



**UNIVERSITY OF NAIROBI**

**THE ROLE OF PARTICIPATORY COMMUNICATION IN THE  
BUDGETMAKINGPROCESS: CASE STUDY OF NAIROBI COUNTY.**

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## **Declaration and Recommendation**

this study is my original work and has been submitted for an award in any learning institution to the best of my knowledge

**Redemptah Amondi Oginga**

Sign      Date

### **Supervisor:**

I confirm that this study has my approval to be presented for examination as per the University of Nairobi regulations.

**Hezron Mogambi (Ph.D.)**

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Sign      Date

## **Acknowledgment**

I most sincerely thank my God for having taken care of me and given me the strength and ability to carry out this research project. I thank Him for the gift of life and the good health that He granted me to take up and even finish this study.

I acknowledge, with so much appreciation, University of Nairobi fraternity for giving me the chance to go ahead with the study and make it a success. I also thank my Research Project Supervisor Dr.Hezron Mogambi for his guidance throughout the study and compilation of this project and my sisters and brothers for encouraging and supporting me throughout the entire process.

## **Dedication**

This work is dedicated to my family for their constant love and support for me.

## Abstract

The study sought to establish the role of participatory communication in the budget making process in the devolved governments with the case study being Nairobi County. It is an attempt to bring to light the role of participatory communication in the management of the public funds in the area of resources mobilization and allocation, with an aim of proposing genuine and effective participatory communication strategies. Though the country has put in place legal tools and policy frame work to enable public participation in budget making process both at the national and the county level of government these are yet to be fully implemented by the devolved governments. The policy and legal instruments also provide broad policy statement with very little specifics with regards to how and when the public participation is supposed to take place. The study sought to investigate the extent of participatory communication in the budget making process at the county government of Nairobi, communication strategies used and the challenges of participatory communication during the process of budget making. The study focused specifically on the participatory communication during the budget making process at the County government of Nairobi. The study was approached from participatory communication theories perspective. This is the theory and the practice of using communication to involve people in decision making process. case study research design was used and the study used qualitative and quantitative method of research, the rationale for using this approach was to explore and describes the answers from respondents and also other variables in the study like attitudes, perceptions, , and preferences. Data was collected from specific respondents who are responsible for budget making process at the county government, these respondents were determined through purposive sampling the study also used convenience sampling to collect data from the members of public. Instruments used to collect data were questionnaires and interviews.

The study found that participatory communication as a strategy has not been incorporated in the budgeting process at the county and that there challenges and legal obstacle that hinder participatory communication in the budget making process. The study recommends correctives measures in a number of strategies to overcome these challenges, the study proposes that the county enact an legislations to entrench the aspect of communication in their budgeting process, use of multiple channel of communication allocation of resources towards communication function and civic education for people to understand the concept of public participation in budget making process.

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## OPERATIONAL DEFINITION OF KEY TERMS

**Budget** – A **budget** is an estimation of revenue and expenses over a specified future period of time; it is compiled and re-evaluated on a periodic basis.

**Public participation** –**This is the process which citizens needs concerns and values are** integrated into government and corporate decision making. It is a two way communication and interaction with overall goal of good decision making that is supported by the citizens.

(James Creighton public participation hand book, 2005)

**Participatory communication**-this is the theory and practice of communication that facilitate people in the decision making of their development projects.

**Devolution**-The principle of government where power is decentralized and power of self determination given to the people by allowing them to participate in making decision affecting them.

**Devolved government**– this is the transfer of power and resources to lower sub-national level of government that are relatively self-governing and democratically elected.

**CDF** –Constituency Development Fund

**ESRC**- Economic and Social Rights Center

**UNESCO** – **United** Nations Education Scientific And Cultural.

**LASDAP**-Local Authority Service Delivery Act

# CHAPTER ONE

## 1.1 INTRODUCTION

This chapter gives background information on the study it explains the problem of the study outlines the objective and the study questions, gives justification of the study and it also describes the scope of the study, provides its limitation and explains the study gap

### 1.1.1 BACKGROUND OF THE STUDY

Public participation in budget making process is key because it promotes a fair distribution of public resources and aligns the needs and the demand of public more closely with the government development agenda and priorities (*Institute of Economic Affairs 2002*). This cannot be fully realized without proper communication strategies.

Plays a very great role in public participation the government in initiating and implementing its development agenda needs to open a two-way communication channel between itself and the public at large.

The significance of participatory communication is on the exchange between the outsider and beneficiary rather than persuasion in the diffusion innovation model by Everett Rogers there is a new awareness that now expert has the solution to poverty in the world all affected by poverty may have valuable information to contribute in poverty reduction and we need dialogue to draw valuable insights from all who are affected therefore the participation of the local people is crucial for effective and sustainable (Mulwa 2008)According to Paulo Mefalopulos (2008) communication for development is a situation whereby communication is used to involve stake holders , consider the circumstances and develop effective strategies leading to better sustainable development initiative.

In Kenya the guidelines on the management of public funds both for the National and County governments makes it mandatory that the budget process of County governments in any financial year to entail of integrated development plan which comprises long term and medium term plans as well as financial and economic priorities of the County also there must be input from the members of public, this is according to The Public Finance Management Act (2012)

According to Kanyinga (2014) public participation is an vital constituent of democratic system because the decree of the people is fundamental and founding principle of any democratic state. This view is also shared by (Muhammadi et al, 2010) who states that public participation is at the spirit of democracy that protects the right of the individual and public interest.

There are those who argue that public participation facilitate discourse which enhances compromise, cooperation and consideration of various guiding principle as well as increasing the legitimacy of the decision-making process (Adrian &Smith, 2000; Kim, 2010)

The Nation is for the first time implementing the concept of devolution and it's the first time Kenya is having two levels of government where the second level of government is fully functional with both legislative and executive arm.

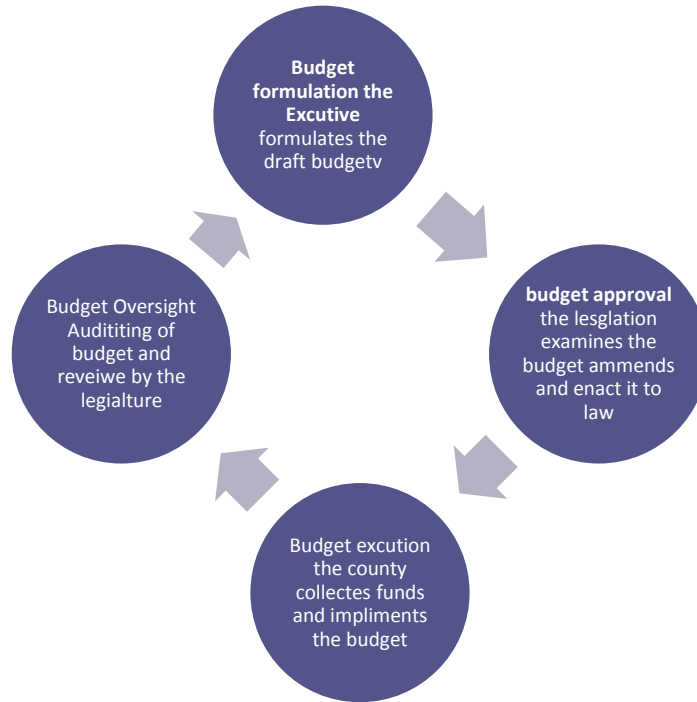
### **1.1.2 The Budget Making Process**

Budgeting process starts with the cohesive expansion planning process that include planning and launching of financial and economic priorities of the County over the medium term plan(Kenya institute of economic affairs) This process starts immediately the National Treasury issues guidelines on the budget (Public Finance Management Act 2012).

Once the guidelines are issued by the National treasury the County government develops a monetary method paper before preparing the approximations for the county authorities, which are then submitted to the County Assembly for analysis before approval by the County Executive

Committee for finance and given by the end of April. What is submitted comprise budget estimate and the assumptions bill, once this is authorised the County Assembly passes an appropriation regulation and different necessary regulation needed for the implementation of the budget.

Below is the table showing the full cycle of the budget process at the county level



*Institute of Economic Affairs 2002*

## 1.2 PROBLEM STATEMENT

The spirit behind devolution in the The Kenyan Constitution was to ensure public participation in decision making on matters affecting them, the public finance act of 2012 requires citizen participation in the identification, implementation, monitoring and evaluation of projects funded by the public. (*Public Management Finance Act 2012*).

According to the office of the controller of budget, county governments continue to experience hurdles in the management of public funds. There seems to be a gap between identification, monitoring, implementation and evaluation of projects in the county governments (*Annual County Government Budget Implementation Report Financial Year 2014/2015*)

In 2014 the county government of Kamau was taken to court by Robert N Gakuru and others, in their petition they argued that Kiambu county government had violated the constitutional requirement that requires public participation while enacting The Kiambu Finance Act of 2013. They argued that they were never given sufficient information neither were they given opportunity to give their input before the legislation was enacted.

Judge G. Odunga of the Kenya High Court Nairobi ruled in the favor of the petitioners, rendering The Kiambu Finance Act of 2013 null and void.

In his ruling he stated that citizen participation in county government shall be based on timely access to information, data, documents and any other information related to policy formulation and implementation among other principles.

The opinion of participatory consensus requires the formation of formal chain of communication it became a constitutional requirement on Kiambu county to talk and give an explanation for to the community the motives and the consequences of the Kiambu Finance Act of 2013.



The Court ruled in favor of the petitioner decrying gaps and inconsistency in communication during the public participation process during the enactment of the Act. In the ruling, the Judge stated that, The County Assemblies should do what is necessary to guarantee that those in their controls and citizens at large get communicated to on the intent to document a legislation, especially where legislation will impact on them economically. He said that the county should encourage citizen to participate in this law making in using the many avenues of communications as possible; he gave possible suggestion such as churches, Mosques, public Baraza, and the media.

From the above scenario, communication is very paramount in public, participation one cannot purport to involve the public in decision making without using the correct channels of communication and clear communication strategies.

(ICPAK)2014did survey indicating that 95% of counties carried out some form of public participation on budget making process but this participation were ad hock and done mainly at the county and sub-county level rather than cascaded budget consultative meetings at the grassroots level.

The report on the Baseline Survey on Devolution in regard to Public Financial Management(2014) System also cited limited notice of meeting and failure to make available budget documents prior to forums as other challenge to effective and meaningful public participation in the budget making process.

This study was geared towards addressing very important questions on participatory communication during the budget making process and how best to use communication as tool for participation during the budget making process in Nairobi County.

### **1.3 Objective of the Study**

The main objective of the study was to evaluate the role of participatory communication in the budget making process at the Nairobi County

#### **1.3.1 Specific Objectives**

- 1 To establish the extent of participatory communication in the budget making process in the county of Nairobi.
- 2 To examine participatory communication strategies being used in the budget making process in the County government of Nairobi
- 3 To identify challenges to participatory communication in the budget making process in the County of Nairobi

### **1.4 Research Questions**

1. To what extent is participatory communication used in the budget making process at the county government of Nairobi?
2. What communication methods are used by the Nairobi County government during the budget making process?
3. What are the challenges of participatory communication budget making process in the county government of Nairobi?

### **1.5 Rationale and Justification**

Citizen participation is very critical to ensure equitable and transparent distribution of resources a concept envisioned in the establishment of the devolved government. Participatory communication is one of the strategies employed by the World Bank to bring about development in Africa continent and the world at large, also various studies have shown that communication can be one of the tools to social change therefore bringing about development.

Therefore, it is important to study how devolved governments have employed participatory communication in their quest for equitable and transparent distribution of resources for their development sake programmes. It is also important to examine the gaps that exist so as to come up with better ways of incorporating communication in the development agenda of the country .

The study examined the aspect of participatory communication in the budget making process this information will should be useful to National government, devolved government and any other agencies working towards the development of communities the study will also contribute to academic research in the discipline of development communication

### **1.6 Scope and Limitation of The Study**

The research was done in Nairobi County and it examined the budget making process for the financial year 2014/2015. The study examined the process of budget making which involves various stakeholders in the County government namely the Planning department, the Communications department and the Administrative Arm of the County government. This was a case study examining the participatory communication during the budgeting process in Nairobi County where the most important respondents were the County government officials and where information was not easy to come by. The researcher primarily relied on the information given by the county officials.

Attempt to get information from the non-governmental organization working to promote public participation in governance did not yield any fruits.

### **1.7 Study Gap**

It is the first time the country is implementing the concept of devolution and having the public participates in the budget making process at the county level, therefore there has been few

.From the literature review the aspect of participatory communication as strategy for grassroots development in the area of finance and governance is perhaps the list studied especially in developing countries.

## **1.9 Ethical Consideration of the Study**

The researcher had to seek consent from the county official administration to carry out the study. The consent was in a written form and was presented to the respondents before conducting an interview or administering a questionnaire. *(It is part of the addendum)*

## **CHAPTER TWO: LITERATURE REVIEW AND THEORETICAL FRAMEWORK**

### **2.0 Introduction**

The chapter critically examines available research done and study that have been carried out in the past and are relevant to this research. The study focuses on the role of participatory communication in the budget formulation process at the county of Nairobi with an objective of making one aware of the achievement in this area of study and the gaps that still exist.

Communication development models have been around since the 1950s as of the models arouse as results of academic studies while other came about as a result of field work. Models often developed alongside each other and in parallel with each other with a clear and irreconcilable difference.

In recent times there have been efforts to close gaps and adopt convergence of previous different models and approaches communication models. The right to communicate and the ownership of communication process is on these techniques.

Communication for social change is an approach in communication of empowering and developing people's confidence and necessary skills to tell their own stories, articulate their needs and advocate for what they want (Vida Yeboah, 2006) deliberate and systemic use of communication tools in development started after the second world and progressed in different direction dependent on various geographical, cultural, political social and economic context (Gumucio, 2006).

Communication for social change is anchored on dialogue and collective action, the dialogue takes place both in private and public. It is a process where people agree on who they are what they need and want they want in order to make their lives better this is based on the hypothesis

that the people affected do know better their certainties than any expert not within their society, people can be the change they want.

There is need to differentiate among communication about growth and development communication. While communication for development will communicate development activities their progress and results in communication for development will integrate communication tools in the process of development.

According to Paulo Mefalopulos (2008) communication for development is a situation whereby communication involves stakeholders, consider the condition and come up with actual policies thus leading to better justifiable development initiatives.

## **2.1 The Extent of Participatory Communication in the Budget Making Process**

In Brazil, the level of citizen participation has increased tremendously In Porto Alegre, successful Participatory Budgeting enhanced the level of citizen participation. The number of citizens taking an active role in society increased tremendously, from less than 1,000 per year in 1990 to 16,000 in 1998. Participation is not limited to the leaders or the elites, but even the underprivileged groups are expected to take a very active role in the process. People's representatives, and especially from the marginalized regions, participate in the allocation of benefit through participatory budgeting. Every municipality receives distinctive arrangements to decide endeavor criteria; to choose public delegates; and to manage the city government, its organization, and the city councilors.

People needs are given to dynamic distribution of the assets, paying little respect to individual delegates' requests, so that poorer zones are given more resources than the well-off zones. The preferences of Participatory Budgeting supporters usually influences part choices on

framework venture. Community's representatives, more often than not from marginalized areas, decide upon the allocation of resources through Participatory Budgeting participants. Each location assumes different approach to determine investment criteria; to select community representatives; and to transact with the city government, its administration, and the city councilors.

Most of the cases, those representing the communities decide the investment priorities together. Priority is given to progressive distribution of the resources, individual representatives' demands notwithstanding; this ensures that poorer areas receive more resources than the prosperous ones.

The decisions of Participatory Budgeting participants mostly influence decisions on infrastructure venture. Through the process of participatory budgeting there have been substantial changes in Porto Alegre, which have improved the condition of marginalized citizens. Also there has been an increase in the share of Participatory Budgeting participants in total budget allocations. This transparency and accountability mechanism created a robust tag and pull between the local government and the citizens. Public participation has ensured more people-focused budget allocation decisions and their timely implementation.

According to Kenya School of Government (KSG) paper, Management of Public Finance and Procurement (2015). Kenya is in a good traction to build strong public involvement in the county and national governments. Freedom in which the public engages with the government endures to increase; the government and various institutions have gained considerable understanding in application of participatory tools and approaches, especially in the area of local service delivery funds.

The media in Kenya is reasonably free and it's able to carry out its functions, Kenya's position as a regional Information Communication Technology pacesetter, and one of the first major open government data portals in sub-Saharan Africa, is widely recognized. Kenya also boasts of vibrant network of civil society institutions, both secular and faith based, profit and non-profit; and research, policy and advocacy, including international, national and community-based institution.

An open and independent media and a strong civil society mean that corruption allegations and mismanagement of public funds are widely investigated reported and are open for discussion. Participation is happening on most of the key papers required by law though in unstructured arrangements by both County Executive and County Assembly. In most counties there has been public participation in the development of Budget Estimates, Finance Bill and other key laws.

A survey by Ministry of Devolution & Planning, (2014) 16 indicates that 95 percent of the counties involved the public in discussion on the budget. The survey showed that 87.5 percent of the counties involved the public in integrated development planning, while only 52.4 percent involved the public in the preparation of fiscal strategy papers. Participation was mainly ad hoc and done principally at the county and sub county levels, rather than cascade budget consultative meetings to the village level. This meant that participants had to travel long distances and demanded to be given transport allowances to be able to attend. This approach has locked out many people who should and could have been involved. In counties where local leaders were engaged in mobilization, they did so with persons and networks affiliated to them, compromising the quality and inclusiveness of the participation. Furthermore, participation has been seen to be a device for making a wish lists as there's no prearranged format for discussing importance, or any realism around the resources probably to be obtainable after cost are paid According to the survey In



Machakos County, people participation is open to all without bias. The county has established its communication strategies where invitations for public to participate are made by the use of newspapers, vernacular radio stations, text messaging services, and notices are also made in the places of worship. Citizen Representatives like chiefs and elders are also made aware of the information as well as and Civil Society Organizations network addition, mobilization of people is also done by members of the county assemblies in their wards. The public has slowly been participating in awareness initiatives, decision making on development projects and in monitoring and evaluation of projects being implemented.

## **2.2 Participatory Communication Strategies in the Budget Making Process**

Government professionals, public officers, scholars, civil society and businesses regard people participation as solution for lack of popular care for accountable financial structures. Citizen engagement in community it's a crucial ingredients of efforts to rising awareness and transparency and at the same time enabling citizen to get connected with their governments. Associate in Nursing engaged public demands that government should be experienced, approachable, comprehensible and accountable.

Government, in turn, can become more open to communities' input and suggestion. Consequently, public engagement creates shared advantages, people prove to be more aware about legislations, rules and authorities sports; and by sound into the knowledge and aware of their components, and officers will further build powerful and receptive government (Lee, 2015). 23 Policy makers are not keen to widen the budgeting process to include people in financial deliberations, but public officials involved in this process can provide support for the efforts to non-state actors and individual's efforts to educate and become educated.

Opportune access to correct, reliable and comprehensive information pertaining to budgeting information can enhance the quality of the public discourse. Without it information to go unchallenged, perhaps contributing to public distrust and cynicism about powers that be. By ensuring that sufficient information is readily available, those involved in budgeting might produce vital contribution that benefit the citizens as well as different stakeholders, civil society organizations and media that functions as mediators between citizen and government (Willoughby, 2014). The aim of purpose of people involvement is to empower the rural poor, thereby allowing them to ensure that their governments are transparent, responsive and powerful, hence improving their collective livelihood. Governments, however, should resist the temptation of encouraging broader engagement by locals as a result of the actual fact that they expect direct and instantaneous quantifiable improvements in the budget outcomes. Rather, modifications are far rather more likely to take the shape of steady enhancements in notable data of policy issues. However, government-endorsed endeavors that increases expectations that cannot be realized, that are exclusively partisan or that make the false impression of participation without real impact could also be harmful and damage the authorities' reputation. They could accelerate levels of public mistrust instead of promoting increased trust in government (Liu, 2015).

### **2.3 Challenges to Participatory Communication in the Budget Making Process**

Overall impact on equity in society, public education, and administrative reform can be affected by numerous limitations to participatory budgeting programs. There are great variations on how participatory budgeting function in specific places, however other obstacles that are to be mentioned in this paper appear to be not unusual in most cases. Those obstacles recommend that participatory budgeting initiatives have substantial capacity to encounter social and political exclusion even when promoting equity in the society.

Participatory budgeting initiatives are a significant step toward political inclusion and more social justice, however they are by no means a quick fix. First of all, a major constraint comes from the fact that there is a particular focus on public works, which reduces the effect of the general public recognition or empowerment periods. Many members have a tendency not to be interested by understanding approximately their rights, fiscal responsibilities of the authorities, or broader public policies they may be normally more fixated on obtaining a small infrastructure project for example they may want a market built in a certain location but might not understand that the same location might prove to be environmental hazard to them. This is the principal Catch-22 of participatory budgeting.

The other challenge which has been observed in most initiatives concerns the place of long-term planning. Most citizens taking part in participatory budgeting are concerned in getting short-to medium-term public works projects discussion on long term projects are rarely brought up. The obsession with the specific public works makes it almost impossible to initiate discourse on development for the welfare of the community. Many municipal governments have tried to initiate dialogue and develop long-term plans, but the results have been encouraging. The intricacies of the issues involved necessitates that the citizens have adequate technological and analytical know-how to weigh different arguments. Participatory budgeting initiatives are slowly building these skills, but it may take years for participants to have an understanding of the complexities of the proposed solutions.

Dependence of participants on the government's structures is the third limitation. Usually participatory budgeting programs directly involves non-state actors in the policy-formulation process, still the government remains the primary actor. It is dependent upon to schedules meetings, avail information, ensures that technocrats meet with public, and gives assurance that

preferred policies will be implemented. The influence of the public officials and the governing coalition remains significant. This makes it becomes difficult for budgeting programs to succeed due to lack of a strong commitment to participatory budgeting by government leaders. Case and point ,the only reason the mayor started , participatory budgeting In Recife was to distribute public funds for the yearly carnival. Instead of having an open, transparent consultative meetings, he manipulated the release of funds so that those who were friendly to his government would benefit. Those who did not participate and did not see his government favorable were denied public resources. Participatory budgeting participants expressed concern that if they did not act a certain way they would be ignored by the government. This does very little to empower citizens and may just be a new form of clientelism.

Overemphasis on local issues and local public policies is the fourth limitation. It has been observed that participants, including experienced political and community activists, usually spend their time and energy on the particulars of local public policies. This impact on the amount of time they are able to give to regional, national, or global issues 46 Brian Wampler problems.

Even as participants devote their efforts in bringing changes in local public policies, the main problems their communities face are often related to unemployment, violence, or the lack of educational opportunities. Participatory budgeting does not avail the opportunity for participants to challenge the fundamental reasons for their social and economic exclusion. For example In Recife many active participatory budgeting participants devoted 5–10 hours a week to participatory budgeting. But when asked was the main problem in their neighborhood, they responded that it was unemployment.

## 2.4 Historical Overview on Citizen Participation in Kenya

The concept of participatory development in Kenya began with and was for a long time restricted to community development projects (Wakwabubi and Shiverenje 2003). The attempt to institutionalize the decentralization and planning and implementation of development project began in the 1960 through Sessional papers.

District Focus for Rural Development (DFRD) Strategy District which began operating in 1983 was the most detailed one. However, the approach still maintained the involvement of central government grassroots workers in planning and implementation of programmes. This, as noted by Chitere and Ileri (2004) went against the spirit behind the participatory approach. In ideal situations, development people such as civil servants should play the role of facilitating the process, through assisting communities to identify and come up with solutions to their own problems.

The District Focus for Rural Development Strategy also faced obstacles in implementation because it lacked a legal framework that could coordinate the established committees in the law. They therefore their operations were largely administratively rather than legally.

This had been the trait of decentralized policies in Kenya whereby some resources had been created by Acts of Parliament and therefore have had legal support. However, others came about through policy pronouncements and as a result has had no guarantee of continuity (Kenya human rights [KHRC] and Social Accountability Network [SPAN], 2010). It was until 1996 that Kenya achieved a major milestone in the progression of participatory development, when the Physical Planning Act in 1996 was operationalized.

The framework for public people participation in the preparation and implementation of physical and development plans was spelt out in the Act. Its major pitfall however, was the lack

of the significant element of making communities aware of their obligations. Physical planning was also centralized in major cities making it difficult for communities living in far flung areas excluded in participatory planning (Okelloetal, 2008).

The Local Service Delivery Action Plan (LASDAP) Constituency Development Fund (CDF) have been by far provided avenues for citizen participation in development at the local level. The LASDAP was established in 2001 through a Ministerial Circular while the CDF came into being in 2003 through an Act of Parliament.

The LASDAP is presented as a three continuous plan which requires local authorities to concentrate on poverty reduction priority areas in education, health and infrastructure (Kibua and Oyugi2006) The LASDAP provides platform for the local government to constructively connect with local communities on matters of planning, budgeting and development (Ministry of Local Government, 2009). The CDF Act targets constituency level development projects particularly those aiming to combat poverty at grassroots.

The CDF Act enables communities to participate in development through established various committees. Those who sits on CDF committees are chosen by the local Member of Parliament, although representation categories framework is legally defined in the CDF Act.

A noticeable weakness in the CDF Act set out clear mechanism for the citizens take part in decision making. However the 2009 revised framework for LASDAP set out clear mechanism for public participation in decision making.

The inadequate framework of engagement has significantly affected the intended purposes of LASDAP and CDF. For the strengthening of public participation as Kenya implements devolution system of government at the county level, there is need for clear mechanisms for engagement and representation of community interests.

Another key hindrance to effective citizen engagement in devolved governance has been the existence of several. A study by KHRC and SPAN on the harmonization of decentralized development in Kenya, scrutinized the effects of the existence of multiple funds and the duplication of implementation jurisdictions.

The study found out that the presence of numerous have largely discouraged citizen engagement in local governance. This is because Citizens have been confused by the existing overlaps between administrative boundaries which have made it difficult for them to understand or recall the processes involved in fund administration. The overlaps have also made it difficult to conduct monitoring and evaluation of projects. The study recommends that for effective citizen participation to be realized there must be synchronization of the funds one single pool under the county government.

This research paper therefore seeks to point out the principles necessary for effective citizen participation. It accomplishes this through an assessment communication strategies and challenges of participatory budgeting at the county level. It as a result focuses mainly on budget making process at the county of Nairobi .The research paper also discusses proportional models of communication strategies which county governments can implement best practices in designing a legal framework for citizen participation.

Short notice on meetings and failure to make available budget information prior to forums continue to hamper the quality of participation. In most public participation arrangements, counties have preferred in person meetings. Unfortunately, the notice given was has always been short and sometimes only given through media such as newspapers that most people, especially in rural areas, cannot access. The public was only able to see the agenda documents at the meeting and sometimes in highly summarized or bulky reports that were not citizen friendly In most

consultative forums. According to Civil Society reports, only Nairobi County's Budget 2013/14 contained a narrative description. Efforts to simplify budgets and CIDPs have thus been more recent.

## **2.5 Critique of Existing Literature**

Many studies have been done in developed nations, for example the United Kingdom, Spain, Italy and Germany (Ebdon, et al, 2012). Accomplishments in these countries have been attributed to three major components: the being there of grassroots majority rule government, suggesting that more finances are allocated to those regions that have a lacking foundation than regions with a high level of life and communities' commitments to the planning procedure are considered in the last spending plan, accordingly they trust that they have control over the practice. Ebdon, et al., (2012) a study in which a contrast was made at public participation in China, the US and Brazil.

Legal framework have been adopted by various developing countries requiring them to have citizens involved in the planning and budgeting process (Hope &Chikulo, 2010). For instance, it is noted from the 1993 Constitution of South Africa, that there are provisions which ensures that the public are participating fully in the local structures (Shall, 2007). nevertheless, a variety of difficulties have been alluded to, poor communication, varied educational foundation making it hard to understand reports made by technocrats, distinguishable societal position and irrelevant clashes between specialized staff and political pioneers and continuous lack of resources (Moore, 2007). In her overview of Ukraine's involvement in participatory planning, Krylova concluded that displeasure by government to rally people, difficulties in accessing materials for preparing, and data inconsistency among major players in the planning procedure were in charge of lack of cooperation by stakeholders. Krylova's, (2007) results are in agreement with Fölscher's,



(2007) discoveries in Bangladesh, India, Indonesia, the Philippines and Thailand that participatory budgeting can enhance service delivery that are needed by the residents and create improvement in local community. The two concurred that environment facilitating effective participation include, exceptional sharing of information, combination of different system, increasing awareness and training of partners, and clear strategies for involvement.

Fölsch era greed that initiatives should be set up to strengthen such environment before presenting participatory budgeting. From the above examination, it is assumed that participatory budgeting can most probably succeed if there exists; a legitimate structure that accommodates public support, gives some level of independence to local governments and easy access to financial information and documentation;

Vibrant civil societies that are able and willing to organize locals to take up interest in the budgeting process; and specialized technocrats and government to officers who are devoted and willing to include citizens in the planning process with respect to community developments. Their conclusions are steady with equivalent research by Shah, (2007) from different nations.

## **2.6 Theoretical Framework**

### **2.6.1 Modernization Theory**

Modernization theory which is also known as The Dominant Paradigm, it considers development as a linear, cumulative evolutionary and unidirectional process (Servaes, 1991). From this understanding, poor countries are solely responsible for the state they are in and it is up to them if they want to bridge the gap between them and industrialized countries. For them to do this they must accept help and expertise offered by the industrialized countries and they must shed off belief and cultural practices that hinder modernization.

This model emphasizes on economic and technological progress. This principle implies that knowledge is the privilege of the industrialized countries. In this regard communication and media are seen as instruments needed to achieve and maintain modernity. Communication in this model is a one-way process where information travels from one point to another point usually it is vertical, a top-down kind of communication.

The purpose of communication in this paradigm has been that of facilitating the acceptance and embracing of technology whereby the one-way linear model of communication is used. Information is usually passed from the sender to a receiver through the certain channel the receiver, in this case, would mass audience. Theories related to this paradigm are hypodermic needle theory also known as magic bullet theory where it is assumed that the media exerts greater influence to the audience, therefore, the receiver of information is at the mercy of the sender.

However studies in the field of communication specifically audience reception is more complicated phenomena than originally thought during the 1950s it came to be understood that due to a large number of intervening factors dependable measurements of effects of media is extremely difficult to determine leading to other theories such as such as two-step flow and diffusion theory.

J.T Klapper (1960) a renowned communication expert pointed out that studies the effects of media should also look into other factors which co-determine human behavior and attitudinal change. Those who use the media are not at the mercy of the media but consciously exposes themselves to certain types of media depending on their experience, background knowledge, and expectation education culture and so on and so forth.

Modernization model has been widely criticized for several reasons first and foremost the premium placed on the mass media as a tool for development. The United Nation even came up

with an acceptable per-capita percentage a country should have in terms of television sets, radio receives and newspapers. In its 1987 The General Conference UNESCO indicated that the media were an important tool in promoting change where the focus is more on the media than content reinforcing McLuhan' s sentiments the media is the message.

This model has also been criticized for being centered on western values and lifestyle ignoring other possible values and outlook on life, Servaes (1991) points how the contrast between modernity and tradition is unfair being that it is without no real scientific or objective grounds. He is of the opinion that modernization paradigm is theoretically inaccurate as it put blame on developing countries without real arguments.

Another final point raised against modernization its predominant focus on economic aspects and neglecting other aspects of human life.

Criticism to that paradigm become so strong even from its proponents like Fred Rogers (1976) acknowledged some of its main flaws when he wrote about “The passing of dominant paradigm” he began to ponder on the shortcomings of the paradigm and started thinking more about the people at the end of development spectrum and realizing the need for people based approach.

### **2.6.2 Dependency Theory**

Criticism against modernization theory led to the emergence of a substitute theoretical framework that came from Latin America from political economic perspective.

Against modernization resulted in the emergence of an alternative theoretical approach that originated in Latin America from political economic perspective. Advocates of dependency theory faulted modernization scholars for usually blaming the condition of the poor countries only on the poor countries.

poverty and underdevelopment are just but part of the similar process triggered by specific, historical, economic and political factors, therefore, causes of underdevelopment should not only be seen as a result of internal failures within the poor countries but also externally, for instance, the colonial past and other forms of exploitation. Andre Gunder Frank (1969)

Poverty and underdevelopment are not just more manifestations of ancestral and cultural weaknesses; they have come about due to systematic exploitation of poor countries by the rich countries and massive social inequalities between rich and poor individuals within a nation. Structural reasons, economic, social, political, and legal explain the cause of poverty and underdevelopment (Gumcio, 2006).

Dependency theory developed as a conscious criticism of modernization theory Kiely (1995) criticize modernization theory, First, he says that it is assumed the transition from traditional to modern society is unproblematic and requires only capital or more enterprise. Secondly, modernization theory paints a very rosy picture of the reality of modern societies. The development of position by achievement rather than ascription is quoted as key characteristics for instances it was assumed that the USA was fully developed society in the 1960s which is false taking into consideration the position of African Americans at that time

The criticism against modernization led to the emergence of alternative theoretical approaches. Parallel with modernization thinking began to influence communication thinking in the early 1960s however since this theoretical discussion took place in Latin America and in Spanish, this discussions did not influence thinking elsewhere until 1970s. One good example is Antonio Pasquali's work Communication Theory the Sociological Implication of Information on Mass Culture.

The earliest voice proposing a different paradigm of communication-related more to culture and development came from Venezuelan born Pasquali who wrote about deconstructing sender receiver model. In his analysis of dominant communication model, he describes “the deaf sender and the mute receiver who are unable to establish the dialogue which is the real basis for communication.

Pasqualis breaks down the difference between information and communication, he analyses the relation of information where the allocation or unilateral discourse does not admit a reply and attempts to subtract to diminish to take over and alienate the receiver, and every receiver becomes a violated non-deliberative subject. The so publicized “freedom of information” is according to Pasqualis is irony since it only applies to the freedom of who informs.

Thirdly modernity may create as many conflicts as it destroys so the consensus held by most modernist is wrong .Kiely cites the “green revolution” this was aid financed agriculture revolution aimed at introducing better strains to increase productivity and end hunger, although productivity was increased problems emerged (Bernstein et al 1992) in their study of rural livelihood argue that in relation to India the key problem was unequal access to resources notable water necessary to produces crops from new seeds. As a result, Kiely points out rich farmer gained much more from these social inequalities and consequential conflicts were increased.

### **2.6.3 Participatory Theory Approaches**

Participatory theories and approaches theory faulted the modernization paradigm on the basis that it promoted a top down, ethnocentric and authoritarian outlook on development. It was challenged that the diffusion model favored a concept was only consistent with the western world Development was often defined as the adoption of new behavior or technologies. Beltran (1975) conclude that diffusion model is anchored on the ideological framework that is inconsistent with

the reality of the region Pg. 190 the weight of theoretical research into participatory communication do not purport exclusive means of end focus but does contrast in terms of level of conceptualization issue of attention and topic of interest Robert Hausca (2003).

One of more general and fully pronounced notion to emerge in participatory communication practice is the idea of diversity in the world (Servaes 1985,1986,1989) this approach advocates strong grassroots participation in development efforts but clearly does not advocate for universal approaches to its application instead it emphasizes on the term diversity and pluralism allowing nation and regions to develop their own practical approaches to self-determine development goal that emerge out of participatory process. Early forms of development projects have also been faulted as a form of domination and manipulation Paulo Freire (1973) in his analysis of the term extension used agricultural projects notes that the term and its associates tend to invite mechanical transmission and invasion of models of model of communication. The vertical structures of many extension models resembled the hierarchy of organization landlord-peasant relation that was in South America resulting in an intentional continuity of democratic relations.

Participatory communication is used to define theories and practices of communication used to involve people in decision making process. It springs from the roots of its meaning which is similar to the term communication which originated from the Latin word “communis” which means to make common Moody (1991).Therefore the purpose of communication should be to make something common or to share significance, insights, philosophy and knowledge. Sharing in this scenario point towards an impartial distribution of what is to be shared. This is the reason communication should automatically be linked with an equal two way flow of information Paulo Freire (1997).

The author believes that the empowerment of people can be achieved through the process of awareness or conscientization which means reaching a level of awareness whereby the downtrodden are awakened to their condition through totality of reflection and action and the most effective way to achieve this is through dialogue.

Melkote (1991) holds that while participatory approaches hold great promises for more equitable distribution of resources and development the concept of participatory development is still an approach (no fully blown theory of participation because the definitions of participatory vary from development context with different context)

Experts in the field of communication accepted that structural changes should first happen in order to establish participatory communication policies. Communication policies fundamentally are a results of political conditions and institution under which they operate in. whereby they tend to give legitimacy to the already established authorities in the society therefore they cannot be considerably alerted unless there are vital structural changes in society that can change these power relations, Mowlana and Wilson (1987)

Participatory communication can be approached in two ways first is the Dialogical Pedagogy of Paulo Freire and the second on include the concept of access to participation and self-rule as outlined in the UNESCO discourse of 1971. The continued progression at the international level of open democracy as the leading form of governance has led to requiring people participation in the in the decision making process on matters concerning their lives as an important component in all development initiatives.

The reason for adoption of participation in development is not exclusively within political context there are other reasons McKee summarizes the major reasons as ; a lot more will be accomplished, the cost of providing services will be reduced, participation will give participants a

sense of worth eliminating feelings of alienation and worthlessness, participation as an avenue to encourage further development efforts, participation convey a sense of ownership for the projects, participation ensures that a felt need is involved, participation ensures that things are done in the right way, participation allows for the use of traditional knowledge and expertise, participation ensures freedom from dependence on professionals, it brings about awareness that is it helps people understand the nature and extent of their limitation that is deterring their escape from poverty

According to Mefalopulos participation just like communication has remained extremely admired expression but poorly adopted despite all the listed benefits. He attributes this to diverse conception and various sensitive issues involved in participation. Almost every development expert has his or her own idea about the meaning of participation resulting in divergent views on what participation truly entails and how it should be applied Mefalopulos (2003).

However, there other scholars who do not consider the ambiguity of participatory concept a problem, for instance, Servaes argues that in dealing with participation strictly defining theoretical structures are not only practical but also not desirable (Servaes, Jacobson & White 1996. He is the opinion that participation strength is as a result of its flexibility in adopting strategic approach according to the situation.

## **2.7 Study Gap**

In Kenya Public participation and accountability in public finance can be traced back to 1980s with various devolution development programmes. Example of such initiative is the District Rural Focus Development in the 1980s. The introduction of constituency development fund through the CDF Act of 2003 provided for participation of citizens through project identification



at the constituency level. The CDF Act has since been amended to align it to the current constitution.

Also, the Local Authority Service Delivery Fund (LASDAP) which was introduced in 2000 in order to facilitate public participation in identifying their priorities and needs.

Several studies suggest that The LASDAP process was the most comprehensive tool incorporating citizen participation in planning, selection, implementation, and oversight of projects in local authorities. This was supposed to be included in the Local Authority Planning process but instead, LASDAP did not achieve much due to it being hijacked by the elite and political interference which led to citizen indifference.

The concept of public participation in the management of public funds in decentralized government is relatively new since this is the first time the devolved government has been operational since the inception of the Kenyan Constitution 2010. Studies on participatory communication in this area are not many.

## **2.8 Summary**

From the literature review participatory communication indicates the theory and practice of communication used to facilitate those involved in decision making, it is an approach based on a discourse which enables concerned stakeholders to share their opinions, perception, and ideas, therefore, facilitating their empowerment. This study will seek to interrogate this aspect of communication in the budget making the process in the county of Nairobi, the process of making a budget is key in the management of public funds hence it needs to be fully inclusive and transparent therefore any participatory communication should be genuine and truly effective.

Participatory communication does not just involve the exchange of information and experience it also entails examination and generation of new ideas geared towards addressing

situations that need to be improved. To be sincerely participatory and truly effective communication should happen among all stakeholders to ensure the agreeable outcome of development initiative (Tufte and Mefalopulos, 2009).

## **CHAPTER 3: METHODOLOGY**

### **3.0 Introduction**

The chapter entails explanation of the methodology that was used in the study; it includes the procedure that has been used in data collection and analysis.

### **3.1 Research Design**

The study specifically focused on the participatory communication during the budget making process at the county of Nairobi. It examined the channels of communication the extent of participation and the challenges of communication. Therefore, it used case study research design. A case study research method is an empirical inquiry that examine a contemporary occurrence within its real-life context; when the boundaries between phenomenon and context are not clearly apparent; and in which multiple sources of evidence are used (Yin, 1984, p. 23). The study took an in-depth look on the way participatory communication have been incorporated in the process of making budget at the county of Nairobi.

The study is both qualitative and quantitative research the reason for using this approach was to investigate and describes the answers from respondents and also other variables in the study like attitudes, perceptions, Tastes and preferences.

Qualitative research is used to achieve an elementary motivation, reasons and opinions. It offers insight into the phenomena or helps to advance the theories for potential quantitative research. It is also used to recognize trends in assumptions to the problem.

### **3.2 Population and Sampling Design**

#### **3.2.1 Population**

According to Kothari population as the component that one would wish to make study on wherein a sample size is an illustrative of a population. The study population was diverse

individuals residing in Nairobi County and individuals involved in the budget making process at the county of Nairobi.

### **3.3.2 Sampling and Sample Design**

Sampling is the process by which inferences is made to the whole population by examining only a part of population according to Cornell (1960). It is a process whereby comparatively smaller number of subjects is selected, examined to in order to find out something about the entire population from which it was chosen as a study sample. The research looked at two types of sampling that is purposive sampling and convenience sampling.

Purposive sampling is a non-probability method that involves deliberate selection by the researcher of certain subjects to include in the study. The subject is selected because they have specific characteristics that are of interest to the researcher.

For purposive sampling people interviewed were from planning and of Budget the County government, communication department and the sub County administrative unit this is because they are the ones who coordinates public participation during the budget making process at the County.

For convenience sampling questionnaires were given to members of public to get their views attitude and opinion 100 questionnaires were given out.

### **3.3.3 Sample Size**

Sample size must be must be large enough to be a representative of the universe population this is according to copper and Schindler (2006).

The sample frame of this study consisted of a list of all participants who coordinate public participation during the budget making process in Nairobi County. Public participation in Nairobi County is coordinated by The Budget office under the planning department and sub-county

administrative office. Nairobi has 17 sub-counties also known as constituencies and 85 wards headed by Sub-County Administrators and Ward Administrators respectively.

Out of the 17 Sub-county administrators the researcher interviewed 10, out of 85 ward county administrators the researcher administered 30questionnaire to Ward administrators.

The researcher also conducted interview with the individuals in responsible of budget issues from the planning department at the county and also individual in charge of communication from the communication department .The list was obtained from County government budget office Nairobi.

### **3.3 Data Collection Procedures**

Interview were schedules with key informants to allow the researcher to get as much information as possible and also to gain thorough understanding of the budget making process and communication strategies used to facilitate public participation.

The research sent out questionnaires to the member of public and Ward administrators.

### **3.4 Data Analysis**

The analysis method employed for this research was quantitative. The collected data was organized into categories and themes that will help in linking the collected data with the theoretical concept from the earlier reviewed literature.

## CHAPTER 4: FINDINGS, DATA ANALYSIS, AND INTERPRETATIONS

### 4.1 Introduction

This Chapter describes the findings as well as respondents demographic characteristics using descriptive statistics. 100 questionnaires were distributed to the member of public and this how they were distributed.

#### 4.1.1 Distribution of respondent by Gender

MALE	Female	Total
58	42	100

**Table 1**

Men were more than women and were the keen in the study offering detailed answers and more explanations than their female counterpart

#### 4.1.2 Distribution of respondent by age

Age	Distribution
18-25	29
26-35	26
36-45	23
46-55	19
55 and above	3
Total	100

**Table 2**

More than half of the respondents were below 45 years old, which is true representation of the youthful population of Nairobi County

#### 4.1.3 Distribution of respondent by level of education

Education level	Distribution
Primary	14
Secondary	19
Diploma	39
undergraduate	32
Postgraduate	6
Total	100

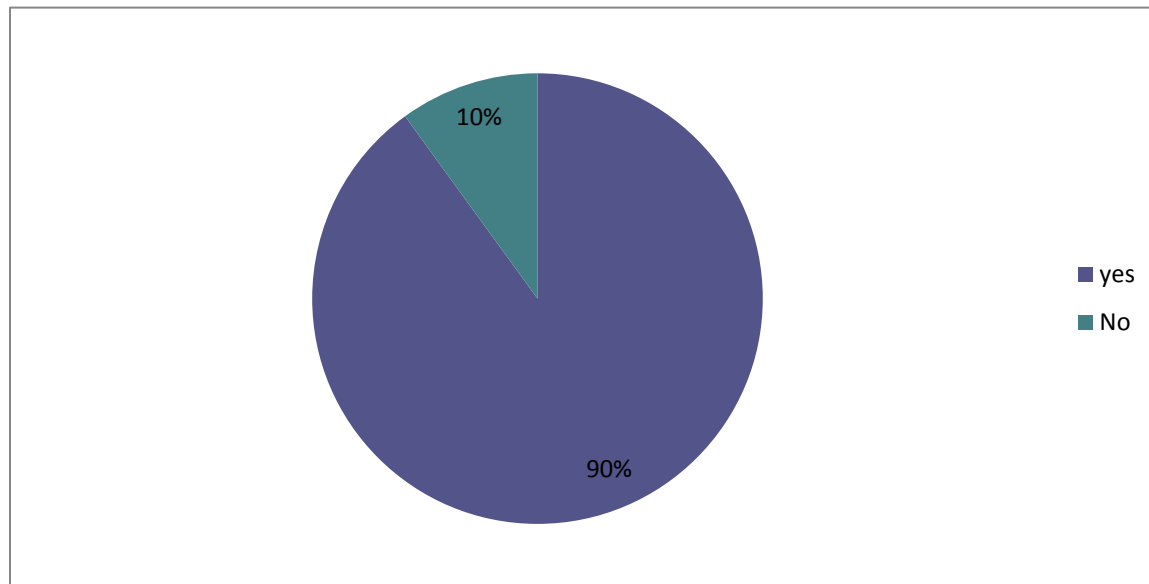
**Table 3**

The literacy level in Nairobi County is high due to it being an urban center more than half of the respondents had college education.

#### 4.1 The extent of public participation in budget making process

When asked if they understood the concept of public participation in the budget making process 90% of the respondent responded in affirmative but when asked if they have ever participate only 10% said yes.

#### 4.2.1 Understanding of budget making process.



**Figure 1**

90% of the respondents understood the concept of public participation this is due to their level of their education. However when it come participation Only 10 the 100 sampled respondent have ever participated in budget making process.

#### 4.2.2 Participation in the budget making process

<b>YES</b>	10%
<b>NO</b>	<b>90%</b>

**Table 4**

#### 4.3 Extent of Participatory Communication in the Budget Making Process.

The process of budget making in Nairobi county is led by the Budget office under planning department at the county. It is also this office that coordinate and facilitates public involvement in the process of making budget with the help of office of sub-county administrator the office of

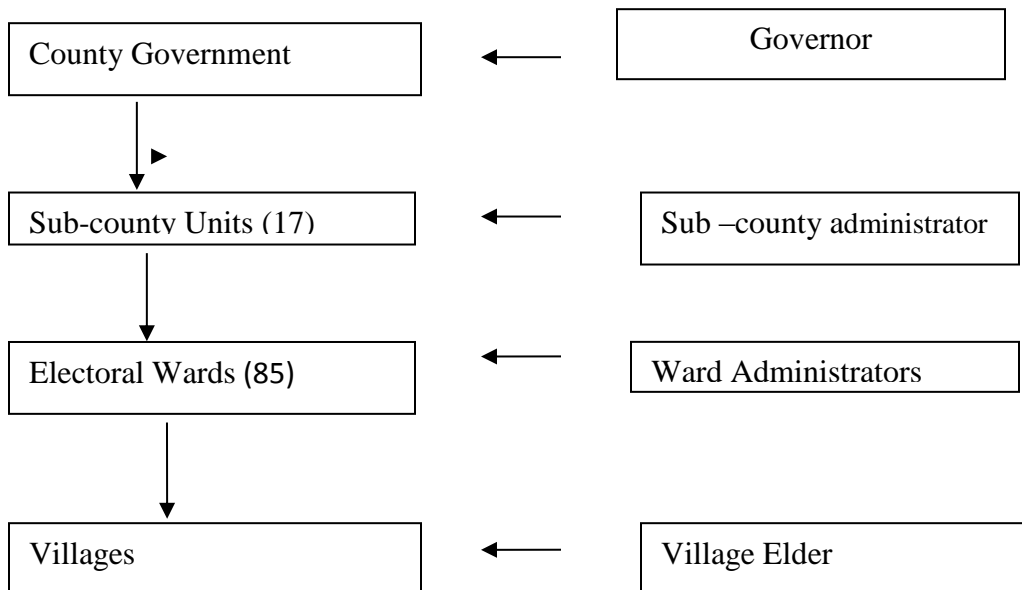


the ward administrators and the office of the village administrator. The Administrator in the Sub-county is accountable for coordinating, managing and supervision of the overall managerial function within the sub-county unit. Amongst his obligation is the improvement of guidelines and strategies and facilitating and coordinating of public involvement in policy improvement, delivery of public provider and other function.

Comparable functions are accomplished with the aid of the ward directors and village administrators at their corresponding unit of devolution within the county, the county government act calls for the administrators to arrange public participation boards in their jurisdiction.

The village council in implementing his or her duties reports to appropriate ward administrator, who in turn reports to responsible sub-county administrator who is responsible to the chief officer.

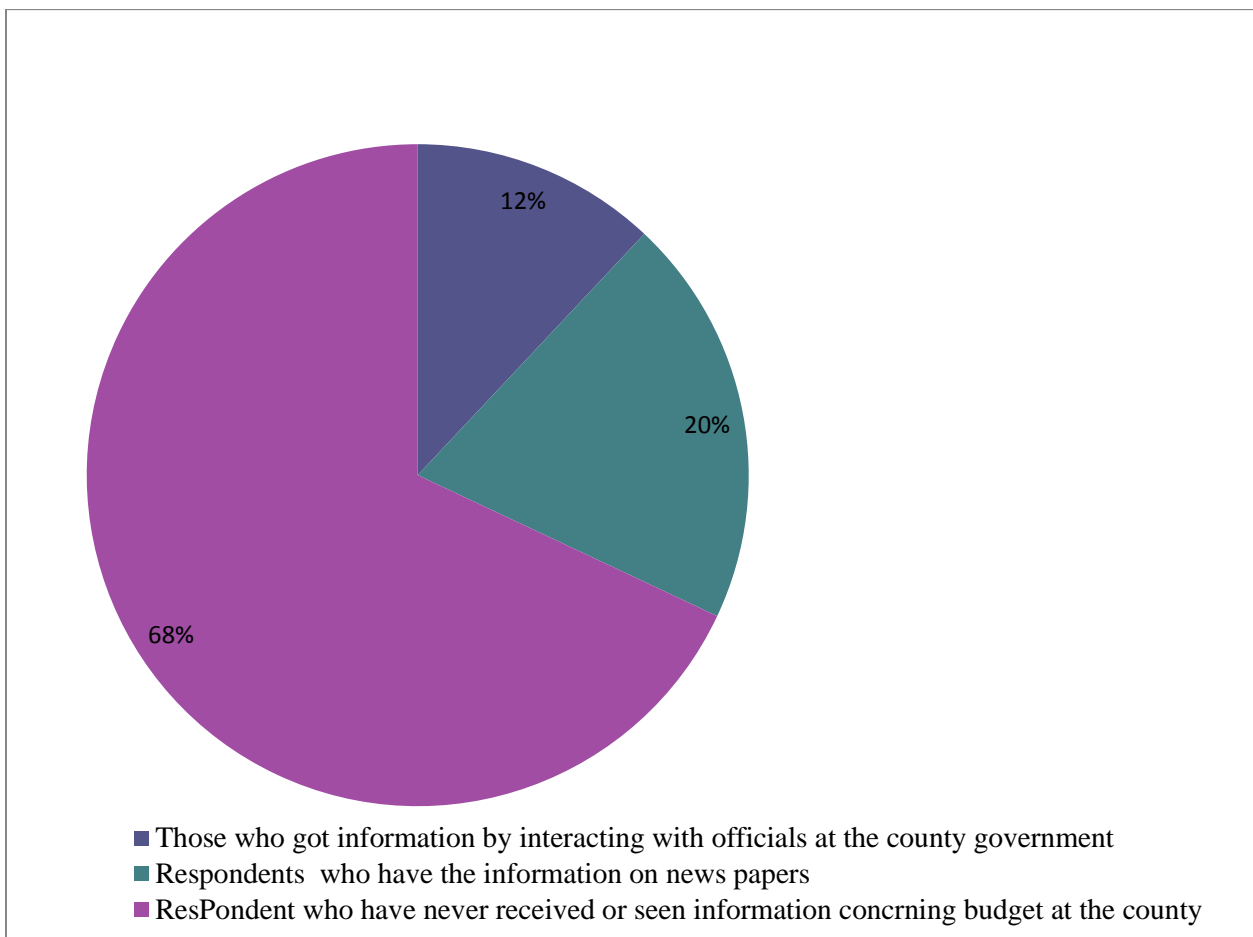
**County Government Levels of Decentralization (Nairobi City County)**



**Figure 2**

### 4.3.1 Extent of participatory communication in the budget making process

When asked if they have ever received or seen communication concerning the budget making process at the county 68% of the respondent said that they have never received nor seen any information concerning the budget making process from the county government, 20% said that they had seen some information concerning budget on the daily newspapers and 12% said they came about the Information due to their profession and association with those involved in the budget making process.



**Figure 3**

### 4.3.2 Preferred Medium of communication

When asked to suggest the most convenient way for those to receive information these were the findings.

While respondent who is between the age of 18 years and 35 years of age would prefer getting news through the traditional media for example, Radio and television they also stated that they would like to get information through other forms of media such the social media this due to convenience accessibility and affordability.

Age of respondents	Preferred channel of communication
18-25 years	Social media ,mobile phone and TV,
26-35 years	Social media, television , Radio, through the county's website
36-45 years	Television and Radio
46-50 years	Television, Radio and Newspaper
50 and above	Radio, Television and Newspaper

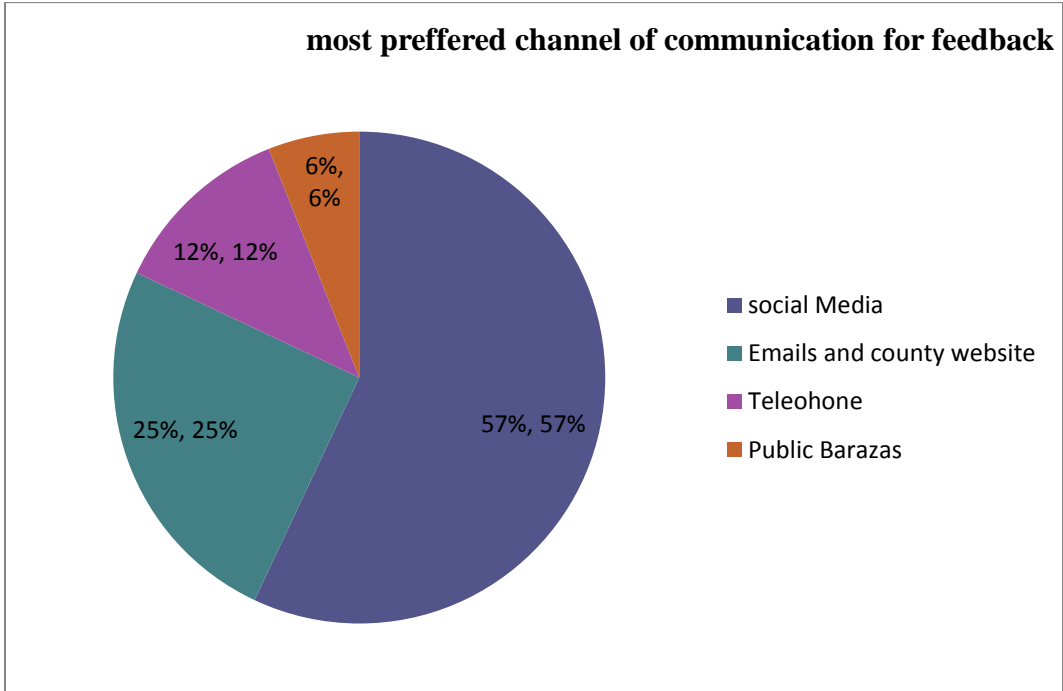
**Table 5**

### 4.3.3 Feedback

When asked what would the most convenient way for them to give back their views and feedback during the budget making process the most preferred medium was the social media platform, followed by the county's website, emails, telephone and lastly public barazas.

NO	Preferred channel of communication for feedback	Percentage
1	Social media	57%
2	Emails and county website	25%
3	Telephone	12%
4	Public barazas	6%

**Table 6**



**Figure 4**

**4.4 Communication Strategies of used In Public Participation.**

While there is an element of communication in the budget making process the department of communication in the county government plays a very minimal role in facilitating participatory communication during the budget formulation process. Their role is reduced to buying space on the daily newspapers and presenting it to the media.

Some of the strategies used in the in facilitating community involvement in the process of making budget; are public hearings newspaper advertisement and mobilization by the civil society.

#### **4.4.1 Public Hearing**

The county mostly uses the public hearing to involve the public in the budget making process. Public hearings are at three levels. The first level is whereby different sectors covered in the budget making process will only meet with stakeholders relevant to them these meetings are not open to every member of the public.

The second level is whereby the members of the public are presented with the fiscal strategy of the paper with the stakeholders input the forum usually takes three to four days at the county assembly hall.

The third level is where by the county uses the Sub County administration to facilitate public hearing to the public's at the grassroots level. These hearings are held at the ward levels to allow those who cannot come to the county halls to participate.

#### **4.4.2. Mass Media**

The only form of mass media that is employed in participatory communication by the County is the newspaper. Though this method has proven to be ineffective due to the economic implication to the public most people cannot afford to buy a newspaper, the county continues to use because of cost and meet the legal requirement of informing the public.

It cost less to use newspaper than radio and television. The county government buys space on the newspaper to inform the public dates and the venues where public hearing on the budgeting process would be held.

People are not given enough information concerning budgeting prior to public hearings.

#### **4.4.3 Mobilization by Civil Society.**

County government works with various civil society and organization to engaging the public in the budget making process. The County relies heavily on civil societies on mobilizing various stakeholders, to take part in the budget making process.

This civil society represents various sectors from human rights, economic and religious sectors

#### **4.5 Challenges of Participatory Communication of the Budget Making Process**

##### **4.5.1 There Is No Clear Communication Strategy in the Formulation of Budget,**

Though the county government has come up with a Nairobi County public participation bill of 2015 it yet to become an Act of law. The Bill spells the meaning of public participation. Gives the structure of public participation gives powers and duties to those who are to coordinate public participation, and it requires the county government to set aside funds for public participation, The county cannot have a clear communication strategy on public participation unless becomes the bill becomes an Act.

##### **4.5.2 No Clear Understanding of the Concept of Public Participation in Budget**

#### **Formulation**

Although there is legal requirement fit the county government to involve the public during budget formulation there is very little information given to the public concerning this process. Most people do not understand the budget process they are not even aware of the budget cycle at the county government and this hampers their participation.

Management of public funds is something that can be defined as complex to an ordinary person in the street yet this person is expected to participate and give opinions. Interviews with the County officials involved in budget making process revealed that sometimes public forums do not result in meaningful engagement as the public expectation and what is deliberated in the forums

are totally different things, for instance, there are people who come to public forums expectation hand outs and payment failure to achieve these results to chaos and sometimes meetings ending prematurely.

There is also apathy among some section of the public who views government initiatives with suspicions, therefore, hindering effective public participation.

#### **4.5.3 Lack of Resources**

The only medium of communication that the county uses in communicating to the public concerning scheduled county forums is the newspaper. While choosing this mode of communication the only consideration is the available funds.

#### **4.5.4 Limited time and lack of information**

The budget cycle in the county government has so many activities and strict deadlines allowing very little for public engagement. Though time allowed for engagement is not enough for the public to fully participate most of the time notices are sent a day or two to the day of public forums. When notices are sent to invite the public to open forums very little information is given therefore making it difficult

## **CHAPTER 5: SUMMARY CONCLUSIONS AND RECOMMENDATIONS**

### **5.0 Introduction**

This chapter gives a summary of the significant points of the study which were what is extent of participatory communication in the budget making process in the Nairobi county, the communication strategies used by the county in participatory communication and the challenges of participatory communication in the budget making process. From the summary of the study this chapter points out the conclusion of the study and gives recommendation of the researcher.

### **5.1 Summary of The Findings**

The study found out that 90% of the residents who responded to the questionnaire understand the concept of public participation in budget making process but according to the study only 10% have ever participated in the process majority have never received an invitation to participate in the process and those who have only done so due to their association with people involved in the Process at the County government.

While the county government uses mainly newspaper advertisement to invite the public to participate in the budget process most people preferred to be reached through other channels of communication like the social media platform. Feedback from the public is only limited to public forums and presentation of memoranda while there are other channels that the public would prefer to give their feedback.

Some of the challenges to participatory communication include lack of clear communication strategy with no clear communication strategy anchored in law. Public participation in the budget formulation process is done in an unstructured manner without any necessary measures put in place. Communication is not an aspect given a lot of thought during the



budget formulation, inadequate resources to carry out public participation. Limited time and strict deadlines also hinder public participation.

## **5.2 Conclusion**

### **5.2.1 The role of participatory communication in budget making process at Nairobi County**

From the findings, the study concludes that there is minimal level of participatory communication in budget making process at Nairobi County and therefore the county need to do more in integrating communication in involving public during the budget making process. Public participation is key to ensure equitable and prudent management of public finances and meaningful public participation can only occur where there is sufficient communication between those governing and those being governed. Though majority of respondent were aware of the concept of public participation during budgeting process most of them had never received any information on the same, therefore hindering their participation. The study also revealed that the county government of Nairobi only uses one form of mass media to inform the public on the budget making process. This has proved to be ineffective though the county continue to use it because it is the easiest means and cheapest, apart from the news paper other strategies employed by the county include public hearings and mobilization of the civil society.

From the study the public would like the county to use more channels of communication which they currently don't, for instances use of social media and website is highly encourage both for giving information and getting feedback from the public.

The study further concluded that communication was not being effectively used due to the gaps in the law; the county had a public participation draft bill which defines public participation, the bill also assign responsibility on who is to ensure public participation and even allocates

resources for the same. Without legislation in place there no incentive to come up with strategies and even allocate budget for communication to facilitate public participation. Currently the county is doing bare minimum when it comes to incorporating communication as an aspect of public participation in budget making process. What is done is not meant to facilitate meaningful dialogue between the public and the county government but to meet constitutional requirement.

### **5.3 Recommendation**

The researcher has made recommendation based on the findings of the study that can be put into consideration among others in incorporating communication towards public participation at the county government of Nairobi, these recommendations can also be applied to other county governments and national government programmes to enhance public participation. The recommendations are as follows;

#### **5.3.1 Continuous Engagement**

Public participation is it in the budget formulation or any other thing should be a continuous processes not a one off event in the calendar year. This will ensure that the public participate fully and the government also gets feedback. There should be a back and forth between the government and the public.

The County government should strategically place notice boards, regular updates on their website and their social media platforms for proper communication and robust engagement with citizens.

#### **5.3.2 Civil Education**

To foster meaningful participation the public should be made aware of the budget process they should be educated. Educate and inform citizens and all stakeholders about their duties and responsibilities in the management of public funds. The citizens should also be involved in

monitoring and evaluation of the county's projects and programs to motivate them to participate fully.

### **5.3.3 Channel of Communication /Communication Strategy**

The county government should uses more than one channel of communication to invite the public to participate in budget formulation. Other than the newspaper the county need to be creative and seek to innovate ways of reaching the citizen. On top of using the traditional media, the county could use the social media platform, website, emails and even mobile phone to reach the citizens especially the youth. When making the County Budget the aspect of communication should also be included so as to set aside funds for this activity.

### **5.3.4 Recommendation for Further Research**

In light of the study findings several lessons has come out so clearly and need further investigation. The fact that communication is an integral part of public participation it has been observed that the element of communication in budget preparation has not been given a lot of importance by the county government of Nairobi. As such there need for additional study to understand the challengers of incorporating the element of communication in public participation in management of public funds. Development practitioners should query the communication methods, medium and strategies used in public participation.

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## APPENDIX I

### Questionnaire for those involved in the budget making process at Nairobi County

1. What do you do at the county office of Nairobi-----?
  1. What are your specific responsibilities in the budget making process?  
\_\_\_\_\_
  2. Do you understand the aspect of public participation in the budget making process
  3. How do you conduct public participation during the budget making process?
5. How do you communicate to the public concerning the budget formulation and how do you receive feedback on the same?
6. What makes it difficult for you as the person involved in the budget formulation to communicate to citizens effectively? Please explain briefly.
7. How best can you as the person involved in budget formulation to effectively carry stakeholder participation in the budgeting process? Please explain briefly

## APPENDIX II

### Questionnaire for Members of the General Public (Citizens)

Please respond to the questions below by ticking in the boxes provided

1. Gender Male  female

2. Age;

18-25 year  26-35 years  36-45 years   
46-50years  50 and above

3. What is the highest level of education you have attained?

Primary  Secondary U  e Degree   
Post Graduate Degree

### The extent of public participation in budget making process

4. Do you understand the concept of public participation in budget formulation?

YES  NO

If the answer above is yes please explain briefly?

5. Have you ever participated in the budget formulation at the Nairobi county

Yes  No

**Communication strategies in participatory communication**

6. Have you ever received any or seen form of communication from the county government concerning budget formulation process?

Yes  o

8. If the answer above is yes which channel of communication did you receive the information?

9. For effective communication; how best should the county government communicate to you to ensure you participate in the budget formulation process?

Through;

TV  Radio  Newspaper  Mobile  
The county's website  social media   
Public Barazas   
Others please specify

10. What would be the most convenient way for you give your views to the county government during the budget formulation process?

Through;

The county's website  The county social media platform   
Public forums and Baraza  Email   
Telephone



**Appendix 3 COUNTY TIMELINES FOR BUDGET FORMULATION**

STAGES	TIMELINES	ACTIVITIES	MECHANISM FOR PUBLIC PARTICIPATION
<p><b>FORMULATION</b> This involves identifying sector priorities, preparation and consolidation of budget estimates</p>	<p>August 30<sup>th</sup></p>	<p>The County treasury develops Medium Term Expenditure outline guidelines Send out circular informing all the departments of the start of budgeting process</p>	<p>Civil society can participate through department working groups on behalf (DWGs) of the public.  The citizen can participate in preparation of the budget through The County Economic Forums</p>
	<p>SEPTEMBER 1<sup>ST</sup></p>	<p>Preparing and presenting to the County Assembly development plan for the year to be approved.</p>	<ul style="list-style-type: none"> <li>• The citizen can participate in preparation of the budget through The County Economic Forums.</li> <li>• The public can participate through their</li> </ul>

			member of assembly
SEPTEMBER 30 <sup>TH</sup>	<p>County budge preparation</p> <p>An updated economic and financial forecasts with sufficient information that will inform the budget proposal will be captured and updated.</p> <ul style="list-style-type: none"> <li>• It also reviews previous annual budget and appraises outlook for the following year budge. It also sets initial budget sector ceilings over three years.</li> </ul>	<ul style="list-style-type: none"> <li>• Pre-budget public consultative forums</li> <li>• The opportunity provided by CBEF for the Participation of citizens during the preparation of CFSP</li> <li>• By the MCAs.</li> <li>• Village, Ward and sub county Administrators holding forums in their jurisdictions</li> </ul>	
February 28th	<ul style="list-style-type: none"> <li>• Upcoming budget estimates inputs to be discussed</li> <li>• Submission of the County Fiscal Strategy Paper to the County Assembly for Approval.</li> </ul> <p>There should be an alignment between CFSP with the national aims in the Budget Policy Statement</p>	<ul style="list-style-type: none"> <li>• Pre-budget public consultative forums</li> <li>• There must be provision of an opportunity for the Participations of the citizen during the preparation of CFSP</li> <li>• By MCAs.</li> <li>• Village, Ward and sub county</li> </ul>	

		<p>Its purpose is to provide a forecast for the economy thus serving as a basis for expectations about revenues and expenditures in the coming year</p> <p>It also sets the final budget sector ceilings for the next three financial years upon approval by the county assembly</p> <p>There must be approval by March 14th</p>	<p>Administrators holding forums in their area of jurisdictions</p>
	February .	<p>28th • The submission of the County Debt Management Policy should be submitted and published</p>	<p>This is entirely an executive affair</p>
	April 30th	<p>• County budget estimates should be submitted with documents by the CEC member, Finance to the county assembly</p>	<p>Citizen can participate through the Sector Working Groups (SWGs) during The preparation stages. Through CBEF Through the MCAs</p>

<b>Approval</b> Debating and Amendments Of Budget Estimates	May –June	The Budget and appropriation Committee of the hold public hearing on the estimate of the budget	Citizens participate through public hearing coordinated by budget and appropriation committee
	April - 30th	Discussions and provisions of amendments or approve the budget estimates by the County Assembly.	<ul style="list-style-type: none"> <li>• The public can participate through their member of assembly</li> </ul>
	June	Submission of appropriation county bill	<ul style="list-style-type: none"> <li>• The public can participate through their member of assembly</li> <li>• Participation through community hearing coordinated by the committee on budget and appropriation</li> </ul>

	June 15 <sup>th</sup>	Yearly preparation of the County government cash, projections of cash flows for the following year.	This is an executive affair there is no public participation
	June 30 <sup>th</sup>	Enactment of county assumption bill in order to allow for expenditure for the next financial year must be done by this date.	<ul style="list-style-type: none"> <li>• The public can participate through their member of assembly</li> <li>• Participation by the citizens through public hearing corresponding by budget team.</li> </ul>
	June – September	County Assembly to start debating the Finance bill and then being approved.	<ul style="list-style-type: none"> <li>• Citizens participate through public hearing coordinated by budget and appropriation committee</li> </ul>

<p><b>Implementation</b></p> <p>Government raises revenues and allocates it to the spending agencies.</p> <p>County treasury prepares a report on the enactment of budget in every three months which are submitted to the Assembly</p>	January 31 <sup>st</sup>	The County Treasury produces and publishes the second quarter report	
	April 30 <sup>th</sup>	County Treasury produces and publishes the third quarter report	
	July 31 <sup>st</sup>	Production and publication of the fourth by The County Treasury	
<p><b>Oversight</b></p>	December 31 <sup>st</sup>	Review on approval of the budget by the county assembly and the auditor general.	

Source; *Hand Book on County Planning, County Budgeting and Social Accountability*

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