity building and establishing of Nature Based Enterprises (NBEs) in Mt. Elgon and in Cherengany Hills ecosystems

August 2018





# Disclaimer

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# **ACRONYMS**

CIGs Common Interest Groups

KEFRI Kenya Forestry Research Institute

NBE Nature Based Enterprises

SHG Self Help Group

WRUA Water Resource Users Association

CFA Community Forest Association

CBO Community Based Organization

#### 1.0 INTRODUCTION

#### 1.1 Background

The WaTER programme's main objective is to support poverty eradication through enhancing the productivity of ecosystem services in Kenya's critical ecosystems and to enhance resilience to climate change. One of the key result areas of the programme and objective 5 of the programme's component 5 is to establish nature-based enterprises (NBEs) with special focus on women, youth and people with disabilities. Consequently, the programme will establish two nature based enterprises in the two ecosystems- Cherangany and Mt. Elgon, build their capacity of the establish NBEs grounded on best practices.

Nature Based Enterprises (NBEs) are ventures that can be exploited to support biodiversity utilization, conservation and equitable benefit sharing from derived resources<sup>1</sup>. Thus, they can be labelled as green businesses that have the twofold potential of conservation of ecosystems and income generation to local communities. Setting up of NBEs is therefore a gradual process anchored on thorough capacity building, mentorship and monitoring.

Nous Consulting - a management consulting firm was contracted by KEFRI-WaTER programme to establish two nature-based enterprises in the two ecosystems and support them to start their operations.

### 1.2 Key objectives of the assignment

The main objective of the assignment was to establish two nature based enterprises (NBEs) in two ecosystem and strengthen their capacity in order to spur business operations in nature based produces while reducing their dependency on forest goods and services. Specifically, the assignment sought to:

- i) Undertake a thorough desk review on Nature based Enterprises (NBEs) and best business practices and develop a criterion for assessment of existing groups, selection, recruitment and mobilization of the selected groups in each ecosystem;
- ii) Identify existing community/youth/women/CFAs/WRUAHs groups to work with in each ecosystem with special consideration given to special groups;
- iii) Undertake capacity needs assessment of the selected groups on their ability to form and sustain NBEs through Focus Group Discussions;
- iv) Develop a training curriculum and program on two nature based enterprises that are feasible in the two ecosystems and organize trainings for a minimum of 50 community members in the two NBEs established;
- v) Support in registration of the NBEs at the county level to ensure compliance with all legal considerations and requirements;

<sup>&</sup>lt;sup>1</sup> Chiteva, R., Mayunzu, O., Lukibisi, M., and Wachira, N., 2016, Enhancing Community Livelihoods through Nature Based Enterprises: Case of Matinyani Women Group, Kitui, Kenya., Environment and Ecology Research, 4 (1), p 30-35.

- vi) Support the NBEs in establishing business partnerships with retailers, distributors and other stakeholders in their respective value chain;
- vii)Develop a final report on the progress of the NBEs accompanied by the registration documents of the NBEs

# 1.3 Scope and coverage of the assignment

The WaTER programme is being implemented in two ecosystems-Cherengany and Mt. Elgon which covers 11 counties namely: Busia, Kisumu, Siaya, Bungoma and Trans-Nzoia in Mt Elgon and Elgey Marakwet, Pokot West, Uasin Gishu, Kakamega, Vihiga and Nandi in Cherangany.

As such, the establishment of the two NBEs - one in each in the ecosystems - targeted communities adjacent the forest areas with focus on existing community groups that included women, youth and people with disabilities.

## 1.4 Deliverables of the assignment

The key deliverables expected from this assignment include:

- i) Inception report defining the methodology, approach and work plan;
- ii) Capacity/Training Needs Assessment and development report;
- iii) Training manual and training programme;
- iv) Two fully registered and trained NBEs (one in each ecosystem accompanied by NBEs bylaws, certificate of registration and minutes or notes of meetings as well as leaders);
- i) Final assignment report;

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#### 2.0 APPROACH AND PROCESS OF ESTABLISHING NBEs

The assignment was executed in a participatory and consultative approach which involved the KEFRI and Water Towers Project team and other respective community project stakeholders in all the phases and activities. This was the best approach to enhance ownership of the NBEs, create a learning experience to the actors and ensure a smooth entry to the communities.

To effectively implement the assignment and deliver on the deliverables, a 3-phase methodology was utilized. Figure 1 summarizes the methodology used in this assignment.

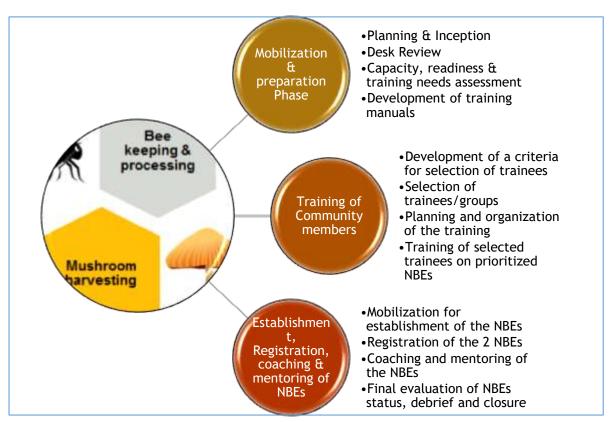


Figure 1: Phased stages of the methodology

This were the activities that were implemented to achieve all the deliverables of the assignment. More emphasis was put on the capacity building of the NBEs and their mentoring and coaching after training. This was to ensure there is sustainability even after the assignment is completed.

Most importantly, the selection of the most viable enterprise was participatory and guided by the Nous team. The two groups were taken through how to determine the best enterprise based on its viability, environmental and climatic risks, profitability, cost of production and capital requirements among other factors. Mushrooms were selected by both groups as their most preferred enterprise. The business plans were also developed in a collaborative process with the groups being required to apply the entrepreneurship knowledge gained from the training to make sense of their business/enterprise.

### 3.0 CAPACITY ASSESSMENT AND SELECTION OF QUALIFIED GROUPS

### 3.1 Capacity assessment approach and results

In implementation of any program or project in any environment, a capacity and readiness assessment is a critical requirement. Most importantly, when building the capacity of groups at the community level and transforming them into entities or enterprises, capacity needs and readiness assessment is important. The capacity needs assessment seeks to highlight the group or institutional dynamics that are a challenge to the activity, program or project<sup>2</sup>; promote inclusiveness with the target stakeholders, harnesses the local knowledge and identifies champions of the planned interventions<sup>3</sup>; and provides information on critical issues that may impact on how you design and implement the program or project<sup>4</sup>.

In assessing the capacity of the selected groups, the approach sought to assess the leadership, financial management, assets, linkages to other groups, the human resource/members' capacity and the existing attitudes and level of motivation as indicated in Figure 2.

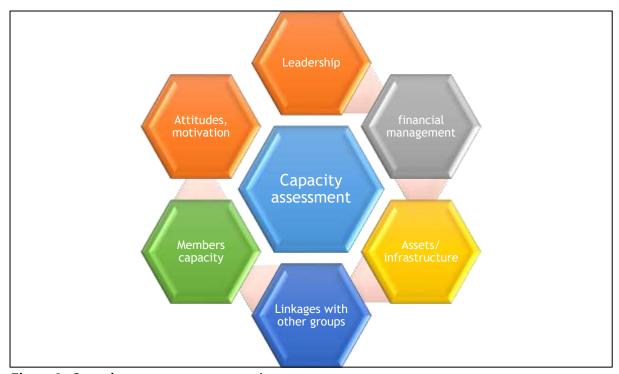


Figure 2: Capacity assessment approach

The assessment looked at the groups, the individuals making up the group and their operating environment. In addition, the readiness to transition into an enterprise was assessed.

Observations and focus group discussions with the groups were the two key methods used. The focus group discussions were guided by a well-designed capacity

<sup>&</sup>lt;sup>2</sup> FAO. (n.d). How to carry out a capacity assessment. Retrieved on 13<sup>th</sup> June 2018 from http://www.fao.org/capacity-development/resources/practical-tools/capacity-assessment/en/ <sup>3</sup> Ibid

<sup>&</sup>lt;sup>4</sup> George, M. (2003). Lean Six Sigma for Service, Chapter 6-phase 1: Readiness Assessment. USA. McGraw Hill Companies

assessment tool customized to the local context and the objectives of the capacity assessment<sup>5</sup>.

# 3.2 Groups selection

The selection of the groups was undertaken at two levels to ensure we have qualified and ready groups. The first step used the following criteria in selecting the groups for assessment included:

- 1. Distance from the main forest in the two ecosystems (preferably within 5 Km radius);
- 2. Groups in existence for more than one year (to ensure they have undergone group formation dynamics);
- 3. Groups must be undertaking activities that are nature-based or conservation based;

This initial criterion gave us a total of 8 groups/CIGs legible for a capacity and readiness assessment in the two ecosystems. The KEFRI WaTER Towers Project team at the regional offices were instrumental in this initial mapping and selection.

A total of 8 groups had been selected and targeted for the assessment. However, after prior mobilization with assistance from the KEFRI Regional WaTER Project team, other groups requested to join in the assessment. A total of 11 groups were therefore assessed as indicated in Table 1.

Table 1: List of targeted groups and the achieved assessments

GROUP	TARGETED	ACHIEVED
Cherangany Nature Based Organization	I	T
Kipkonur Based ecosystem		Γ
Kipkonur Apiary and Conservation	ſ	I
River Aror Conservation Group	I	Γ
Mokoiwo SHG		I
Green Grazers	I	Γ
Kokwo Porokon SHG	ſ	I
Tajeta SHG		Γ
Kuywa WRUA	ſ	I
Chenrua WRUA	I	Γ
Jamhuri SHG		I
Sirgoi SHG	ſ	

Notably, due to time constraints, some of the groups joined the targeted groups during the discussions and were assessed simultaneously with the targeted groups. These included the Tajeta SHG who joined Kokwo Porokon SHG, and Kipkonur Based ecosystem group and Mokoiwo SHG who joined the Green Grazers Association.

<sup>&</sup>lt;sup>5</sup> Refer to the capacity assessment report submitted as part of this assignment.

Sirgoi SHG was not assessed because at the time of the assessment, there were heavy rains and the group was not easily accessible. Since the assessment also entailed observation of the groups' activities, the group could not be assessed.

The second criterion included using capacity and readiness indicators grounded on best practices in capacity and readiness assessments. These included: duration of group existence; number of members; group composition; legal status; types of activities; management and governance; business planning; financial management; willingness to form an NBE; and facilities and equipment. Rating scores were then allocated to the assessed groups to give the results tabled in Table 2.

Table 2: Assessment scores for the groups

NAME OF GROUP	ECOSYSTEM	COUNTY	SCORE
Cherangany NBO	Cherangany	Elgeyo Marakwet	41
Kipkonur Based ecosystem	Cherangany	Elgeyo Marakwet	32
Kipkonur Apiary and Conservation	Cherangany	Elgeyo Marakwet	39
River Aror Conservation Group	Cherangany	Elgeyo Marakwet	30
Mokoiwo SHG	Cherangany	Elgeyo Marakwet	34
Green Grazers	Cherangany	Elgeyo Marakwet	33
Kokwo Porokon SHG	Cherangany	West Pokot	43
Tajeta SHG	Cherangany	West Pokot	35
Kuywa WRUA	Mt. Elgon	Bungoma	41
Chenrua WRUA	Mt. Elgon	Bungoma	35
Jamhuri SHG	Mt. Elgon	Kakamega	40
Sirgoi SHG	Mt. Elgon	Bungoma	0

Based on the assessment findings, five groups (highlighted) from the two ecosystems were highly suitable for capacity building and thereafter formation of the NBEs based on their impressive scores. However, only two groups were required. Thus, based on interactions with the groups and the scores, two groups were selected:

- 1. Kokwon Porokon SHG from West Pokot
- 2. Kuywa WRUA

Kokwo Porokon SHG has a total of 20 committed members and have a greenhouse and a demonstration plot. Thus, they would make more impact to other existing groups in the area and ecosystem in general.

Kuywa WRUA have a livelihood CIG with over 40 members. They would have an impact on their larger membership from the other 2 CIGs. The WRUA itself has over 120 members. Thus, this group would have more impact given its large membership base.

In order to further build capacity within the ecosystems, the three other groups who scored highly but could not qualify were asked to select key members and management officials to be trained together with the two groups. Each group

provided 5 persons each for the trainings. It was agreed that these members were to be the champions in their own groups in developing mushroom farming as an enterprise.

# 3.3 Group's choice of NBE

In assessing the preference for a NBE, the assessors gave a brief description of what an NBE is and the types of NBEs. The groups were then assisted in having a discussion within themselves to determine the type of NBE they would prefer. They were also allowed to ask questions to determine the viability of their selected enterprise.

From the most qualified groups, the most preferred NBE was mushroom keeping. Thus, the capacity building programme focussed on mushroom keeping for the two selected groups.

Mushroom keeping was selected by most groups because it is readily available in the forests, it takes a shorter time to mature (14 days), it requires less farm inputs and it has an extensive local market among the residents.

#### 4.0 CAPACITY BUILDING OF GROUPS INTO NBEs

The capacity building of the groups was majorly guided by their preferred choice of enterprise. Having selected mushroom cultivation as their most preferred, a training manual was developed in collaboration with KEFRI WaTER Towers team and trainings organized with the two groups.

# 4.1 Training approach and methodology

The trainings were grounded on a participatory approach based on adult learning

principles. This is because the groups were composed of old and young adults whose literacy levels were relatively low. As such, the sessions training had to designed to entail theoretical trainings anchored adult on training principles as shown in figure 1.

Nous Consulting team utilized an integrated methodology based on the experiential learning model. The model entailed learning actively, sharing and reflecting on the knowledge and experience,

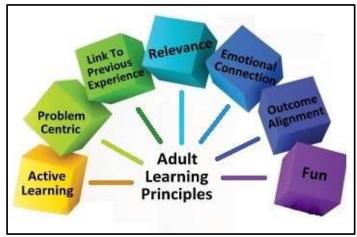
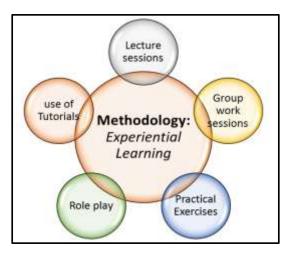


Figure 3: Figure 1: The proposed methodology for capacity building of VSLAs

connecting the experience to practical situations and applying knowledge to actual situations (*do-reflect-apply cycle*). The methodology also integrated several tactics to ensure effective learning, practice and sharing. The tactics are summarized in figure 2.



Notably, a full day's practical session (onfarm demonstration) was allocated for the mushroom farming training. This is because mushroom farming is a sensitive business that requires care and attention. In addition, the trained groups will be mentored and monitored as they produce their first crop in the month of July 2018.

The trainings were guided by the Training Manuals earlier developed and approved by KEFRI WaTER Towers project team.

To ensure that the trainings were easily and comprehensively delivered, Nous Consulting sourced for trainers who are not only mushroom farmers but also seasoned trainers. The two trainers - Ms. Jill Akinyi and Francis Kemboi, founders of Mush-Tech Ltd - an enterprise that specialises in mushroom farming and capacity building of farmers on mushroom technology.

### 4.2 Training areas

Based on the capacity assessment and best practices in entrepreneurship and mushroom cultivation, the training areas were developed and content included in two training manuals - one for entrepreneurship and the other for mushroom cultivation. In summary, the following were the modules trained.

**Entrepreneurship:** This training component aimed at enhancing the group members' skills and knowledge on business principles, business planning, marketing and proper record keeping. Key modules to be trained in this component included:

- **Module 1:** Cross Cutting Issues (agriculture as a business, gender mainstreaming, lobbying and public participation and digital cash)
- Module 2: Introduction to Entrepreneurship
- Module 3: Generating business ideas, business creativity and innovation
- Module 4: Generating a business pan
- Module 5: Marketing and Networking
- Module 6: Costing and pricing and business profitability
- Module 7: Record keeping

**Mushroom farming:** This was the key component which the enterprises to be established were anchored. The mushroom farming training will entail not limited to the following modules:

- Module 1: Introduction to mushroom farming and its benefits
- Module 2: Types of mushrooms and their selection
- Module 3: Mushroom cultivation and management
- Module 4: Mushroom pests and diseases and their management
- Module 5: Harvesting and post-harvest management of mushrooms
- Module 6: Marketing and value-addition for mushrooms

A practical session on a demonstration plot on mushroom farming was deemed compulsory for this component and to all groups. It also entailed helping the groups to set-up structures for the mushroom farming.

The trainings were undertaken on **25**<sup>th</sup> **June 2018 to 28**<sup>th</sup> **June 2018** and entailed groups from: Kokwo Porokon group and Katecha in Sokomoko Village, West Pokot; Kuywa SHG and Jamhuri SHG at Teremi, Bungoma and Cherangany NBE at Kapcherop, Elgeyo Marakwet.

#### 4.3 Training certificates

With the process being participatory, the training took 4 days to train all the modules in entrepreneurship and mushroom cultivation. The intense training was undertaken in the localities of the various groups (to reduce movement of the members) who after appreciating the training request for training certificates. The certificates were designed by Nous Consulting team and signed by the Principal Investigator for the project as well as the Nous Consulting Team Leader (sample certificate in annex 5). A total of 69 trainees (annex 2-4 has the registration lists) were trained for the 4 days with participants being drawn from groups in Kakamega, Bungoma, Elgeyo Marakwet and West Pokot.

#### 5.0 POST-TRAINING SUPPORT FOR ENTERPRISES

Mentoring and coaching is one of the most powerful and effective personal development and empowerment tool. The two activities mainly aimed at supporting and encouraging the groups of individuals to maximise on their potential, develop their skills and improve their performance. The key trainers were instrumental in continuous provision of technical support and expertise to enterprises. They also physically monitored, coached and mentored the enterprises in running operations, meetings, and business processes. Specifically, the following activities were undertaken under mentorship, coaching and monitoring:

- Joining the enterprises in meetings to see whether they are running them successfully;
- Physically visiting and providing expertise on development of structures (mud houses) where mushrooms can be cultivated;
- Provision of mushroom spawn and guidance on how to cultivate them;
- Additional on-job capacity building if required-depending on the process of mushroom cultivation;
- Guidance on marketing and possible value addition of mushroom (drying, packaging etc);
- Physical auditing of the records and documentation made by the enterprises;
- Monitoring of the quality and quantity of mushroom production by the enterprise

In addition, the groups were also guided on business planning - developing of a business plan for each group to guide the growth of their enterprise. The business plans defined:

- The identified business opportunity that the enterprise seeks to exploit
- How the enterprise will exploit the opportunity
- A forecast of the expected costs and revenues in exploiting the opportunity

The enterprises were also trained on proposal writing. This is because as they aspire to grow, they will require these skills to develop more business or acquire more capital for their business.

The monitoring, mentorship and coaching sessions were undertaken in the months of July and August 2018 before the groups were given the final 3kgs of spawn to commercially embark on cultivation of the mushrooms. Mushtech also committed to buy the first produce from



Picture 1: Group members during mentorship & Coaching session

the enterprises in a bid to promote their business.

#### 6.0 REGISTRATION AND HAND-OVER OF NBEs

In registering the enterprises several factors had to be considered to come up with the most appropriate registration status. One of the factors assessed was the ability and capacity of the groups to run the organization like a formal/informal business and the sustainability of the enterprise status. To this end, we discussed and agreed with the two groups that a CBO would be the best option for the two groups. This would entail registration with the respective county government-Ministry of gender and social services. This was deemed as the fastest and most convenient model given the timelines but it is also the least sustainable. However, this would only be on transitory basis and as the enterprise grows and expands, it can always be mentored and registered as a cooperative and/or a society which is much more sustainable.

The registration process entailed supporting the enterprises to come up with a most appropriate business name for their enterprise, developing memorandum and articles of associations and other relevant documents for registration. The registration process commenced on 13<sup>th</sup> August 2018 and may take some considerable time. These will be handed in to KEFRI Water Towers project as soon as the counties process them.

Further to this, the groups were advised that in the event that either of the NBE will be interested in doing value addition of the product being produced, registration with the Kenya Bureau of Standards will be required in accordance with the law.

#### 7.0 KEY LESSONS AND RECOMMENDATIONS

The assignment sought to establish two nature-based enterprises (NBEs) in two ecosystems and strengthen their capacity in order to spur business operations in nature based produces while reducing dependency on forest goods and services. As such, Kokwo Porokon and Kuywa WRUA were the groups trained, mentored and coached into mushroom cultivation. During the process, several lessons were drawn:

- a) Being inhabitants of areas very close to the forests, the participants exhibited knowledge of enterprises that are nature-based. However, the disconnect was: they did not know how to run them as businesses. Thus, we had to extend the training even to other community members from other groups to ensure a larger number of the people have the knowledge on mushroom technology. A total of 69 community members were trained.
- b) Looking at the groups especially during mentorship and coaching, there might be a challenge in the levels of commitment from members unless the groups are well structured and have division of labour (mushroom cultivation is labour intensive). However, when they reap their first sales, the groups might get more motivated and committed.
- c) Continuous monitoring even after the consultancy is completed is required. This is to ensure that the groups have mastered the art of production and running their enterprises. In addition, the selected groups are drawn from a bigger umbrella groups with either CIGs or other groups as members. It is therefore critical to ensure that the knowledge and skills gained are shared with the other groups as well to have a bigger impact.
- d) Market was a concern for the groups initially. However, during the trainings, it was evident that the local market is large enough. During the post-training support, the West Pokot group indicated they had already found a local market for their mushrooms while Mushtech also committed to buy dried mushroom from the groups. This is part of value addition for mushrooms since the dried mushroom sells at a higher price.
- e) Mentorship and coaching is required continuously for at least 3-5 months. Thus, Nous Consulting facilitated the trainers to mentor the groups for a duration of not more than 2 months until they deliver their first produce. For sustainability and impact, it would be good for the project to consider supporting the groups for a longer duration to boost their motivation and ensure continuous production.
- f) The groups felt capacitated enough and even vowed to train others within their circles. As such, they requested for certificates indicating that they had been trained on entrepreneurship and mushroom farming. Further monitoring and encouragement by the project should be undertaken to support these groups in developing capacity within their communities as training in mushroom cultivation can also be an IGA for some members and the group at large.

# **ANNEXES**

# Annex 1: Training Programme utilized

GROUP	MODULES	DATE TRAINED
	Entrepreneurship	25 <sup>th</sup> - 26 <sup>th</sup> June 2018
Kokwo Porokon SHG	Mushroom Farming (theory)	27 <sup>th</sup> June 2018
	Mushroom Farming (practical)	28 <sup>th</sup> June 2018
	Mushroom Farming (theory)	25 <sup>th</sup> June 2018
Kuywa SHG	Mushroom Farming (practical)	26 <sup>th</sup> June 2018
	Entrepreneurship	27 <sup>th</sup> - 28 <sup>th</sup> June 2018
Cherangany NBE	Mushroom Farming (theory)	25 <sup>th</sup> June 2018
	Mushroom Farming (practical)	26 <sup>th</sup> June 2018

**NOTE:** Cherangany NBE had been trained in entrepreneurship and thus, there was no need training them again.

Annex 2: Training Participants Attendance Lists: Kokwo Porokon SHG

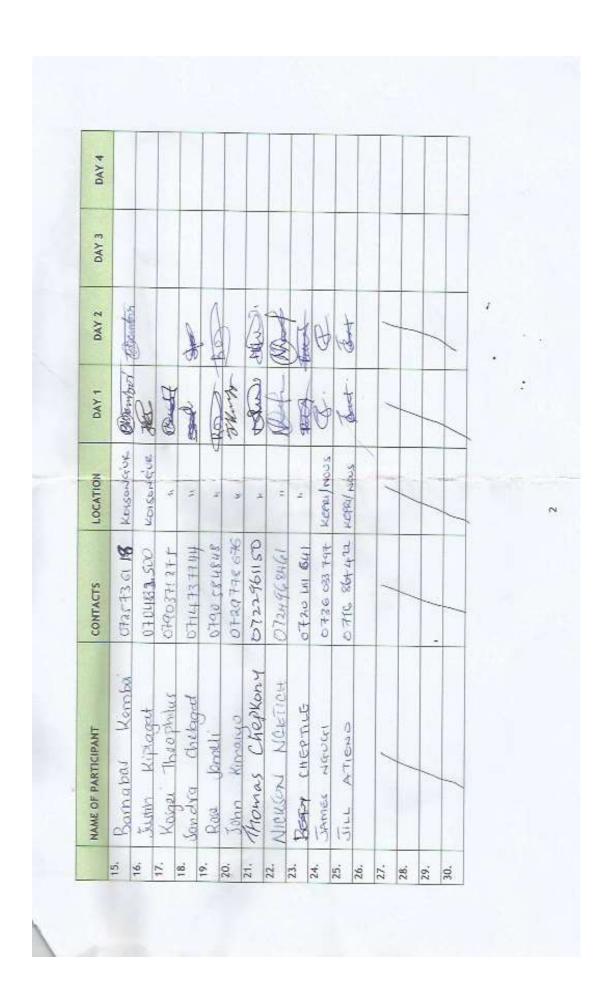
OWERS PROJECT	28th JUNE 2018
KENYA FORESTRY RESEARCH INSTITUTE (KEFRI)/WATER TOWERS PROJECT	TRAINING ON NATURE-BASED ENTERPRISES (NBEs) 25th - 28th JUNE 2018

	NAME OF PARTICIPANT	CONTACTS	LOCATION	DAY 1	DAY 2	DAY 3	DAY 4
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Martha warring	0726234839	Kokudo	7	1	7	W.
MICHAEL KIPLIMO	0740 8150 TO	Portugation Portugation	7	>	サー	¥
Momi Chepkury	0719692293		7	7	)	4
		Porokwo	7	1	)	A P
Lawrence Toronich		Kunsperekaan	1	1	/	B
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JOHNSON'R. Komer	07236365C	por Kum	7	7	7	T
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Sommet K. KARIND	0722852854	Nokus Pagan	7	)	)	Offanino

**Annex 3: Training Participants Attendance Lists: Cherangany NBE** 

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Annex 4: Training Participants Attendance Lists: Kuywa WRUA

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Annex 5: Sample certificates issued to the trained group members



